

## DOCUMENTS FOR ACCOUNT OPENING IN HONG KONG - LIMITED COMPANY (NOT LISTED ON RECOGNISED STOCK EXCHANGE) ESTABLISHED IN HONG KONG

- Note:**
- a) Copies of all documents submitted should be **true copies certified** by a certified public accountant / lawyer / banker / notary public in a Financial Action Task Force (FATF) member / comparable jurisdiction acceptable to HSBC or by a member of the Hong Kong Institute of Chartered Secretaries (HKICS) or by an officer of any HSBC branch. If original documents are not in English or Chinese language, an English translation of the same should also be provided. (Certification format: Certifier's signature and official stamp should be placed on the first page of the copy document and the number of pages should be recorded)
  - b) At least the number of directors needed to form quorum or \*Principal Shareholders / Beneficial Owners must be present for the account opening.
  - c) \*All individuals who are ultimately entitled to exercise or control the exercise of 10% or more of the voting rights of the company, either directly or indirectly through their beneficial ownership of an underlying corporate shareholder, should be regarded as Principal Shareholders / Beneficial Owners of the company.
  - d) Please visit <http://www.commercial.hsbc.com.hk/1/2/commercial/accounts/requirements> for the list of recognised stock exchanges.
  - e) Apart from documents listed below, we may further request you to provide more account opening details and documents when necessary.

- 1. Copy of Certificate of Incorporation and subsequent certificate of change of name, if any
- 2. Copy of Business Registration Certificate
- 3. a) For newly established company:
  - Copy of Notification of First Secretary and Director (Form D1) / Incorporation Form (Company Limited by Shares) (Form NC1) / Incorporation Form (Company Not Limited by Shares) (Form NC1G)
  - Copies of all subsequent Notification of Change of Secretary and Director (Appointment/Cessation) (Form D2A), Return of Allotments (Form SC1) and/or Instrument of Transfer detailing particulars of the current \*Principal Shareholders, if any
  - 'Director/Shareholder/Beneficial Owner Declaration' (DD) issued within 6 months, detailing particulars of the Directors, \*Principal Shareholders and Ultimate Beneficial Owner (Certification Letter from a certified public accountant / lawyer of a FATF member / comparable jurisdiction acceptable to HSBC certifying that information contained in the 'Director/Shareholder/Beneficial Owner Declaration' (DD) is correct and accurate, is required upon the Bank's request)b) For company established over one year:
  - Copy of latest Annual Return (Form AR1)
  - Copies of all subsequent Notification of Change of Secretary and Director (Appointment/Cessation) (Form D2A), Return of Allotments (Form SC1) and/or Instrument of Transfer detailing particulars of the current \*Principal Shareholders, if any
- 4. a) For company with corporate shareholders - Organisation chart certified by director showing % shareholdings owned by, and country of incorporation of, each intermediate company to the ultimate beneficial owners of the company
  - b) If the ultimate beneficial owners of the company is a trust - Trust Deed / Declaration of Trust, with details of trustee(s), settlor(s), beneficiary(ies) and protector(s) (HSBC template is available upon request); identification proof and residential address proof of trustee(s), settlor(s) and protector(s)
  - c) For company with nominee shareholders - details of ultimate beneficial owner(s)

5. Copy of the following documents from two Directors, all Authorised Signatories and all \*Principal Shareholders or \*Beneficial Owners of corporate shareholders and other relevant individuals, if any:
- Identification Document
  - Former Name/Alias Proof (if there is a former name/alias)
  - Nationality Proof e.g. Passport copies (if the individual is not a Hong Kong Permanent Identity Card holder)
  - Residential Address Proof (e.g. utility bill issued within 3 months, bank statement issued within 3 months by Financial Institutions in a FATF member / comparable jurisdiction acceptable to HSBC, valid driving licence, National identity card with address, etc.)
  - Permanent Address Proof (if the individual is not a Hong Kong Permanent Identity Card holder and has a permanent address different from residential address)
6. For Directors or Authorised Signatories which are corporate entities, the following copies of documents are to be submitted by these entities:
- #Official document(s) (such as Certificate of Incorporation, Business Registration Certificate, Business Licence or comparable document) proving incorporation, registration and subsequent change of name, if any
  - Official document(s) listing current directors such as an Annual Return or Director Declaration (sample available upon request; Certification Letter from a certified public accountant / lawyer of a FATF member / comparable jurisdiction acceptable to HSBC certifying that information contained in the Director Declaration is correct and accurate, is required upon the Bank's request)
  - Board Resolution specifying the authorised signatories who have the power to act for them (the directors' signatures must be verified by bankers)
  - List of authorised signatories' specimen signatures which must be verified by bankers
  - Documents item (5) listed above for Directors and Authorised Signatories
- Note:** # Please refer to the respective checklist for the specific official documents by reference to the entity type and country of incorporation.
7. Mandate, account opening form and signature cards
- Note:** Signatures appearing on these forms must be duly verified by bankers for directors / authorised signatories who are not present for the account opening.
8. Initial deposit (HKD Account - HKD5,000; Foreign Currency Account - USD1,000 or equivalent)  
(Suggestion: Please prepare a HKD cheque for initial deposit)
9. Handling charge for company search (Please refer to the latest commercial tariff)

**Important Note:**

The Bank reserves the right to decline any account opening request without providing any reason.

## 香港開戶文件－在香港成立的有限公司（未在認可的證券交易所上市）

注意：甲) 所有提交本行的文件副本必須經由本行認可的打擊清洗黑錢財務行動特別組織成員或相應國家的執業會計師／律師／往來銀行／公證人或香港特許秘書公會會員或任何滙豐分行主管簽證為真確的副本。如文件正本乃非英文或中文語言，須另外提交翻譯文本。（簽證格式：簽證人應在文件副本首頁簽署及蓋上正式印章，並註明頁數）

乙) 辦理開戶手續時，不少於法定開會人數的董事或\*主要股東／實益擁有人必須出席。

丙) \*所有持有（或透過其實益擁有的公司直接或間接地最終持有）或控制 10% 或以上公司投票權的私人個體，均應視為公司的主要股東／實益擁有人。

丁) 請瀏覽 [http://www.commercial.hsbc.com.hk/1/2/commercial\\_zh/accounts/requirements](http://www.commercial.hsbc.com.hk/1/2/commercial_zh/accounts/requirements) 參閱認可的證券交易所的名單。

戊) 除下列文件外，如有需要，本行會要求客戶提供其他開戶資料及文件。

- 1. 公司註冊證書及其後的公司更改名稱證書副本，如有
- 2. 商業登記證副本
- 3. a) 新成立的公司：
  - 首任秘書及董事通知書（表格 D1）／法團成立表格（股份有限公司）（表格 NC1）／法團成立表格（股份有限公司以外的公司）（表格 NC1G）的副本
  - 所有其後的秘書及董事更改通知書（委任／離任）（表格 D2A），及股份分配申報表（表格 SC1）及／或轉讓文書詳列現任\*主要股東的資料的副本，如有
  - 最近六個月的董事、股東、最終實益擁有人證明書詳列各董事、\*主要股東和最終實益擁有人的資料（本行或會要求客戶提供由本行認可的打擊清洗黑錢財務行動特別組織成員或相應國家的執業會計師／律師發出的證明信，確認董事、股東、最終實益擁有人證明書的內容屬實）b) 成立一年以上的公司：
  - 最近一期的周年申報表（表格 AR1）的副本
  - 所有其後的秘書及董事更改通知書（委任／離任）（表格 D2A）、股份分配申報表（表格 SC1）及／或轉讓文書詳列現任\*主要股東的資料的副本，如有
- 4. a) 如股東為一間公司－經董事確認的架構圖顯示每家中介控股公司的成立國家、擁有公司股份的股權份數及其最終實益擁有人  
b) 如最終實益擁有人為信託基金－信託契約／信託申報書與其受託人、財產授予人、受益人及保護人的資料（有關文件樣本可向本行索取）；受託人、財產授予人及保護人的身份證明及住址證明  
c) 如公司的股東為代理人的身份－最終實益擁有人的資料
- 5. 由二名董事，所有授權簽署人和所有\*主要股東或股東為一間公司的\*實益擁有人及其他有關人士（如有）提供的下列文件副本：
  - 身份證明文件
  - 前用姓名／別名證明（如有前用姓名／別名）
  - 國籍證明，例如護照副本（如該人士非持有香港永久性居民身份證）
  - 住宅地址證明（例如：最近三個月的公用事業帳單、由本行認可的打擊清洗黑錢財務行動特別組織成員或相應國家的財務機構發出最近三個月的銀行月結單、有效的駕駛執照、國民身份證連地址等）
  - 永久住址證明（如該人士非持有香港永久性居民身份證及擁有永久住址但與住宅地址不同）
- 6. 如董事或授權簽署人為一間公司，該公司須提交下列文件副本：
  - #法定文件（例如：公司註冊證書、商業登記證、營業執照或相應文件）以證明公司的註冊、登記及其後的更改名稱，如有
  - 法定文件詳列現任董事的資料如最近一期的周年申報表或董事、股東證明書（有關文件樣本可向本行索取；本行或會要求客戶提供由本行認可的打擊清洗黑錢財務行動特別組織成員或相應國家的執業會計師／律師發出的證明信，確認董事、股東證明書的內容屬實）
  - 該公司董事會決議列出有權代該公司執行事務的授權簽署人（董事簽名必須經往來銀行鑑定）
  - 所有授權簽署人的簽名式樣而簽名必須經往來銀行鑑定
  - 由董事及授權簽署人提供上列第五項的文件注意：#請根據該實體類別、成立國家，參閱相關的開戶文件。
- 7. 授權書、開戶書及印鑑卡  
注意：如董事或授權簽署人未能在開戶時出席，授權書上的簽名必須經往來銀行鑑定。
- 8. 開戶存款（港幣戶口 - 5,000 港元；外幣戶口 - 1,000 美元或其等值的外幣）  
（建議：請準備一張港元支票作為開戶存款）
- 9. 公司查冊費（請參閱最新的工商金融服務收費簡介）

### 重要通知：

本行保留不接受開戶申請的權利並毋須提供任何理由。