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滙豐 HSBC

Business Account Opening Form
商業戶口開戶表格

Date 日期	day 日 / month 月 / year 年

Note 注意：1. Please complete in **Block Letters** and tick where applicable.
請用**正楷**填寫，並在適當的地方加上剔號。

2. * Please delete whichever is not appropriate. *請刪去不適用者。

3. Business Debit Card is a form of ATM card and will be subject to the relevant terms governing ATM cards under the Business Account Terms and Conditions.
商業扣賬卡屬於自動櫃員機卡類別，受商業戶口內的自動櫃員機卡章則及條款所管轄。

For Bank Use Only 銀行專用	
☐ FATCA	Account Number

Account Type 戶口類別	☐ Current 往來 ☐ Time Deposits 定期 ☐ Hong Kong Dollar Statement Savings 港元結單儲蓄 ☐ CombiNations Statement Savings 「外幣通」結單儲蓄 ☐ Unit Trusts 單位信託基金 ☐ Securities 證券 ☐ Business Investment 商業投資 ☐ Renminbi Commercial Current 人民幣商業往來 ☐ Renminbi Trade Settlement Savings 人民幣貿易結算儲蓄 ☐ Other 其他：
Currency 貨幣	

1. Entity Details 公司資料 *Mandatory 必須填寫* *(A201)*

A. General Information 一般資料

Registration/Incorporation Document 登記/ 註冊文件	Certificate of Incorporation 公司註冊證書 *(C)* (Number 號碼：)		
	Business Registration Certificate 商業登記證 *(B)* (Number 號碼：)		
	Other 其他 *(X)* (Number 號碼：)		
Date of Registration 登記日期	*(Day/Month/Year 日/ 月/ 年)*	Country/Region of Registration 註冊國家/ 地區	
Registered Name in English 英文註冊名稱			
Registered Name in Chinese 中文註冊名稱			
Has the name changed in the last 5 years? 在過去 5 年是否曾更改名稱？	☐ Yes 是 ☐ No 否		
Previous Name in English in the last 5 Year 過去 5 年曾使用英文名稱			
Previous Name in Chinese in the last 5 Year 過去 5 年曾使用中文名稱			
"Trading As" Name(s) in English 英文營業名稱	*(Not applicable for Trusts and Foundations 不適用於信託及基金會)* ☐ Same as Registered Name 與註冊名稱相同 ☐ Others *(please specify)*: 其他（請註明）：		
"Trading As" Name(s) in Chinese 中文營業名稱	*(Not applicable for Trusts and Foundations 不適用於信託及基金會)* ☐ Same as Registered Name 與註冊名稱相同 ☐ Others *(please specify)*: 其他（請註明）：		
Entity Type 公司類別	☐ Limited Company 有限公司 ☐ Partnership 合夥經營商號 ☐ Sole Proprietorship 獨資經營商號 ☐ Other *(please specify)*: 其他（請註明）：		
Listing on Stock Exchange 上市公司	☐ Yes 是 ☐ No 否	Name(s) of Stock Exchange 交易所名稱	
Capable of Issuing Bearer Shares 公司是否能夠發行不記名股票	☐ Yes 是 ☐ No 否	*Note 注意：* *1. Only for Limited Company and applicable for all intermediate layers of the company. 僅適用於有限公司並適用於所有公司的中介層。* *2. From the new Companies Ordinance (Cap. 622), it removed the power of companies to issue share warrants to bearer for company incorporated in HK after 3 March 2014. Please fill in "No" for company incorporated in HK after 3 March 2014. 新《公司條例》（第 622 章）取消了 2014 年 3 月 3 日後在香港註冊的公司發行持有人股份權證的權力。於 2014 年 3 月 3 日後在香港註冊的公司請填「否」。*	
Bearer Shares Issued 已發行不記名股票	☐ Yes 是 ☐ No 否		
Are any of the Intermediate owners of your company capable of issuing bearer shares 公司的中介控股公司是否能夠發行不記名股票	☐ Yes 是 ☐ No 否	Does your company have any existing relationship with HSBC 公司現時是否與滙豐有業務關係	☐ Yes 是 ☐ No 否
Customer Structure 客戶結構	*(Only for Limited Company and Partnership 僅適用於有限公司及合夥經營商號)* ☐ Ultimate Parent 最終母公司 ☐ Stand Alone 獨立公司 ☐ Subsidiary 子公司 ☐ Branch 分公司 ☐ Joint Venture 合資公司		

1. Entity Details (Continued) 公司資料（續） *Mandatory 必須填寫* *(A201)*

B. Parent Company Details *(if any)* 母公司資料 *（如有）*

Registered Name in English 英文註冊名稱			
Registered Name in Chinese 中文註冊名稱			
Country/Region of Incorporation 成立所在國家／地區			
Listing on Stock Exchange 上市公司	☐ Yes 是 ☐ No 否	Name(s) of Stock Exchange 交易所名稱	
Is the company majority owned and controlled (greater than 50%) by a Parent or Ultimate Parent that is a Regulated Financial Institution 公司的多數擁有權（50%以上）是否由屬於受監管金融機構的母公司或最終母公司所有和控制			☐ Yes 是 ☐ No 否
Country/Region of Regulatory Body 監管機構所在國家／地區		Name of Regulatory Body 監管機構名稱	

2. Contact Details 聯絡資料 *Mandatory 必須填寫* *(A201)*

Registered Office Address in the Place of Incorporation 註冊公司地址 *（於註冊地）*	
● District / City 地區／城市 ● Country/Region and Postal Code 國家／地區及郵區編碼	*(For Overseas Address Only 只適用於海外地址)*
Address in Chinese 中文地址	*(Please provide in Chinese as well if registered office address in the place of incorporation is in mainland China or Taiwan. Address should be the same as that provided above. 如註冊公司地址（於註冊地）為中國內地或台灣，請亦以中文提供。)*
Principal Business Address 主要營業地址	☐ Same as Registered Office Address 與註冊公司地址相同 ☐ Other Address *(Please provide in English)* ▼ 其他地址 *（請以英文提供）* ▼
● District / City 地區／城市 ● Country/Region and Postal Code 國家／地區及郵區編碼	*(For Overseas Address Only 只適用於海外地址)*
Address in Chinese 中文地址	*(Please provide in Chinese as well if principal business address is in mainland China or Taiwan. Address should be the same as that provided above. 如主要營業地址為中國內地或台灣，請亦以中文提供。)*
Correspondence Address 通訊地址	☐ Same as Registered Office Address 與註冊公司地址相同 ☐ Same as Principal Business Address 與主要營業地址相同 ☐ Other Address *(Please provide in English)* 其他地址 *（請以英文提供）* ▼
Address in Chinese 中文地址	*(Please provide in Chinese as well if correspondence address is in mainland China or Taiwan. Address should be the same as that provided above. 如通訊地址為中國內地或台灣，請亦以中文提供。)*
Office Telephone Number 辦事處電話號碼	Area Code (for overseas number only) 國家或地區編號（只適用於海外流動電話號碼） Number 電話號碼 1. ____ - ____ 2. ____ - ____
Company Website 公司網址	
Email Address 電郵地址	

3. Details of Connected Parties 有關人士資料 *Mandatory 必須填寫*

Please also fill in the Supplementary Form(s): 請填寫補充表格：
☐ More than 3 Connected Individuals 超過三位有關人士（個人）
☐ More than 2 Connected Corporate Entities 超過兩位有關人士（法人團體）

Definition: 定義：

✠ Ultimate Beneficial Owner: 最終實益擁有人：

1. In relation to a corporation (if fulfils any of the following criteria): means an individual who, 就法團而言指符合以下任何一項說明的個人：
   - owns or controls, directly or indirectly, including through a trust or bearer share holding, not less than 10% of the **issued share capital** of the corporation; or 直接或間接地擁有或控制（包括透過信託或持票人股份持有）該法團**已發行股本**的不少於 10%；或
   - is directly or indirectly, entitled to exercise or control the exercise of not less than 10% of the **voting rights** at general meetings of the corporation; or 直接或間接地有權行使在該法團的成員大會上的投票權的不少於 10%；或支配該比重的**投票權**的行使；或
   - **exercises ultimate control over the management** of the corporation; or **行使**對該法團的管理**最終的控制權**；或
   - if the corporation is acting on behalf of another person, means the other person. （如該法團是代表另一人行事）指該另一人。
2. In relation to a partnership (if fulfils any of the following criteria): means an individual who, 就合夥而言指符合以下任何一項說明的個人：
   - is entitled to or controls, directly or indirectly, not less than 10% **share of the capital or profits** of the partnership; or
     直接或間接地有權**攤分**或控制該合夥的**資本或利潤**的不少於 10%；或
   - is directly or indirectly, entitled to exercise or control the exercise of not less than 10% of the **voting rights** in the partnership; or
     直接或間接地有權行使在該合夥的投票權的不少於 10%；或支配該比重的**投票權**的行使；或
   - exercises **ultimate control over the management** of the partnership; or 行使對該合夥的管理**最終的控制權**；或
   - if the partnership is acting on behalf of another person, means the other person. （如該合夥是代表另一人行事）指該另一人。
3. In relation to a trust or foundation (if fulfils any of the following criteria): means an individual who, 就信託或基金會而言指符合以下任何一項說明的個人：
   - is entitled to a vested interest in any percentage of the capital of the trust or foundation property, whether the interest is in possession or in the remainder or reversion and whether it is defeasible or not; or
     有權享有信託財產或基金會的資本的任意比例的既得權益的任何人，而不論該人是享有該權益的管有權、剩餘權或復歸權，亦不論該權益是否可予廢除；或
   - the settlors, grantors, donors or asset contributors of the trust or foundation; 該信託或基金會的財產授予人，資產提供者，捐贈者或財產出資人；或
   - trustees of the trust, or council members or directors of the foundation; or 該信托的受托人，或該基金會的理事會成員或董事；或
   - a protector or enforcer of the trust; or 該信託的保護人或執行人；或
   - an individual who has ultimate control over the trust. 對該信託擁有最終的控制權的個人。
4. In relation to a private investment company or private investment fund (if fulfils any of the following criteria): means an individual who,
   就私人投資公司或私人投資基金而言指符合以下任何一項說明的個人：
   - owns or controls, directly or indirectly, including through a trust or bearer share holding, **any percentage** of the **issued share capital** of the private investment company or private investment fund; or
     直接或間接地擁有或控制（包括透過信託或持票人股份持有）該私人投資公司或私人投資基金已**發行股本**的**任何百分比**；或
   - is directly or indirectly, entitled to exercise or control the exercise of **any percentage** of the **voting rights** at general meetings of the private investment company or private investment fund; or
     直接或間接地有權行使在該私人投資公司或私人投資基金的成員大會上的**任何百分比**的**投票權**；或支配任何百分比的投票權的行使；或
   - **exercises ultimate control over the management** of the private investment company or private investment fund; or
     行使對該私人投資公司或私人投資基金的**管理最終的控制權**；或
   - if the private investment company or private investment fund is acting on behalf of another person, means the other person.
     （如該私人投資公司或私人投資基金是代表另一人行事）指該另一人。
5. In relation to a person other than (1) to (4) (if fulfils any of the following criteria): means an individual who,
   就不屬 (1) 至 (4) 段所指的人而言指符合以下任何一項說明的個人：
   - ultimately owns or controls the persons; or 最終擁有或控制該人的任何人；或
   - if the person is acting on behalf of another person, mean the other person. （如該人是代表另一人行事）指該另一人。

❄ Intermediate Owner: 中介控股公司：

Intermediate Owner is an entity or legal arrangement (e.g. Trust, Foundation etc.) that sits between the entity and the Ultimate Beneficial Owner in the ownership structure. 中介控股公司是指在股權架構中，處於公司和最終實益擁有人之間的控股公司或法律安排（如信託基金、基金會等）。

^ Controller: 主要管理人：

Controller is an individual or legal entity which has the right to exercise or actually exercises significant influence over the policy or business strategy, or holds the right, directly or indirectly, to appoint or remove a majority of the board of directors of the Board. Controllers include:
主要管理人是指有權對政策或業務戰略行使或實施重大影響，直接或間接擁有任命或罷免董事會多數成員的權利的人士或法人團體。主要管理人包括：

- Director who exercise direct control over the Company (senior executive activities) 對公司行使直接決策權的董事（負責高級行政事務）
- Managing Director 董事總經理
- Sole Director 唯一董事
- Local Branch Manager (for Branches) 本地分行經理（適用於分行）
- Partner exercising substantial influence over the day-to-day management of the business 對公司日常管理施加重大影響的合夥人
- Powers of Attorney 受權人
- Nominees 代名人
- The person on whose behalf the Nominee entity is working for 由代名人實體代為行事的人士
- The person holds, directly or indirectly, the right to appoint or remove a majority of the board of directors of the company or the CEO
  直接或間接持有公司董事會多數成員或行政總裁任免權的人士
- Individual who holds a senior position‡ within the entity and Ultimate Parent 在公司和最終母公司中擔任高階職位‡ 的個人
- Dual position held within the Ultimate Parent: CEO and Chairman / Founder and CEO
  在最終母公司內擔任雙重職務：行政總裁兼董事長/ 創辦人兼行政總裁

‡***Senior Position*** *高階職位：*

- Chief Executive Officer 行政總裁
- Chairperson 董事長
- Chief Financial Officer 財務總監
- Chief Investment Officer (in some scenarios only) 投資總監（僅在某些情況下）
- Chief Operating Officer 營運總監
- Founder 創辦人
- General Partner 普通合夥人
- Managing Partner 管理合夥人
- President 總裁

 # Direct Appointee: 受任人：

Direct Appointee is an individual authorised under an executed instrument of the entity to act on its behalf with respect to the banking relationship, and to appoint authorised signatories or delegate authority to others to represent the business in limited circumstances, e.g. the Company secretary. Direct Appointee is typically appointed by the Board of Directors or Controllers. 受任人是據公司簽立的文書獲授權處理銀行事項的人士，並有權委任授權簽署人。受任人也可在附加限制下，授予權限予其他人。受任人一般是獲董事會或主要管理人委任。公司秘書為一例子。

Settlor (Donor/Grantor/Trustor): 財產授予人（捐贈者/ 資產提供者/ 委託人）：

A Settlor is an Individual/entity that provides the Source of Wealth and/or Source of Funds for the Trust. The party who creates a Trust by a written Trust Deed is called a Settlor (or may sometimes be referred to as a Trustor, Donor or Grantor). The Settlor usually transfers the assets into the Trust; this can be at inception or during the life of the Trust. There may be one or many Settlors.
財產授予人是為信託提供財富來源或/ 及資金來源的個人或法人團體。以書面訂定信託契據的一方被稱為財產授予人（或可以統稱作為委託人，捐贈者或資產提供者）。財產授予人通常會將資產注入信託；這可以發生在信託成立時或信託的有效期中，當中有可能涉及一個或多個財產授予人。

3. Details of Connected Parties (Continued) 有關人士資料（續） *Mandatory 必須填寫*

Trustee: 受託人：

The Trustees of a Trust exercise control over the Trust property. A Trustee may be a natural person or a legal entity. Control is defined as a power (whether exercisable alone, jointly with another person or with the consent of another person) under the Trust Deed or equivalent or by law to:
受託人可對信託財產行使控制權。受託人可以為自然人或法人團體。控制權（無論是單獨行使，與其他人共同行使或得其他人同意而行使）的定義為信託契據或同等的文件或法律賦予的權限：

- Dispose of, advance, lend, invest, pay or apply Trust property; 對信託財產的處置、貸款、出借、投資、支付或運用；
- Vary the Trust's structure; 更改信託的結構；
- Add or remove a person as a Beneficiary, or to or from a class of Beneficiaries; 添加或刪除受益人，或一類受益；
- Appoint or remove Trustees; or 任免受託人；或
- Direct, withhold consent to, or veto the exercise of any of the above powers. 指示、暫緩或否決任何上述權限的行使。

Control over the assets in the Trust is held with the Trustees but can be constrained by the terms of the Trust to operate within certain limits. Limits can cover all aspects such as a requirement to hold a real asset (property) or deposit funds with a specified custodian. 受託人擁有信託資產的控制權，但信託條款可限制受託人在一定範圍內進行運用控制權。這些限制可以涵蓋所有範圍，如持有實物資產（地產）或存入資金予指定託管人的要求。

Note: 注意： In some cases, another party may exercise control; such as a Trust Protector or a Settlor who retains significant powers over the Trust property either directly or indirectly (such as the power to replace the Trustee). 在某些情況下，另一方當事人可以行使控制權，如保留對信託財產極大權限（包括直接或間接）的信託基金的保護人，或財產授予人（如更換受託人）。

Beneficiary: 受益人：

A Beneficiary is any person, class of persons, legal entity (e.g. a Corporate) or Trust (e.g. Charitable Trust) who receives a distribution of assets or income from a Trust. In some instances, the Beneficiary may or may not be aware of their entitlement. A Beneficiary may be an Intermediate Beneficiary (IB) (an entity) or an Ultimate Beneficiary (UB) (a natural person) who is the Ultimate Beneficial Owner (UBO) of the IB.
受益人是指收到來自信託的資產或收入分配的任何人士或該類別人士，法人實體（例如企業）或信託（例如慈善信託）。在某些情況下，受益人可能會知悉或不得知悉自己的權益。受益人可以是中介受益人（法人團體）或最終受益人（自然人），即中介受益人的最終實益擁有人。

For the majority of Trusts, there will be clearly identified Beneficiaries or a class of Beneficiaries (e.g. unborn grandchildren). Usually, Beneficiaries or the Class of Beneficiaries are documented in the Trust's Deed or equivalent.
就大部分信託而言，信託一般有明確的受益人或一組受益人（例如未出生的孫子）。在一般情況下，信託契據或任何同等的文件都有記錄受益人或一組受益人的資訊。

Protector: 保護人：

A Trust Protector is a party or parties appointed by the Settlor to exercise one or more powers affecting the Trust and to protect Beneficiaries from a rogue Trustee. 信託保護人是指由財產授予人任命以對信託行使一項或多項的權限的一方或多方，目的是保護受益人的權益。

Trust Protectors can often make changes to a Trust, involving addition/removal of Trustees, investment decisions, change distributions and, in some cases, modifications to or termination of a Trust. 信託保護人可經常對信託進行修改，包括添加或刪除受託人，投資決策，改變分配和，在某些情況下，修改或終止該信託。

Founder: 創立人：

The Founder is a person(s) or legal entity instructing the creation of a Foundation. 創立人是指指示成立基金會的自然人或法人團體。

While a Founder may be a Donor to the Foundation, the Founder is not required to provide any endowment or place any assets into the Foundation. The endowment of the Foundation by a person does not make that person a Founder. The rights (if any) of the Founder are detailed in the Foundation Charter. The Foundation Charter may assign such rights to some other person or multiple persons/legal entities.
雖然創立人可能是基金會的捐贈者，但基金會不一定需要任何捐贈，或將任何資產注入。某人對基金會進行捐贈，並不意味著該人爲基金會的創立人。創立人的權利（如適用）會在基金會的章程詳細說明。基金會章程可以轉讓這些權利予其他個人或若干個人/ 法人團體。

The Founders right's vary but can include the power to appoint Controllers, amend the purpose of the Foundation and amend the Beneficiaries. Therefore, unlike the Settlors of a Trust, the Founder can more obviously retain control over the assets.
創立人的權利各有不同，可以包括任命管理人，修改基金會的宗旨和修改受益人的權益。因此，與信託的托管財產者相比，創立人可以更好地對資產保留控制權。

The Founder can be a Council Member, a Guardian and a Beneficiary. 創立人可同時為理事會成員、監護人和受益人。

Donor/Grantor: 捐贈者/ 資產提供者：

A person or business who has endowed the Foundation with funds. The endowment may occur on creation of the Foundation or subsequent to this.
捐贈者/ 資產提供者指為基金會提供資金的個人或企業。捐贈可在基金會成立時或之後進行。

Council Member: 理事會成員：

Council Members (Individual or legal entity) are responsible for ensuring that the objectives of the Foundation are met. The members of the Council have personal liability for fraud, willful misconduct or gross negligence notwithstanding any contrary reference in the Foundation Charter.
理事會成員（個人或法人團體）有責任確保該基金會的目標得以實現。理事會成員就欺詐，故意不當行爲或違反該基金會章程的重大過失負有個人法律責任。

Council Members may also have the ability to take effective ownership of assets under the terms of the Charter and therefore can be both Council Members and Beneficiaries of the Foundation. 理事會成員還可以根據憲章條款接管資產而同時成為基金會的理事會成員和受益人。

Decisions are normally reached based on the consensus of the Council Member Board, sometimes based on voting rights, (as outlined in the Foundation Charter, statute or other founding documentation).
決議是基於理事會成員達成的共識，亦有時根據投票權達成。（據基金會章程，法令或其他基金會文件所述）。

Beneficiary: 受益人：

A Beneficiary is any person, class of persons, legal entity (e.g. a Corporate) or Foundation (e.g. Charitable Foundation) receiving a distribution of assets or income from a Foundation.
受益人是指收到來自基金會的資產或收入分配的任何人士或該類別人士，法人實體（例如企業）或基金會（例如慈善基金會）。基金會不一定有受益人。

A Foundation does not require Beneficiaries. Unless expressly stated in the Foundation Charter, Beneficiaries have no interest in the Foundation's assets, are not owed any duties by the Council and, in particular, are not entitled to receive any information relating to the administration or assets of the Foundation.
除非在基金會章程明確規定，受益人不會對該基金會的資產有任何權益，不承擔理事會的任何責任，特別是，無權接收與基金會的管理或資產的任何資訊。

Beneficiaries (Individual or Legal Entity) may be changed subject to the terms of the Foundation Charter or another founding document and will only become entitled as of the date documented in these terms. A Beneficiary may be an Intermediate Beneficiary (IB) (an entity) or an Ultimate Beneficiary (UB) (a natural person) who is the Ultimate Beneficial Owner (UBO) of the IB. 受益人（個人或法律實體）可能會受基金會章程或其他基金會文件的修訂而更改，而更改只會在記錄日期生效。受益人可以是中介受益人（法人團體）或最終受益人（自然人），即中介受益人的最終實益擁有人。

Protector/Guardian: 保護人/ 監護人：

Foundations may be required to have a Guardian (as detailed in the Foundation Charter, statute or other founding documentation). The Guardian, unless they are the Founder, cannot also be a Council Member. The duty of the Guardian is to take such steps as are reasonable to ensure that the Council carries out its functions. 基金會可能會被要求有監護人（據基金會章程，法令或其他基金會文件詳細列明）。監護人，除非他們是創立人，是不可成為理事會成員。監護人的職責是採取適當和合理的措施，以確保安理會執行其職能。

The Guardian may have powers to approve or disapprove specified actions of the Council and may sanction or authorise any action taken by the Council that would not otherwise be permitted by the Foundation Charter. In so doing, the Guardian must be satisfied that the action is in the best interest of the objectives of the Foundation and that the Council is acting in good faith. 監護人可能有權限批准或不批准理事會指定的議案，及制裁或授權理事會採取本來基金會章程不允許的任何行動。這樣做，監護人必須確信該行爲是基於基金會目的的最佳利益，而且理事會的行爲是信實的。

3. Details of Connected Parties (Continued) 有關人士資料（續） *Mandatory 必須填寫*

Person Purporting to Act on behalf of the Customer ("PPTA"): 看似代表客戶行事的人（「PPTA」）：

Person Purporting to Act on behalf of the Customer is a person appointed to act on behalf of the entity to establish banking relationships, or may be authorised to give instructions to conduct various activities through the account or the business relationship established. Examples of PPTA include:

看似代表客戶行事的人乃指獲委任代表實體建立銀行業務關係，或獲授權指示透過所開立的戶口或所建立的業務關係進行各種活動的人。看似代表客戶行事的人的例子包括：

- Person who act on behalf of the entity to establish business relationships with the Bank 代表實體與銀行建立業務關係的人
- Authorised Signatories (AS) with sole authority over an account or with unlimited authority in moving funds in and out to third party accounts 擁有戶口的唯一授權，或擁有轉入資金及將資金轉出至第三方戶口的不受限制授權的獲授權簽署人 (AS)

Note 注意：

1. Please note that no chop needs to be or should be affixed to any part of this form, and even if so affixed, will not form part of the signing authority or mandate under any circumstances. 您毋須亦不應在本表格的任何部分蓋上印章。在任何情況下，所蓋上的印章將不會構成授權簽署的一部分。
2. Contact person refers to whom banking information and direct marketing information and contact will be directed. 聯絡人指銀行資訊及直接促銷資訊及聯繫的接收者。
3. ♦ Not required in case of Contact Person only. 如只有聯絡人，則不需要填寫。
4. ♌ Required in case of Sole Proprietor only. 獨資經營者才需填寫。
5. ♐ Required in case of Director, Authorised Signatory, Person Purporting to Act only. 董事、授權簽署人、看似代表客戶行事的人才需填寫。
6. ♑ Required in case of Intermediate Owner, Controller, Direct Appointee only. 中介控股公司、主要管理人、受任人才需填寫。
7. ♠ Required for Business Internet Banking users. 商務「網上理財」使用者才需填寫。
8. Δ Required for Contact Person, Business Internet Banking, Business Debit Card and Business Card users. 聯絡人、商務「網上理財」、公司扣賬卡、公司卡使用者才需填寫。

3. Details of Connected Parties (Continued) 有關人士資料（續） *Mandatory 必須填寫*

A. Individuals 個人	**For Bank Use Only** 銀行專用	Account Number

(I) Full Name in English 英文全名	☐ Mr 先生 ☐ Mrs 太太 ☐ Miss 小姐 ☐ Ms 女士	Full Name in Chinese 中文全名	
Capacity of Connected Party 有關人士類別	☐ Sole Proprietor 獨資經營者 ☐ Partner 合夥人 ☐ Director 董事 ☐ Authorised Signatory 授權簽署人 ☐ ✠ Ultimate Beneficial Owner 最終實益擁有人 [Ownership 持股量 %] [Percentage of Voting Rights (if different from Ownership 投票權的百分比（如與持股量不同） %] ☐ ^ Controller 主要管理人 [Any senior position(s) holds within the Ultimate Parent:] [在最終母公司內持有的任何高階職位：] ☐ # Direct Appointee 受任人 ☐ Person Purporting to Act 看似代表客戶行事的人 ☐ Contact Person 聯絡人 ☐ Other Related Parties *(please specify)*: 其他相關方 *（請註明）*：		
♦ Identification Document Type and Number 身分證明文件種類及號碼	☐ HK Identity Card 香港身分證 (Permanent 永久 ☐ Yes 是 ☐ No 否) ☐ Passport 護照 ☐ Other 其他：	Number 號碼：	
♦ Date of Birth 出生日期	*(Day/Month/Year 日/ 月/ 年)*	♌ Place of Birth 出生地區	
Job Title 職銜		♦ Nationality (Country/Region) 1 國籍（國家/ 地區）1	
♌ Multiple Nationalities (Countries/Regions) 多重國籍（國家/ 地區）	☐ Yes 是 ☐ No 否	♌ Nationality (Country/ Region) 2 國籍（國家/ 地區）2	♌ Nationality (Country/ Region) 3 國籍（國家/ 地區）3
Country/Region of Residence for Tax Purposes 稅收居民居住國家/ 地區	*(Only for Ultimate Beneficial Owner 只適用於最終實益擁有人)*		
♌ Employment Status 就業情況	☐ Employed Full Time 全職 ☐ Employed Part Time 兼職 ☐ Self Employed 自僱人士		
♌ Employment Role 職務	☐ Business Owner 公司持有人 ☐ Controller 主要管理人 ☐ Employee 僱員 ☐ Sole Trader 獨資經營者		
♠ Mobile Telephone Number 手提電話號碼	Area Code 國家或地區編號 - Number 電話號碼	Δ Email Address 電郵地址	
Δ Office Telephone Number 辦事處電話號碼	Area Code 國家或地區編號 - Number 電話號碼	♌ Address Since Date 現址居住日期	*(Month/Year 月/ 年)*
♦ Residential Address 住宅地址	☐ Same as Principal Business Address 與主要營業地址相同 ☐ Other Address *(please specify)*: 其他地址 *（請註明）*：		
♌ Previous Address 前址	*(If the current residential address is less than 1 year 如居於現址少於一年，請註明之前的地址)*		
Ultimate Beneficial Owner Source of Wealth 最終實益擁有人的財富來源	*(Only for Ultimate Beneficial Owner 只適用於最終實益擁有人)* ☐ Inheritance 繼承財產 ☐ Loan / bank funding 借貸/ 銀行貸款 ☐ Money from Family Members, or Close Associates 來自家庭成員或有關人士的資金 ☐ Owner's personal savings 擁有人的個人儲蓄 ☐ Sale of Business / Asset 出售業務/ 資產 ☐ Sale of Investments 出售投資項目		

3. Details of Connected Parties (Continued) 有關人士資料（續） *Mandatory 必須填寫*

A. Individuals (Continued) 個人（續）

(II) Full Name in English 英文全名	☐ Mr 先生 ☐ Mrs 太太 ☐ Miss 小姐 ☐ Ms 女士	Full Name in Chinese 中文全名	
Capacity of Connected Party 有關人士類別	☐ Partner 合夥人 ☐ Director 董事 ☐ Authorised Signatory 授權簽署人 ☐ ✠ Ultimate Beneficial Owner 最終實益擁有人 [Ownership 持股量 %] [Percentage of Voting Rights (if different from Ownership 投票權的百分比（如與持股量不同） %] ☐ ^ Controller 主要管理人 [Any senior position(s) holds within the Ultimate Parent:] [在最終母公司內持有的任何高階職位：] ☐ # Direct Appointee 受任人 ☐ Person Purporting to Act 看似代表客戶行事的人 ☐ Contact Person 聯絡人 ☐ Other Related Parties *(please specify)*: 其他相關方 *（請註明）*：		
♦ Identification Document Type and Number 身分證明文件種類及號碼	☐ HK Identity Card 香港身分證 (Permanent 永久 ☐ Yes 是 ☐ No 否) ☐ Passport 護照 ☐ Other 其他：	Number 號碼：	
♦ Date of Birth 出生日期	*(Day/Month/Year 日/ 月/ 年)*	♌ Place of Birth 出生地區	
Job Title 職銜		♦ Nationality (Country/Region) 1 國籍（國家/ 地區）1	
♌ Multiple Nationalities (Countries/Regions) 多重國籍（國家/ 地區）	☐ Yes 是 ☐ No 否	♌ Nationality (Country/ Region) 2 國籍（國家/ 地區）2	♌ Nationality (Country/ Region) 3 國籍（國家/ 地區）3
Country/Region of Residence for Tax Purposes 稅收居民居住國家/ 地區	*(Only for Ultimate Beneficial Owner 只適用於最終實益擁有人)*		
♌ Employment Status 就業情況	☐ Employed Full Time 全職 ☐ Employed Part Time 兼職 ☐ Self Employed 自僱人士		
♌ Employment Role 職務	☐ Business Owner 公司持有人 ☐ Controller 主要管理人 ☐ Employee 僱員 ☐ Sole Trader 獨資經營者		
♠ Mobile Telephone Number 手提電話號碼	Area Code 國家或地區編號 - Number 電話號碼	Δ Email Address 電郵地址	
Δ Office Telephone Number 辦事處電話號碼	Area Code 國家或地區編號 - Number 電話號碼	♌ Address Since Date 現址居住日期	*(Month/Year 月/ 年)*
♦ Residential Address 住宅地址	☐ Same as Principal Business Address 與主要營業地址相同 ☐ Other Address *(please specify)*: 其他地址 *（請註明）*：		
♌ Previous Address 前址	*(If the current residential address is less than 1 year 如居於現址少於一年，請註明之前的地址)*		
Ultimate Beneficial Owner Source of Wealth 最終實益擁有人的財富來源	*(Only for Ultimate Beneficial Owner 只適用於最終實益擁有人)* ☐ Inheritance 繼承財產 ☐ Loan / bank funding 借貸/ 銀行貸款 ☐ Money from Family Members, or Close Associates 來自家庭成員或有關人士的資金 ☐ Owner's personal savings 擁有人的個人儲蓄 ☐ Sale of Business / Asset 出售業務/ 資產 ☐ Sale of Investments 出售投資項目		

3. Details of Connected Parties (Continued) 有關人士資料（續） *Mandatory 必須填寫*

A. Individuals (Continued) 個人（續）

(III) Full Name in English 英文全名	☐ Mr 先生 ☐ Mrs 太太 ☐ Miss 小姐 ☐ Ms 女士	Full Name in Chinese 中文全名	
Capacity of Connected Party 有關人士類別	☐ Partner 合夥人 ☐ Director 董事 ☐ Authorised Signatory 授權簽署人 ☐ ✠ Ultimate Beneficial Owner 最終實益擁有人 [Ownership 持股量 %] [Percentage of Voting Rights (if different from Ownership 投票權的百分比（如與持股量不同） %] ☐ ^ Controller 主要管理人 [Any senior position(s) holds within the Ultimate Parent:] [在最終母公司內持有的任何高階職位：] ☐ # Direct Appointee 受任人 ☐ Person Purporting to Act 看似代表客戶行事的人 ☐ Contact Person 聯絡人 ☐ Other Related Parties *(please specify)*: 其他相關方 *（請註明）*：		
♦ Identification Document Type and Number 身分證明文件種類及號碼	☐ HK Identity Card 香港身分證 (Permanent 永久 ☐ Yes 是 ☐ No 否) ☐ Passport 護照 ☐ Other 其他：	Number 號碼：	
♦ Date of Birth 出生日期	*(Day/Month/Year 日/ 月/ 年)*	♌ Place of Birth 出生地區	
Job Title 職銜		♦ Nationality (Country/Region) 1 國籍（國家/ 地區）1	
♌ Multiple Nationalities (Countries/Regions) 多重國籍（國家/ 地區）	☐ Yes 是 ☐ No 否	♌ Nationality (Country/ Region) 2 國籍（國家/ 地區）2	♌ Nationality (Country/ Region) 3 國籍（國家/ 地區）3
Country/Region of Residence for Tax Purposes 稅收居民居住國家/ 地區	*(Only for Ultimate Beneficial Owner 只適用於最終實益擁有人)*		
♌ Employment Status 就業情況	☐ Employed Full Time 全職 ☐ Employed Part Time 兼職 ☐ Self Employed 自僱人士		
♌ Employment Role 職務	☐ Business Owner 公司持有人 ☐ Controller 主要管理人 ☐ Employee 僱員 ☐ Sole Trader 獨資經營者		
♠ Mobile Telephone Number 手提電話號碼	Area Code 國家或地區編號 - Number 電話號碼	Δ Email Address 電郵地址	
Δ Office Telephone Number 辦事處電話號碼	Area Code 國家或地區編號 - Number 電話號碼	♌ Address Since Date 現址居住日期	*(Month/Year 月/ 年)*
♦ Residential Address 住宅地址	☐ Same as Principal Business Address 與主要營業地址相同 ☐ Other Address *(please specify)*: 其他地址 *（請註明）*：		
♌ Previous Address 前址	*(If the current residential address is less than 1 year 如居於現址少於一年，請註明之前的地址)*		
Ultimate Beneficial Owner Source of Wealth 最終實益擁有人的財富來源	*(Only for Ultimate Beneficial Owner 只適用於最終實益擁有人)* ☐ Inheritance 繼承財產 ☐ Loan / bank funding 借貸/ 銀行貸款 ☐ Money from Family Members, or Close Associates 來自家庭成員或有關人士的資金 ☐ Owner's personal savings 擁有人的個人儲蓄 ☐ Sale of Business / Asset 出售業務/ 資產 ☐ Sale of Investments 出售投資項目		

3. Details of Connected Parties (Continued) 有關人士資料（續） *Mandatory 必須填寫*

B. Corporate Entities 法人團體

(I) Registered Name 註冊名稱	in English 英文 in Chinese 中文
♌ "Trading As" Name 營運名稱 *(if applicable 如適用)*	in English 英文
Entity Type of Connected Entity 有關法人團體的公司類別	☐ Commercial Business 商業公司 ☐ Partnership 合夥經營商號 ☐ Charity 慈善機構 ☐ Government 政府 ☐ Holding Company 控股公司 ☐ Trust 信託 ☐ Foundation 基金會 ☐ Fund 基金 ☐ NPO *(Remark: Please fill in the supplementary form if NPO is Beneficial Owner)* 非牟利機構 *（備註：如非牟利機構是受益人，請填寫附加資料）*
Capacity of Connected Entity 有關法人團體類別	☐ Director 董事 ☐ Authorised Signatory 授權簽署人 ☐ ❄Intermediate Owner 中介控股公司 [Ownership 持股量 %] [Percentage of Voting Rights (if different from Ownership 投票權的百分比（如與持股量不同） %] ☐ ^ Controller 主要管理人 ☐ # Direct Appointee 受任人 ☐ Partner 合夥人 ☐ Person Purporting to Act 看似代表客戶行事的人 ☐ Other Related Parties *(please specify)* 其他相關方 *（請註明）*：
↗ Registration/Incorporation Document 登記/ 註冊文件	Certificate of Incorporation 公司註冊證書 *(C)* (Number 號碼：) Business Registration Certificate 商業登記證 *(B)* (Number 號碼：) Other 其他 *(X)* (Number 號碼：)
Country/Region of Incorporation/Registration/ Formation 成立/ 註冊/ 組建所在國家/ 地區	Date of Incorporation/ Registration/Formation 註冊/ 登記/ 成立日期 *(Only for Person Purporting to Act 只適用於看似代表客戶行事的人)*
Registered Office Address 註冊公司地址	*(Only for Controller, Director, Authorised Signatory, Person Purporting to Act 只適用於主要管理人、董事、授權簽署人、看似代表客戶行事的人)*
Principal Business Address 主要營業地址	*(Only for Controller, Person Purporting to Act 只適用於主要管理人、看似代表客戶行事的人)* ☐ Same as Registered Office Address 與註冊公司地址相同 ☐ No, please specify 否，請註明 ▼
♑ Listing on Stock Exchange 上市公司	☐ Yes 是 ☐ No 否 ♑ Name(s) of Stock Exchange 交易所名稱

***Only for Controllers Entities** 只適用於主要管理人*

↗ Represented by *(Full Name)* 代表 *（全名）*	☐ Mr 先生 ☐ Mrs 太太 ☐ Miss 小姐 ☐ Ms 女士	↗ Date of Birth 出生日期	*(Day/Month/Year 日/ 月/ 年)*
↗ Identification Document Type and Number 身分證明文件種類及號碼	☐ HK Permanent Identity Card 香港身分證 ☐ Passport 護照 ☐ Other 其他： Number 號碼：	↗ Nationality (Country/Region) 國籍（國家/ 地區）	
↗ Job Title 職銜			
↗ Residential Address 住宅地址			
↗ Permanent Address *(If different from residential address)* 永久地址 *（如與住宅地址不同）*			

3. Details of Connected Parties (Continued) 有關人士資料（續） *Mandatory 必須填寫*

B. Corporate Entities (Continued) 法人團體（續）

(II) Registered Name 註冊名稱	in English 英文 in Chinese 中文
♌ "Trading As" Name 營運名稱 *(if applicable 如適用)*	in English 英文
Entity Type of Connected Entity 有關法人團體的公司類別	☐ Commercial Business 商業公司 ☐ Partnership 合夥經營商號 ☐ Charity 慈善機構 ☐ Government 政府 ☐ Holding Company 控股公司 ☐ Trust 信託 ☐ Foundation 基金會 ☐ Fund 基金 ☐ NPO *(Remark: Please fill in the supplementary form if NPO is Beneficial Owner)* 非牟利機構 *（備註：如非牟利機構是受益人，請填寫附加資料）*
Capacity of Connected Entity 有關法人團體類別	☐ Director 董事 ☐ Authorised Signatory 授權簽署人 ☐ ❄Intermediate Owner 中介控股公司 [Ownership 持股量 %] [Percentage of Voting Rights (if different from Ownership 投票權的百分比（如與持股量不同） %] ☐ ^ Controller 主要管理人 ☐ # Direct Appointee 受任人 ☐ Partner 合夥人 ☐ Person Purporting to Act 看似代表客戶行事的人 ☐ Other Related Parties *(please specify)* 其他相關方 *（請註明）*：
↗ Registration/Incorporation Document 登記/ 註冊文件	Certificate of Incorporation 公司註冊證書 *(C)* (Number 號碼：) Business Registration Certificate 商業登記證 *(B)* (Number 號碼：) Other 其他 *(X)* (Number 號碼：)
Country/Region of Incorporation/Registration/ Formation 成立/ 註冊/ 組建所在國家/ 地區	Date of Incorporation/ Registration/Formation 註冊/ 登記/ 成立日期 *(Only for Person Purporting to Act 只適用於看似代表客戶行事的人)*
Registered Office Address 註冊公司地址	*(Only for Controller, Director, Authorised Signatory, Person Purporting to Act 只適用於主要管理人、董事、授權簽署人、看似代表客戶行事的人)*
Principal Business Address 主要營業地址	*(Only for Controller, Person Purporting to Act 只適用於主要管理人、看似代表客戶行事的人)* ☐ Same as Registered Office Address 與註冊公司地址相同 ☐ No, please specify 否，請註明 ▼
♑ Listing on Stock Exchange 上市公司	☐ Yes 是 ☐ No 否 ♑ Name(s) of Stock Exchange 交易所名稱

***Only for Controllers Entities** 只適用於主要管理人*

↗ Represented by *(Full Name)* 代表 *（全名）*	☐ Mr 先生 ☐ Mrs 太太 ☐ Miss 小姐 ☐ Ms 女士	↗ Date of Birth 出生日期	*(Day/Month/Year 日/ 月/ 年)*
↗ Identification Document Type and Number 身分證明文件種類及號碼	☐ HK Permanent Identity Card 香港身分證 ☐ Passport 護照 ☐ Other 其他： Number 號碼：	↗ Nationality (Country/Region) 國籍（國家/ 地區）	
↗ Job Title 職銜			
↗ Residential Address 住宅地址			
↗ Permanent Address *(If different from residential address)* 永久地址 *（如與住宅地址不同）*			

3. Details of Connected Parties (Continued) 有關人士資料（續） *Mandatory 必須填寫*

C. Trust/Foundation as Beneficial Owner - Trust/Foundation Information 作為實益擁有人之信託/ 基金會－信託/ 基金會資料

Full Name of the Trust/Foundation 信託/ 基金會名稱	in English 英文 in Chinese 中文				
Is this a Trust or a Foundation 信託/ 基金會	☐ Trust 信託 ☐ Foundation 基金會	Percentage Ownership 擁有權	%	Voting Rights 投票權 (if different from Ownership 如與持股量不同)	%
Country/Region of Trust/ Foundation Establishment 信託/ 基金會成立國家/ 地區					
Registered Address 註冊地址					
Does the Trust/Foundation identify a Class of Beneficiaries 信託/ 基金會是否確定某類受益人	☐ Yes 是	Please specify 請註明： Class Type 類別：		Percentage of Ownership 持股量	%
	☐ No 否				

D. Trust/Foundation as Beneficial Owner - Individual who is Connected to the Trust/Foundation
作為實益擁有人之信託/ 基金會－信託/ 基金會之有關人士（個人）

Full Name in English 英文全名	☐ Mr 先生 ☐ Mrs 太太 ☐ Miss 小姐 ☐ Ms 女士	Full Name in Chinese 中文全名	
Date of Birth 出生日期	*(Day/Month/Year 日/ 月/ 年)*		
Capacity of Connected Entity 有關人士類別	☐ Settlor/Founder/Donor/Grantor 財產授予人/ 創立人/ 捐贈者/ 資產提供者 (Contribution 貢獻： %) ☐ Trustee 受託人 ☐ Council Member 理事會成員 ☐ Guardian 監護人 ☐ Ultimate Beneficiary 最終受益人 (Entitlement 權利： %) ☐ Protector 保護人		
Permanent Residential Address 永久居住地址			
Nationality (Country/Region)/ Citizenship 國籍（國家/ 地區）/ 公民身分			

E. Trust/Foundation as Beneficial Owner - Corporate Entity that is Connected to Trust/Foundation
作為實益擁有人之信託/ 基金會－信託/ 基金會之有關人士（法人團體）

Registered Name 註冊名稱	in English 英文 in Chinese 中文
Entity Type 實體類別	☐ Commercial Business 商業公司 ☐ Partnership 合夥經營商號 ☐ Charity 慈善機構 ☐ Government 政府 ☐ Holding Company 控股公司 ☐ Trust 信託 ☐ Foundation 基金會 ☐ Fund 基金 ☐ NPO *(Remark: Please fill in the supplementary form if NPO is Beneficial Owner)* 非牟利機構 *（備註：如非牟利機構是受益人，請填寫附加資料）*
Capacity of Connected Entity 有關法人團體類別	☐ Settlor/Founder/Donor/Grantor 財產授予人/ 創立人/ 捐贈者/ 資產提供者 (Contribution 貢獻： %) ☐ Trustee 受託人 ☐ Council Member 理事會成員 ☐ Guardian 監護人 ☐ Intermediate Beneficiary 中介受益人 (Entitlement 權利： %) ☐ Protector 保護人
Country/Region of Incorporation/Establishment 成立/ 組建所在國家/ 地區	
Registered Address 註冊地址	

3. Details of Connected Parties (Continued) 有關人士資料（續） *Mandatory 必須填寫*

F. Governmental Organisation / Body or Agency as Ultimate Beneficial Owner
作為政府機構／組織或機構之最終實益擁有人

(I) Full Name 名稱	in English 英文		
	in Chinese 中文		
Percentage Ownership 持股量	%	Percentage Voting Rights 投票權比例 *(if different 如不同)*	%
Country/Region of Incorporation 註冊成立國家／地區			
Permanent Address Including Country/Region 永久地址（包括國家／地區）			
Ultimate Beneficial Owner Sovereign Country/Region Name 最終實益擁有人主權國家／地區名稱			

F. Governmental Organisation / Body or Agency as Ultimate Beneficial Owner (Continued)
作為政府機構／組織或機構之最終實益擁有人（續）

(II) Full Name 名稱	in English 英文		
	in Chinese 中文		
Percentage Ownership 持股量	%	Percentage Voting Rights 投票權比例 *(if different 如不同)*	%
Country/Region of Incorporation 註冊成立國家／地區			
Permanent Address Including Country/Region 永久地址（包括國家／地區）			
Ultimate Beneficial Owner Sovereign Country/Region Name 最終實益擁有人主權國家／地區名稱			

4. Your Tax Information 您的稅務信息 *Mandatory 必須填寫*

Why the Bank is asking you to complete this section 為什麼本行要求您完成此部分

Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS) regulations (where applicable) require financial institutions to collect and report information about where customers are tax residents and/or are Specified U.S. Persons. This includes entity customers, such as corporations, organisations, partnerships or foundations. Under these regulations, the Bank has to ask you to provide the information requested in this section.
外國賬戶稅務合規法案（「FATCA」）及共同匯報標準（Common Reporting Standard「CRS」）法規（在適用的情況下）要求金融機構收集和報告有關客戶的稅收居民地和/或指定美國人士的信息。這包括實體客戶，例如公司、組織、合作夥伴或基金會。根據這些規定，本行必須要求您提供本部分要求的信息。

Before you complete this section, you may refer to https://www.fatca.hsbc.com/en/cmb/hongkong and https://www.crs.hsbc.com/en/cmb/hongkong for more information. The Bank is not allowed to give tax advice so if you're not sure what the entity's tax residence status is, please visit the OECD website or speak to a professional tax adviser. 在您完成此部分之前，您可以參考 https://www.fatca.hsbc.com/zh-hk/cmb/hongkong 和 https://www.crs.hsbc.com/zh-hk/cmb/hongkong 了解更多信息。本行不允許提供稅務建議，因此如果您不確定該實體的稅務居民身份，請瀏覽 OECD 網站或諮詢專業稅務顧問。

If the section below does not reflect your FATCA status, please provide a separate US IRS W-8BEN, W-8BEN-E, W-9 form, or other forms applicable to you on the US IRS website: https://www.irs.gov/forms-instructions-and-publications. Please also note that even if you document your FATCA status in the section below, the Bank may still need to collect an appropriate US IRS W-form from you (e.g. for investments in the U.S.). 如果以下部分不能反映您的 FATCA 實體分類，請瀏覽美國 IRS 網: https://www.irs.gov/forms-instructions-and-publications 及提供相應的 US IRS W-8BEN、W-8BEN-E、W-9 表格、或其他可適用表格。請留意即使您已在以下部分記錄您的 FATCA 實體分類，本行仍可能需要向您收集合適的美國 IRS W 表格（例如在美國進行投資）。

I/We are acting on my/our own behalf and not as agent, intermediary or nominee of another person.
本人/本公司代表本人/本公司自己行事，而不是作為他人的代理人、中間人或代理人。

☐ Yes 是 ☐ No 否

You will be requested to separately declare the FATCA and CRS status of the funds you hold on behalf of your clients.
您將被要求獨立申報您代表客戶持有的資金的 FATCA 和 CRS 的情況說明。

United States Person 美國人士

Is the entity a United States Person? 該實體是否為美國人士? ☐ Yes 是 ☐ No 否

(Not applicable for Sole Proprietorship 不適用於獨資經營商號)
If the entity is a United States Person, please provide a signed US IRS W-form separately. 如果實體為美國人士，請提供已簽署的美國 IRS W 表格。

4. Your Tax Information (Continued) 您的稅務信息（續） *Mandatory 必須填寫*

Your Entity Type ***(Not Applicable for Sole Proprietorship)*** 您的實體類型 *（不適用於獨資經營商號）*

Please select the entity classification that best describes your business. 請在實體分類中選出一項最能描述您的業務性質。

Financial Institution 金融機構

Is the entity a Financial Institution? 該實體是否為金融機構？

☐ Yes 是 ☐ No 否 *(Please go to the section on Non-Financial Institution. 請前往非金融機構部分。)*

Please select the Financial Institution classification under CRS that best describes your business:
請在共同匯報標準 (CRS) 下選擇最能描述您的業務性質的金融機構分類：

☐ Depository Institution, Custodial Institution or Specified Insurance Company 存管機構、託管機構或指明保險公司

☐ Investment Entity, except an investment entity that is managed by another financial institution and located in a CRS non-participating jurisdiction 投資實體，但不包括由另一金融／財務機構管理並位於非參與稅務管轄區的投資實體

☐ Investment entity that is managed by another Financial Institution and located in a CRS non-participating jurisdiction. Please also list all controlling persons(s) of the entity: 位於非參與稅務管轄區並由另一金融／財務機構管理的投資實體。請列出實體中的所有控權人：

Please complete a "CRS Controlling Person Tax Residency Self-Certification Form" for each controlling person named above. You can find this form at https://www.crs.hsbc.com/en/cmb/hongkong.
請為上述的每名控權人分別填寫「CRS 控權人稅務居民自我證明表格」。您可以在 https://www.crs.hsbc.com/zh-hk/cmb/hongkong 找到此表格。

Note 注意： If there are no natural person(s) who exercise control of the Entity then the Controlling Person will be the natural person(s) who hold the position of senior managing official. 如果沒有自然人控制實體，則控權人將是擔任高級管理人員職位的自然人。

The following section is not applicable to United States Person. 下列部分不適用於美國人士。

Please provide, if held, the entity's global intermediary identification number (GIIN). 如實體具有全球中介機構識別號碼（簡稱「GIIN」），請提供。

If the entity does not have a GIIN, please give the reason: 如實體沒有全球中介機構識別號碼（簡稱「GIIN」），請說明原因：

☐ GIIN is being applied for 全球中介機構識別號碼（簡稱 GIIN）申請中

☐ Entity is a non-participating FFI under FATCA 實體是 FATCA 法規下的不遵循外國金融機構

☐ Others – please complete a W-Form 其他－請填寫 W-Form

Non-Financial Entity 非金融機構

☐ Active NFE - a corporation whose stock is regularly traded on an established securities market, or a corporation that is a related entity of such a corporation.
主動非財務實體－該非財務實體的股票或該非財務實體的有關連實體的股票經常在具規模證券市場中進行買賣；

If you are a related entity of a regularly traded corporation, please provide the name of the regularly traded corporation that you are a related entity of:
如果您是一個經常進行交易買賣公司的有關聯實體，請提供該有關聯實體的名稱：

☐ Active NFE - a Government Entity or Central Bank 主動非財務實體－政府實體或中央銀行

☐ Active NFE - an International Organisation (e.g. The United Nations, World Health Organisation) 主動非財務實體－國際組織（例如聯合國、世界衛生組織）

☐ Active NFE - other (e.g. a start-up or a non-profit) 主動非財務實體－其他（例如初成立公司或非營利組織）

Please indicate if you are a "Start-Up", which is a Non-Financial Institution (NFE) not yet operating a business and has no prior operating history, but is investing capital into assets with the intention to operate a business other than that of a Financial Institution. The NFE does not qualify for this classification 24 months after date of incorporation/organisation. 請註明您是否是「初成立公司」，即尚未經營業務且沒有先前經營歷史的非金融機構 (NFE)，但將資本投資於資產，以經營金融機構以外的業務。非金融機構 (NFE) 在公司／組織成立之日起 24 個月後不符合此分類條件。

☐ Yes 是 ☐ No 否

☐ Passive NFE 被動非財務實體

Please also list the controlling persons of the entity 請列出實體中的控權人

Please complete a "CRS Controlling Person Tax Residency Self-Certification Form" for each controlling person named above. You can find this form at https://www.crs.hsbc.com/en/cmb/hongkong.
請為上述的每名控權人分別填寫「CRS 控權人稅務居民自我證明表格」。您可以在 https://www.crs.hsbc.com/zh-hk/cmb/hongkong 找到此表格。

Note 注意： If there are no natural person(s) who exercise control of the Entity then the Controlling Person will be the natural person(s) who hold the position of senior managing official. 如果沒有自然人控制實體，則控權人將是擔任高級管理人員職位的自然人。

4. Your Tax Information (Continued) 您的稅務信息（續） *Mandatory 必須填寫*

Jurisdiction of Tax Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")
稅務管轄區及稅務編號或具有等同功能的識辨編號（以下簡稱「稅務編號」）

If you have selected the following entity types, you can skip this section. 如果您的實體類型屬於以下任何一種，請跳過此部分。

- Depository Institution, Custodial Institution or Specified Insurance Company 存管機構、託管機構或特定保險公司
- Investment Entity, except an investment entity that is managed by another financial institution and located in a CRS non-participating jurisdiction
  投資實體，但不包括由另一金融/ 財務機構管理並位於非參與稅務管轄區的投資實體
- Active NFE - a corporation whose stock is regularly traded on an established securities market, or a corporation that is a related entity of such a corporation
  主動非財務實體－該非財務實體的股票或該非財務實體的有關連實體的股票經常在具規模證券市場中進行買賣
- Active NFE - a Government Entity or Central Bank 主動非財務實體－政府實體或中央銀行
- Active NFE - an International Organisation (e.g. The United Nations, World Health Organisation) 主動非財務實體－國際組織（例如聯合國、世界衛生組織）

Complete the following table indicating 提供以下資料，列明：

(a) each jurisdiction of tax residence where the account holder is a **resident for tax purposes**; and 戶口持有人作為**稅務居民**的稅務管轄區；及

(b) the account holder's TIN for each jurisdiction indicated. 該稅務管轄區發給戶口持有人的稅務編號。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.
如戶口持有人是香港稅務居民，稅務編號是其香港商業登記號碼。

If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated. 如果戶口持有人並非任何稅務管轄區的稅務居民（例如：它是財政透明實體），填寫實際管理機構所在的稅務管轄區。

If a TIN is unavailable, provide the appropriate reason A, B or C 如沒有提供稅務編號，必須填寫合適的理由：

◊ **Reason A** - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
理由 A - 戶口持有人的稅務管轄區並沒有向其居民發出稅務編號。

Reason B - The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.
理由 B - 戶口持有人不能取得稅務編號。如選取這一理由，解釋戶口持有人不能取得稅務編號的原因。

Reason C - TIN is not required. Select this reason only if the authorities of the jurisdiction of tax residence do not require the TIN to be disclosed.
理由 C - 戶口持有人毋須提供稅務編號。稅務管轄區的主管機關不需要戶口持有人披露稅務編號。

Jurisdiction of Tax Residence 稅務管轄區	**TIN** 稅務編號	**◊Enter Reason A, B or C if no TIN is available** 如沒有提供稅務編號，填寫理由 A、B 或 C	**If you have selected Reason B, please specify** 如選取理由 B，請寫明具體原因

If the entity is holds a U.S. jurisdiction of tax purposes, please provide a signed US IRS W-form separately.
如果實體持有美國作為稅務管轄地區，請提供已簽署的美國 IRS W 表格。

5. Banking and Servicing Needs 銀行及戶口服務

A. Deposit Currency *(For CombiNations Statement Savings Account Only)* 存款貨幣 *（只適用於「外幣通」結單儲蓄戶口）*

☐ AUD 澳洲元 (277) ☐ CAD 加拿大元 (279) ☐ CHF 瑞士法郎 (281) ☐ EUR 歐羅 (275) ☐ GBP 英鎊 (276)
☐ JPY 日圓 (278) ☐ NZD 新西蘭元 (282) ☐ SGD 新加坡元 (280) ☐ THB 泰國銖 (283) ☐ USD 美元 (274)

B. Dividends and Other Unit Trusts/Securities-related Payments Disposal Instruction
處理股息及其他與單位信託基金/ 證券有關的款項指示
(For Unit Trusts/Securities/Business Investment Account Only 只適用於單位信託基金/ 證券/ 商業投資戶口)

☐ To be credited/debited to *Current/Savings Account No.:
存入/ 支取自*往來/ 儲蓄戶口號碼：

☐ Other:
其他：

C. Deposit Rate Structure 存款利率結構

For deposits in any currency which have tiered interest rates published by the Bank, the following deposit rate structure will apply:
除非貴行另行通知，以下存款結構將適用於本人（等）的商業戶口：

☐ Savings Deposit Rate (Business Banking customers) 一般存款利率（商業理財客戶）
☐ Corporate Deposit Rate (Business Banking customers) 企業存款利率（商業理財客戶） [CDS (E571) Rate Checked]
☐ Corporate Deposit Rate (Corporate Banking customers) 企業存款利率（企業銀行客戶）
☐ Institutional Deposit Rate (Non-bank Financial Institution customers) 大型機構存款利率（非銀行金融機構客戶）

For deposits in any other currencies without tiered interest rates, the Savings Deposit Rate will apply. 一般存款利率將適用於其他沒有分層利率的貨幣。

(The rates are published on http://www.Business.hsbc.com.hk which will be updated from time to time. For more information, please contact your usual HSBC representative. 各類商業戶口所適用的利率已於滙豐網站 http://www.business.hsbc.com.hk 公布，並會不時更新。如欲詳細了解上述內容，請與您日常往來的滙豐代表聯絡。)

5. Banking and Servicing Needs (Continued) 銀行及戶口服務（續）

D. Optional Account Features (To be completed only if applicable) 自選的戶口服務（如適用者，才要填寫）

Cheque Book Application *(For HKD/USD/RMB Current Account Only)* 支票簿申請 *（只適用於港幣／美元／人民幣往來戶口）*

Please mail to me/us 請郵寄本人（等） ☐☐ cheque book(s) of type ticked below. 本以下鈎剔類別的支票簿。

- ☐ 30 bearer cheques without counterfoil (for HKD account only) 30 張無票根持票人支票（只適用於港幣戶口）
- ☐ 30 'account payee only' crossed cheques without counterfoil (For HKD/USD account only) 30 張無票根「入受款人戶口」劃線支票（只適用於港幣／美元戶口）
- ☐ 50 bearer cheques with counterfoil (for HKD account only) 50 張有票根持票人支票（只適用於港幣戶口）
- ☐ 50 'account payee only' crossed cheques with counterfoil 50 張有票根「入受款人戶口」劃線支票

Account Statement 戶口結單
(For Current, Unit Trusts, Securities, Business Investment, Wayfoong statement gold Account and HKD/CombiNations Statement Savings Account Only 只適用於往來、單位信託基金、證券、商業投資、黃金券戶口及港元／「外幣通」結單儲蓄戶口)

Account statement is to be sent monthly and commencing date to be arranged by the bank, unless specified below.
戶口結單將按月寄出，開始日期由銀行安排，在下面列明者除外。

Other Frequency: 其他周期： ☐ Monthly 每月一次 ☐ Quarterly 每季一次 ☐ Other: 其他：

Commencing on 自 ☐☐ Day 日 ☐☐ Month 月 ☐☐☐☐ Year 年 寄出

E. Deposit Protection Scheme 存款保障計劃

1. Deposits in Current Account and Savings Account and Time Deposits with a maturity not exceeding five years are deposits qualified for protection by the Deposit Protection Scheme in Hong Kong. 往來戶口及儲蓄戶口內的存款及存款期限不多於五年的定期存款是符合香港的存款保障計劃保障資格的存款。
2. For Business Investment Account customers only: 只適用於商業投資戶口客戶：
   Please note that Structured Investment Deposits, Deposit Plus and Certificate of Deposits are not protected deposits and are not protected by the Deposit Protection Scheme in Hong Kong. Please acknowledge receipt and your understanding of the foregoing by signing below.
   請注意結構投資存款、高息投資存款及存款證均不屬於受保障存款及不會受香港的存款保障計劃保障。請按下簽署以作確認明白上述的資料。

6. Declaration 聲明 *Mandatory 必須填寫*

1. I/We confirm that the information given in this form is correct and complete, and authorise the Bank to confirm this from any source you may choose.
   本人（等）證實此開戶表格的資料乃屬正確及完整，並授權貴行可向任何方面查證。
2. I/We have read, understood and agree to be bound by all the relevant terms and conditions issued by The Hongkong and Shanghai Banking Corporation Limited (HSBC) governing the above account(s) (see ✞Schedule) and acknowledge receipt of a copy.
   本人（等）已經細閱、明白及接受由香港上海滙豐銀行有限公司（滙豐）所提供的所有有關上述戶口的章則條款（請參閱✞附件），並已收到有關條款乙份。
3. For Limited Company 適用於有限公司
   I/We confirm that the company has not been, or is not in the process of being dissolved, struck off, wound-up or terminated.
   本人（等）確認本公司並非已解散，被除名、清盤或結束營業，或正在進行解散、除名、清盤或結束營業。
4. For Unit Trusts/Securities/Business Investment account customers 適用於單位信託基金／證券／商業投資戶口客戶：
   a. I/We confirm that I/we am/are acting as principal(s) in relation to the Unit Trusts/Securities/Business Investment Account.
      本人（等）確認本人（等）是以主事人身分在單位信託基金／證券／商業投資戶口進行交易。
   b. I/We hereby confirm that the Risk Disclosure Statements have been provided in the language of my/our choice (English or Chinese); and I/we have read the Risk Disclosure Statements and understand the contents and confirm the Bank has invited me/us to ask questions and to take independent advice thereon should if I/we wish to do so.
      本人（等）確認已按照本人（等）選擇的語言（英文或中文）獲提供風險披露聲明，並確認貴行已邀請本人（等）提出問題及徵求獨立的意見〔如本人（等）有此意願〕。
   c. For Sole Proprietorship or Partnership 適用於獨資經營或合夥經營商號
      I/We hereby confirm that I/we am/are not a resident of the United States of America ("US"), Canada ("CN") and/or South Korea ("KR"), whether for the US, CN and/or KR securities or tax laws or for any other purposes. I/We also confirm that I/we am/are not acting as agent on behalf of any US, CN, and/or KR resident/citizen. I/We confirm that my/our registered, correspondent and/or business address(es) is/are not in the US, CN and/or KR. I/We undertake to immediately notify the Bank should I/we become or be deemed to be resident of the US, CN and/or KR in any future time.
      本人（等）確認，無論從美國、加拿大及／或南韓的證券或稅務法例或其他方面而言，本人（等）均並非美國、加拿大及／或南韓的居民。本人（等）亦確認，本人（等）並不代表任何美國、加拿大及／或南韓居民／公民行事。本人（等）確認，本人（等）的註冊、通訊及／或商業地址均不設在美國、加拿大及／或南韓。本人（等）承諾，如本人（等）日後成為或視作美國、加拿大及／或南韓居民，將立即通知貴行。
      I/We undertake to supply the Bank with certified copies of any replacement or supporting documents which I/we have provided to the Bank for the purposes of opening an account with the Bank immediately upon occurrence of any changes thereto.
      本人（等）承諾，如本人（等）提供給貴行用於開戶的有關文件有任何的更改，本人（等）將立即將有關文件的經核証的副本提供給貴行。
   d. For Limited Company 適用於有限公司
      We hereby confirm that the Company is not a company incorporated in the United States of America ("US"), Canada ("CN") and/or South Korea ("KR") and its registered, correspondent and/or business address(es) is/are not in the US, CN and/or KR. We confirm that all persons authorised to give instructions in relation to the Company's account(s) held with the Bank are not resident in the US and/or CN whether for tax, securities laws of the US and/or CN or any other purposes. We undertake to notify the Bank immediately if any such person(s) of the Company becomes or is deemed to be resident of the US and/or CN at any future time. We also confirm that we are not acting as agent on behalf of any US, CN and/or KR resident/citizen.
      本公司確認，本公司並不是在美國、加拿大及／或南韓成立的公司及本公司的註冊、通訊及／或商業地址均不設在美國、加拿大及／或南韓。本公司確認，無論從美國及／或加拿大的證券或稅務法例或其他方面而言，所有授權給予指示辦理本公司戶口的人士均並非美國及／或加拿大居民。本公司承諾，如有關人士日後成為或視作美國及／或加拿大居民，將立即通知貴行。本公司亦確認，本公司並不代表任何美國、加拿大及／或南韓居民／公民行事。
      We undertake to supply the Bank with certified copies of any replacement or supporting documents which we have provided to the Bank for the purposes of opening an account with the Bank immediately upon occurrence of any changes thereto.
      本公司承諾，如本公司提供給貴行用於開戶的有關文件有任何的更改，本公司將立即將有關文件的經核証的副本提供給貴行。
5. For Business Investment Account customer only 只適用於商業投資戶口客戶
   I/We acknowledge that I/we have received and understand that Structured Investment Deposit, Deposit Plus and Certificate of Deposit are not protected deposits and are not protected by the Deposit Protection Scheme in Hong Kong.
   本人等確認已收到通知，並明結構投資存款、高息投資存款及存款證均不屬於受保障存款及不會受香港的存款保障計劃保障。
6. For Renminbi Commercial Current Account and/or Renminbi Trade Settlement Savings Account customers only
   只適用於人民幣商業往來戶口及／或人民幣貿易結算儲蓄戶口客戶
   I/We understand that the Renminbi Commercial Current Account/Renminbi Trade Settlement Savings Account can only be used for conducting trade settlement transactions or such other transactions as allowed by the relevant authorities.
   本人（等）明白人民幣商業往來戶口／人民幣貿易結算儲蓄戶口只能用於進行貿易結算交易或由有關機構允許的其他交易。
7. For Renminbi Commercial Current and/or Renminbi Savings and/or Renminbi Trade Settlement Savings Account customers only
   只適用於人民幣商業往來及／或人民幣儲蓄及／或人民幣貿易結算儲蓄戶口客戶
   I/We understand that if I/we now or shall open a renminbi time deposits account, the renminbi time deposits account must be linked to my/our Renminbi Commercial Current/Renminbi Savings/Renminbi Trade Settlement Savings account. I/We also understand and agree that deposits to and withdrawal from my/our renminbi time deposits account can only be made by transfers from and to the said Renminbi Commercial Current/Renminbi Savings/Renminbi Trade Settlement Savings account (instead of in cash, by cheques or in any other manner) unless the Bank shall specify otherwise.
   本人（等）明白，如本人（等）在任何時候開立人民幣定期存款戶口，此人民幣定期存款戶口必須與本人（等）的人民幣商業往來／人民幣儲蓄／人民幣貿易結算儲蓄戶口連結。本人（等）進一步明白及同意，除貴行另行指示外，經本人（等）的人民幣定期存款戶口的提存款項只能夠由所述的人民幣商業往來／人民幣儲蓄／人民幣貿易結算儲蓄戶口以轉賬（不能以現金、支票或其他）形式提存。

6. Declaration (Continued) 聲明（續） *Mandatory 必須填寫*

8. I/We understand that my/our accounts held with the Bank (where applicable) will be subject to the deposit rate structure as set out in the section "Banking and Servicing Needs" in this form until the Bank shall advise me/us otherwise from time to time. I/We confirm that the abovementioned deposit rate structure (where applicable) was communicated by the Bank to me/us during the account opening process. 除非貴行另行通知，本人（等）明白載於銀行及戶口服務部分的存款利率結構將適用於本人（等）的商業戶口。本人（等）證實貴行已在開立戶口過程向本人（等）說明適用的存款利率結構。

9. (For Sole Proprietorship 適用於獨資經營商號)
Due to Foreign Account Tax Compliance Act (FATCA) requirement, the owner details of sole proprietorship collected during Account Opening, including Title, Surname, Given Name, Nationality (Country/Region), Place of Birth, Residential address, Address effective date, Permanent address, Previous address, is treated as most up-to-date information and will be updated to the personal accounts record if it is different from the existing bank record. I understand that if I change the country/region of address/es, I may have to fill in another Individual Tax Residency Self-Certification Form. 由於外國賬戶稅務合規法案（FATCA）要求，於開戶申請中收集之獨資經營者擁有人資料，包括稱謂、姓氏、名、國籍（國家/ 地區）、出生地、居住地址、地址生效日、永久地址、曾用地址會被視爲最新信息並更新至個人銀行戶口記錄（如該信息不同於貴行現有信息）。本人確認如本人更改地址所在之國家/ 地區，本人需另行填寫個人稅務居民自我證明表格。

10. **CRS / FATCA Declaration 共同申報準則/ 外國賬戶稅務合規法案聲明**

a. I/We understand that the information supplied by me/us is covered by the General Terms and Conditions, or, the Business Integrated Account General Conditions (as applicable) and the applicable data protection policies (in each case as may be amended from time to time) setting out how the Bank may use and share such information. 本人/ 本公司了解本人/ 本公司提供的信息受一般條款和條件，或商業綜合戶口條款（如適用）以及適用的數據保護政策（可能會不時修訂）規定貴行如何使用和共享此類信息的約束。

b. I/We acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be disclosed to and reported by any member of the HSBC Group (meaning HSBC Holdings plc, its affiliates, subsidiaries, associated entities and any of their branches and offices) to tax authorities of the jurisdiction in which this account(s) is/are maintained and exchanged with the United States Internal Revenue Services and/or tax authorities of other jurisdictions in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information with the jurisdictions in which this account(s) is/are maintained.
本人/ 本公司知曉本表格所載資料及有關戶口持有人及任何須申報戶口的資料可能會被滙豐集團的任何成員（指滙豐控股有限公司、其聯屬公司、附屬公司、聯營實體及其任何分支機構和辦事處）披露及報告給該戶口所在司法管轄區的稅務機關，並依據該戶口所在司法管轄區與其他政府戶口信息的交換協議，與美國國稅局和/ 或戶口持有人可能是稅務居民的其他司法管轄區的稅務機關進行信息交換。

c. I/We confirm I/we are the account holders or I/we are authorised to sign for the account holders of all the account(s) to which this form relates.
本人/ 本公司是戶口持有人，或者本人/ 本公司有權為與本表格相關的所有戶口的戶口持有人簽名。

d. Where I/we have provided information regarding any other person (such as a Controlling Person or other Reportable Person to which this form relates), I/we confirm that I/we have their authority to do so and that I/we will, within 30 days of signing this form, notify those persons that I/we have provided such information to the Bank and that such information may be disclosed to and reported by any member of the HSBC Group (meaning HSBC Holdings plc, its affiliates, subsidiaries, associated entities and any of their branches and offices) to the tax authorities of the jurisdiction in which the account(s) is/are maintained and exchanged with the United States Internal Revenue Services and/or tax authorities of other jurisdictions in which the person may be tax resident pursuant to intergovernmental agreements to exchange financial account information.
在本人/ 本公司提供有關任何其他人（例如控權人或與本表格相關的其他可報告人）的信息時，本人/ 本公司確認已取得授權，本人/ 本公司確認本人/ 本公司會將在簽署本表格後三十天內通知有關人士本人/ 本公司已向貴行提供此類信息，且此類信息可能會可能會被滙豐集團的任何成員（指滙豐控股有限公司、其聯屬公司、附屬公司、聯營實體及其任何分支機構和辦事處）披露及報告給該戶口所在司法管轄區的稅務機關，並依據該戶口所在司法管轄區與其他政府戶口信息的交換協議，與美國國稅局和/ 或戶口持有人可能是稅務居民的其他司法管轄區的稅務機關進行信息交換。

e. All statements made in this declaration are, to the best of my/our knowledge and belief, correct and complete.
據本人/ 本公司所知和所信，本聲明中所述都是正確和完整的。

f. I/We undertake to advise the Bank within 30 days of any change in circumstances which affects the tax residency status of the Account Holder identified in the CRS/FATCA Section of this form or causes the information contained herein to become incorrect (including any changes to the information on controlling persons identified in the CRS/FATCA Section) and to provide the Bank a suitably updated self-certification and declaration within 90 days of such change in circumstances.
本人/ 本公司承諾在任何影響本表格共同申報準則/ 外國賬戶稅務合規法案部分戶口持有人的稅務居民身份或導致此處包含的信息不正確的情況發生時（包括對共同申報準則/ 外國賬戶稅務合規法案部分第一部分中確定的控權人的信息），在該情況發生的 30 天內通知貴行，並在該情況發生後的九十天內向貴行提供恰當及更新的自我證明和聲明。

g. By signing below, I/we confirm that the Account Holder has **provided ALL the countries/jurisdictions** in which the Account Holder is **tax resident** due to the applicable tax residency, local laws or treaties.
本人/ 本公司按下簽署以確認該戶口持有人已根據適用的稅務居民規則、本地法規或稅務協定提供**所有作為稅務居民的國家/ 司法管轄區**。

S.V.

X

Authorised Signature(s) 授權簽署

✞ Schedule 附件

Service 服務	Terms and Conditions that Apply 適用的章則條款
All Accounts 所有戶口	General Terms and Conditions together with "Notice relating to the Personal Data (Privacy) Ordinance" 一般條款及細則及「關於個人資料（私隱）條例的通知」
Hong Kong Dollar Statement Savings Account 港元結單儲蓄戶口 CombiNations Statement Savings Account 「外幣通」結單儲蓄戶口 Renminbi Commercial Current Account 人民幣商業往來戶口 Renminbi Savings Account 人民幣儲蓄戶口	Business Account Rules on Deposit Accounts 商業存款戶口規則
ATM Card 自動櫃員機卡	ATM Card Terms and Conditions 自動櫃員機卡條款及細則
Time Deposits 定期存款	Time Deposits - General Terms and Conditions 定期存款 — 一般條款及細則
Securities 證券	Securities Account Terms and Conditions 證券戶口條款
Unit Trusts 單位信託基金	Unit Trusts Account Terms and Conditions 單位信託基金戶口條款及細則
Business Investment Account 商業投資戶口	Business Investment Account Terms and Conditions 商業投資戶口條款
HKD Passbook Savings 港幣存摺儲蓄	Hong Kong Dollar Savings Account Rules 港幣儲蓄存款戶口規則

7. Payment Instruction 付款指示

Note 注意： 1. Please complete in **Block Letters** and tick where applicable. 請用**正楷**填寫，並在適當的地方加上剔號。

2. ♋ Please arrange for sufficient funds to be deposited into your account to avoid any overdrawn charges. 請安排足夠的資金存入至您的戶口以免任何透支費用。

3. ♍ Applicable to Visa Card/MasterCard/UnionPay. 適用於滙財卡／萬事達卡／銀聯卡。

4. ♎ Applicable to Visa Card/MasterCard. 適用於滙財卡／萬事達卡。

Company Information 公司資料

Registered Name in English (the "Company") 英文註冊名稱（下稱「公司」）	Account Number (the "Account") 戶口號碼（下稱「戶口」）

Handling Charge / Initial Deposit 手續費／開戶存款

Type of Charge 收費類別	Amount (HKD) 金額（港幣）	For Bank Use Only *(Upfront Use Only)* 銀行專用 A/C Trf	CHQ	DCT & Faxed
☐ Account Application Fee 戶口申請收費		☐	☐	☐
☐ Account Opening facilitated by an overseas HSBC branch Charge 透過滙豐海外分行處理開戶申請收費		☐	☐	
☐ Company Search Fee 公司查冊費				
☐ Overseas Account Opening Charge 開立海外戶口收費				
☐ Special Company Account Opening Charge 開立特別公司戶口收費		☐	☐	☐
☐ Other *(Courier Fee/please specify if any others)* 其他*（速遞服務費／如其他請說明）*：				
Total Amount 總額 ▶				
Initial Deposit *(applicable for HSBC transfer/deposit arrangement only)* 開戶存款*（只適用於滙豐戶口轉賬／入賬安排）*				

Payment/Deposit Instruction 付款／入賬指示

I/We authorise the Bank to debit the Account to settle the above handling charge(s) and/or process the above initial deposit instruction.
本人（等）授權貴行從戶口扣除上述手續費及／或處理上述開戶存款指示。

Transfer Arrangement 轉賬安排

☐ I/We authorise the Bank to transfer 本人（等）授權貴行轉賬 Currency 貨幣 ____ Amount 金額 ____ from my/our HSBC account 由本人（等）滙豐戶口

0 0 4 _ _ _ _ _ _ _ _ _ _ _ _ ☐ Currency 貨幣 ____ Savings Account 儲蓄戶口 ☐ Currency 貨幣 ____ Current Account 往來戶口

to settle the above handling charge(s) and/or process the above initial deposit instruction. 以支付上述手續費及／或處理上述開戶存款指示。

Deposit Arrangement 入賬安排

☐ I/We will deposit sufficient funds by cash into the Account within 1 working day *(applicable for completed application only)*.
本人（等）將於一個工作天內以現金存入足夠資金至戶口（只適用於完整開戶申請）。

☐ I/We agree to settle the above handling charge(s) and/or deposit the initial deposit to the Account by ♋HKD cheque.
本人（等）同意以♋港元支票支付上述手續費及／或存入開戶存款至戶口。

☐ I/We agree to settle the above handling charge(s) by ♍credit card / FPS / Alipay / WeChat Pay immediately.
本人（等）同意即時以♍信用卡／轉數快／支付寶／微信支付繳交上述手續費。

☐ I authorise the Bank to debit my ♎credit card to settle the above handling charge(s). 本人授權貴行從本人的♎信用卡扣除上述手續費。

☐ VISA Card 滙財卡 ☐ MasterCard 萬事達卡 _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ expiring on 到期日 _ _ / _ _ *(Month/Year)* *(月／年)*

Declaration and Signature(s) 聲明及簽署

1. I/We understand that your acceptance of this payment instruction does not signify or guarantee the successful opening of the Account.
本人（等）明白接納此付款指示，並不表示或保證上述戶口成功開立。
2. I/We understand that all of the above charge(s) are not refundable under any circumstances and irrespective of whether the Account is successfully opened or not. 本人（等）明白及同意不論任何情況及上述戶口是否成功開立，已繳的手續費恕不退還。
3. In the event the account(s) from which I/we instructed you to effect this payment instruction(s) does not have sufficient funds and/or payment(s) cannot be processed successfully for whatever reasons, I/we understand, agree and authorise the Bank to debit any other account that I/we maintained with the Bank (whether jointly or individually held), including, without limitation, foreign currency account(s), at the Bank's prevailing exchange rate(s) without notice.
為本人（等）指示貴行進行此付款指示的戶口如未存有足夠的資金及／或因任何原因付款未能成功處理，本人（等）明白、同意及授權貴行將會從本人（等）在貴行的任何其他戶口（無論共同及獨自持有），包括外幣戶口，並按貴行當行匯率扣除上述手續費而毋須通知。
4. **(Applicable to transfer arrangement related to foreign currency account 適用於有關外幣戶口的轉賬安排)**
I/We understand and agree that the Bank will effect a foreign exchange transaction at the Bank's prevailing exchange rate without notice.
本人（等）明白及同意貴行可按貴行當行匯率為本人（等）進行匯兌交易而毋須通知。

	For transfer arrangement only 只適用於轉賬安排 *(Please sign if the account holder of the debit account is not the Company 如付款戶口與公司戶口的持有人有別，請簽署)*▼	**For payment by credit card only** 只適用於以信用卡繳費▼
S.V. **X**	**X**	**X**
Signature(s) *(Should correspond to the signing arrangements of the Account)* 簽署*（須與戶口的簽署安排相符）*	Signature(s) *(Should correspond to the signing arrangements of the debit account)* 簽署*（須與付款戶口的簽署安排相符）*	Cardholder Signature 信用卡持有人簽署
Full Name of Signatory(ies) 簽署人全名▼	Full Name of Signatory(ies) 簽署人全名▼	Full Name of Cardholder 信用卡持有人全名▼

8. Commercial Details 商業資料 *Mandatory 必須填寫*

A. Business Information 業務資料

Is your Company a Holding Company? 公司是否為控股公司？	*(Only for Limited Company and Partnership 僅適用於有限公司及合夥經營商號)* ☐ Yes 是 ☐ No 否
Holding Company's Economic Purpose 控股公司的經濟目的	
Please select the business nature of your company (or which contributes the largest % of your company turnover) 請選擇貴公司的業務性質（或對貴公司營業額貢獻最大的業務）	Industry: 行業： SIC Code: 標準行業分類代碼：
All change(s) of Nature of Business/Industry in the Past 5 years 過去 5 年內曾經從事的商業/ 行業性質	Industry: 行業： SIC Code: 標準行業分類代碼： Industry: 行業： SIC Code: 標準行業分類代碼： Industry: 行業： SIC Code: 標準行業分類代碼：
Nature of Products/Services Offered 所提供的商品或服務	
In your normal day to day business do you make or intend to make payments on behalf of your clients? (e.g.: solicitor firms to make payment on behalf of your clients) 在日常業務中，您是否代表或打算代表客戶付款？（例如：律師事務所代表客戶付款）	☐ Yes 是 — Do you intend to provide any of the service(s) via HSBC account(s) or system(s)? 是否打算通過滙豐戶口或系統提供任何服務？ — ☐ Yes 是 ☐ No 否 ☐ No 否
What is the % of revenue your business generates from any non-banking financial activity? 您的企業從非銀行金融活動中獲得收入的百分比是多少？	☐ Less than or equal to 10% 少於或等於 10% ☐ More than 10% - 20% 10%以上至 20% ☐ More than 20% 20%以上 **Note** 注意：Non-banking financial activity includes money service activities and financial services such as Fund Management, Financial Advice, Insurance firms, Currency exchanges, Mortgage Brokers, Custodians, Investment Management Services, Lending and Financing, Card Schemes, Merchant Acquirers, Money Services Businesses, Payment Service Providers, Crowdfunding platforms, Financial Spread-Betting and Digital Asset Currency Supply Chain. An institution involved in these activities does not hold a full-fledged banking license from a regulator in their area of operation. 非銀行金融活動包括貨幣服務活動和金融服務，如基金管理、財務諮詢、保險公司、貨幣兌換、按揭經紀、託管人、投資管理服務、貸款及財務、支付卡計劃、收單機構、貨幣服務公司、支付服務提供者、衆籌平台、金融點差交易和數碼資產貨幣供應鏈。參與這些活動的機構並未持有其運營地區的監管機構發出的完整銀行執照。
Is the Business a Regulated Financial Institution 業務是否為受監管的金融機構	☐ Yes 是 — Country/Region of Regulatory Body 監管機構所在國家/ 地區 — Regulatory Reference No. 監管參考編號 Name of Regulatory Body 監管機構名稱 ☐ No 否
Date Business Commenced 開業日期	*(Month/Year 月/ 年)*
Country/Region where Head Office is Located 總公司所在國家/ 地區	
Country/Region where Major Business is Carried Out 主要業務所在國家/ 地區	
Country/Region where Physical Premises e.g. Offices, Manufacturing Plants is located 持有資產（如辦公室、工廠）的國家/ 地區	

8. Commercial Details (Continued) 商業資料（續） *Mandatory 必須填寫*

A. Business Information (Continued) 業務資料（續）

Please provide details of all Countries/Regions that Account for More Than 10% of your Businesses Revenue, purchases and/or Assets Held 請提供所有佔 10% 以上營業額，採購及／或持有資產的國家／地區	Country/Region 國家／地區	Percentage of Revenue/ Intended Revenue (Incoming Activities) 收入／預期收入（收益活動）的比例	Percentage of Purchases/ Intended Purchases (Outgoing Activities) 採購／預期採購（開支活動）的比例	Percentage of Assets Held 所持資產的比例
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%
		%	%	%

Key Customer Type(s) 主要客戶類別	☐ Individuals 個人 ☐ Businesses 企業 ☐ Governments/Public Sector 政府／公營部門 ☐ Banks and other Financial Institutions 銀行及其他金融機構 ☐ Non-Profit Organisations 非營利組織 ☐ Other *(please specify)*: 其他*（請註明）*：
Key Customer who Accounts for More Than 50% of Total Sales *(if any)* 佔 50%以上營業額的主要客戶*（如有）*	Registered Name 註冊名稱 "Trade As" Name *(if different from Registered Name)* 營業名稱*（如與註冊名稱不同）* Nature of Business/Industry 商業／行業性質 SIC Code 標準行業分類代碼：

Relevant Financial Performance Indicator 相關財務表現數據		Amounts (HKD) 金額（港幣）
	☐ Annual Business Turnover 全年總收入	
	☐ Asset Size 資產規模	
	☐ Assets Under Management 資產管理規模	

What is the name of your business' audit or accounting firm? *(if applicable)* 公司的核數師／會計師事務所名稱？*（如適用）*	Audit Name 核數師事務所名稱 Accounting Firm Name 會計師事務所名稱

Do you provide formation / registration services for other companies or legal entities? 您是否為其它公司或法人實體提供成立／註冊服務？	☐ Yes 是 ☐ No 否
Do you provide registered offices, business addresses, correspondence addresses, or administrative addresses for other companies, partnerships, or other persons? 您是否為其它公司／合夥公司或個人提供註冊辦公位址，營業位址，通訊位址或行政位址？	☐ Yes 是 ☐ No 否
Do you act or arrange for another person/entity to act as any of the below? 您是否擔任或安排他人／公司擔任以下任何角色？ • A director or secretary of another company 另一家公司的董事或秘書 • A partner for other legal persons 其他法人的合夥人 • A nominee shareholder for another person 他人的匿名股東 • A trustee of a trust or similar arrangement 信託或類似安排的受託人	☐ Yes 是 ☐ No 否
Is there a Nominee company in the ownership structure or presence of nominee director(s)? 該公司的擁有權架構是否有任何代理人公司或存在代理人董事？	☐ Yes 是 ☐ No 否

8. Commercial Details (Continued) 商業資料（續） *Mandatory 必須填寫*

B. Source of Wealth 財富來源

Initial Source of Wealth *(e.g. activities that generate the business' accumulated capital)* 初始財富來源 *（如：提供累積資本及存款的活動）*	*(Only for Limited Company and Partnership – Please select all that apply 僅適用於有限公司及合夥經營商號－請選擇所有適用的項目)* ☐ Injection of funds from Associated entity 聯營公司注資 ☐ Injection of funds from external source 外部注資 ☐ Injection of funds from Owner / Parent Company 業務持有人/ 母公司注資 ☐ Loan / bank funding 借貸/ 銀行貸款 ☐ Owner's personal savings 業務擁有人的個人儲蓄 ☐ Sale of Business / Asset 出售業務/ 資產
Ongoing Source of Wealth 持續的財富及收入來源	*(Only for Limited Company and Partnership – Please select all that apply 僅適用於有限公司及合夥經營商號－請選擇所有適用的項目)* ☐ Cash flow generated from the company operations 營業收入及利潤 ☐ Injection of funds from Associated entity 聯營公司注資 ☐ Injection of funds from external source 外部注資 ☐ Injection of funds from Owner / Parent Company 業務擁有人/ 母公司注資 ☐ Loan / bank funding 借貸/ 銀行貸款
Initial Source of Wealth of Sole Proprietor 獨資經營者初始財富來源	*(Only for Sole Proprietorship – Please select all that apply 僅適用於獨資經營商號－請選擇所有適用的項目)* ☐ Active Wealth / Investments 積極的財富管理/ 投資 ☐ Business Ownership 企業擁有權 ☐ Development / Investment Intragroup Financing 開發/ 投資集團內部融資 ☐ External Investment 外來投資 ☐ Gift 贈與 ☐ Income – Business Income 收入－營業收入 ☐ Income – Salary 薪金收入 ☐ Inheritance 繼承財產 ☐ Investment by Ultimate Beneficial Owner / Partner 最終實益擁有人/ 合夥人的投資 ☐ Loan – Business 貸款－企業 ☐ Lottery Gaming Win 博彩獎金 ☐ Lump Sum – Redundancy Payment －筆過款項－裁員賠償 ☐ Pension 退休金 ☐ Real Estate 房地產 ☐ Sale of Assets or Property 出售資產/ 物業 ☐ Other Source of Wealth / Fund 其他財富/ 資金來源
Country(ies)/Region(s) in which the Sole Proprietor attained their Initial Source of Wealth 獨資經營者獲得其初始財富來源的國家/ 地區	*(Only for Sole Proprietorship 僅適用於獨資經營商號)*
Ongoing Source of Wealth of Sole Proprietor 獨資經營者持續的財富及收入來源	*(Only for Sole Proprietorship – Please select all that apply 僅適用於獨資經營商號－請選擇所有適用的項目)* ☐ Active Wealth / Investments 積極的財富管理/ 投資 ☐ Business Ownership 企業擁有權 ☐ Development / Investment Intragroup Financing 開發/ 投資集團內部融資 ☐ External Investment 外來投資 ☐ Gift 贈與 ☐ Income – Business Income 收入－營業收入 ☐ Income – Salary 薪金收入 ☐ Inheritance 繼承財產 ☐ Investment by Ultimate Beneficial Owner / Partner 最終實益擁有人/ 合夥人的投資 ☐ Loan – Business 貸款－企業 ☐ Lottery Gaming Win 博彩獎金 ☐ Lump Sum – Redundancy Payment －筆過款項－裁員賠償 ☐ Pension 退休金 ☐ Real Estate 房地產 ☐ Sale of Assets or Property 出售資產/ 物業 ☐ Other Source of Wealth / Fund 其他財富/ 資金來源
Country(ies)/Region(s) in which the Sole Proprietor attained their Ongoing Source of Wealth 獨資經營者獲得其持續的財富及收入來源的國家/ 地區	*(Only for Sole Proprietorship 僅適用於獨資經營商號)*

C. Source of Funds 資金來源

Expected Source of Funds *(e.g. source of business' initial deposits)* 預期資金來源 *（例如：開戶存款資金來源）*	*(Only for Limited Company and Partnership – Please select all that apply 僅適用於有限公司及合夥經營商號－請選擇所有適用的項目)* ☐ Funds generated from asset sale 出售資產所得的資金 ☐ Funds generated from business operations 經營業務所得的資金 ☐ Repatriation of funds from offshore operations 離岸業務匯回的資金 ☐ Transfer from another Financial Institution 來自另一金融機構的資金 ☐ Transfer from Owner, Parent or associated entity 業務擁有人、母公司或聯營公司的資金
Expected Source of Funds *(e.g. source of business' initial deposits)* of Sole Proprietor 獨資經營者的預期資金來源 *（例如：開戶存款資金來源）*	*(Only for Sole Proprietorship – Please select all that apply 僅適用於獨資經營商號－請選擇所有適用的項目)* ☐ Active Wealth / Investments 積極的財富管理/ 投資 ☐ Business Ownership 企業擁有權 ☐ Development / Investment Intragroup Financing 開發/ 投資集團內部融資 ☐ External Investment 外來投資 ☐ Gift 贈與 ☐ Income – Business Income 收入－營業收入 ☐ Income – Salary 薪金收入 ☐ Inheritance 繼承財產 ☐ Investment by Ultimate Beneficial Owner / Partner 最終實益擁有人/ 合夥人的投資 ☐ Loan – Business 貸款－企業 ☐ Loan – Family 貸款－家庭 ☐ Lottery Gaming Win 博彩獎金 ☐ Lump Sum – Redundancy Payment －筆過款項－裁員賠償 ☐ Pension 退休金 ☐ Real Estate 房地產 ☐ Sale of Assets or Property 出售資產/ 物業 ☐ Transfer from HSBC Account 滙豐戶口轉賬 ☐ Transfer from Other Bank 其他銀行轉賬 ☐ Other Source of Wealth / Fund 其他財富/ 資金來源
Method of Transfer 資金入賬方式	☐ Cash 現金 ☐ Domestic Wire Transfer 本地電匯 ☐ International Wire Transfer 國際電匯 ☐ Cheque 支票 ☐ Automated Clearing House 自動支賬
Country/Region from which the Funds Originate 資金來源的國家/ 地區	

8. Commercial Details (Continued) 商業資料（續） *Mandatory 必須填寫*

C. Source of Funds (Continued) 資金來源（續）

Approximate Initial Amount to be Transferred into the HSBC Accounts 轉入滙豐的大約金額	Amount (in HKD) 金額（港幣）：
How are the Funds going to be Transferred to HSBC 資金以甚麼方式轉入滙豐	☐ Cash 現金 ☐ Cheque 支票 ☐ Domestic Wire Transfer 本地電匯 ☐ International Wire Transfer 國際電匯
Frequency of Payments 交易頻率	
Value of the Funds to be Deposited in the Account(s) within 12 months of Opening 在開戶後 12 個月內，存入戶口的資金金額	Amount (in HKD) 金額（港幣）：

D. Account Transaction Information 戶口交易資料

Purpose of Opening Account 開戶原因	☐ Business Operations 業務營運 ☐ Savings/Fixed Deposit 儲蓄／定期存款 ☐ Investment 投資 ☐ Intercompany Settlement 處理公司之間的賬項 ☐ Others *(please specify)* 其他 *（請註明）*：
Reason(s) for Setting Up Account in Hong Kong 在香港開設戶口的理由	
Is the Sole Proprietor a Resident of Hong Kong 獨資經營為香港居民	*(Only for Sole Proprietorship 僅適用於獨資經營商號)* ☐ Yes 是 ☐ No 否

Product Information *(Please refer to latest product offerings on www.hsbc.com.hk)*
產品資料 *（請於 www.hsbc.com.hk 參閱最新產品資料）*

Product 產品	☐ Trade 貿易 ☐ Liquidity and Cash Management 資金管理 ☐ Safe Deposit Box 保險箱 ☐ HSBC*net* 滙豐*財資網*

Anticipated Purpose of Usage – Liquidity and Cash Management 預期使用目的－資金管理
(Required only if Liquidity and Cash Management product selected 僅適用於資金管理產品)

Intended Purpose of Product/Account 產品／戶口的預期用途	☐ Collection Accounts 收款戶口 ☐ Facility Support (Escrow, Loan) 信貸支持－託管，貸款 ☐ Fund Pooling 資金匯集 ☐ Investment Purpose (Domestic) 本地投資用途 ☐ Investment Purpose (Overseas) 海外投資用途 ☐ Operational Account (Domestic) 營運戶口－本地 ☐ Operational Account (Overseas) 營運戶口－海外 ☐ Personal Use 私人用途 ☐ Petty Cash 小額現金 ☐ Regulatory Retention of Export Proceeds 因監管要求保留的出口所得款項 ☐ Rental Collection 收取租金 ☐ Salary Account 薪金戶口 ☐ Trade Account (Trade Financing) 貿易戶口－貿易融資 ☐ Treasury (Foreign Exchange Transactions) 財資－外匯交易
Type of transactions flow through the Customer's accounts 戶口交易類型	☐ Cash 現金 ☐ Domestic Wire Transfer 本地電匯 ☐ International Wire Transfer 國際電匯 ☐ Cheque 支票 ☐ Automated Clearing House 自動支賬
Top 10 currencies expected to flow through the accounts 列出 10 種主要交易貨幣	☐ HKD 港元 ☐ RMB 人民幣 ☐ USD 美金 ☐ EUR 歐羅 ☐ GBP 英鎊 ☐ AUD 澳元 ☐ NZD 紐西蘭元 ☐ JPY 日元 ☐ CAD 加元 ☐ SGD 新加坡元 ☐ CHF 瑞士法郎 ☐ THB 泰國銖 ☐ Others *(please specify)* 其他 *（請註明）*：
Top 10 countries/regions that you will be sending money to or receiving money from 列出您將匯款／收到匯款的前 10 位的國家／地區	
Expected value of the annual cash transactions in equivalent value of HKD 預期年度現金交易總額（相等於港幣總值）	
Select the month(s) expects more cash deposits? 以下哪些月份預計會有更多現金存款？	☐ January 一月 ☐ February 二月 ☐ March 三月 ☐ April 四月 ☐ May 五月 ☐ June 六月 ☐ July 七月 ☐ August 八月 ☐ September 九月 ☐ October 十月 ☐ November 十一月 ☐ December 十二月
Expected value of the annual inbound and outbound cross-border wire transfers in equivalent value of HKD 預期年度跨境匯款總額包括匯入及匯出款項（相等於港幣總值）	