

法團和非法團團體所需文件

Documents required for Corporate & Unincorporated Business / Bodies

開戶文件 Account Opening Document	獨資公司 Proprietor-ship	合夥公司 Partner-ship	有限公司 Limited Company	離岸公司 Offshore Company	協會, 社團, 慈善團體, 團體 Association, Societies, Charities & Clubs	信託, 基金和代名人 Trust, Foundations and Nominee
Documents to be signed for account opening during your visit 開戶時需要簽署的文件						
開戶書 Business Account Opening Form	M	M	M	M	M	M
美國國稅局表格(例如W-9, W-8BEN-E, W-8IMY) 和客戶同意書 (如適用) US Internal Revenue Service Form (e.g. W-9, W-8BEN-E, W-8IMY) and, where applicable, Consent Letter	M W-9 or W-8BEN for the proprietor	M W-9 or W-8BEN-E and W-8IMY	M W-9 or W-8BEN-E	M W-9 or W-8BEN-E	M W-9 or W-8BEN-E	M W-9 or W-8BEN-E
自我證明表格(實體) 及 自我證明表格(控權人) (如適用) Self-certification Form (Entity) and, where applicable, Self-certification Form (Controlling Person)	M (Self-certification form (Individual))	M	M	M	M	M
Documents you need to prepare before your visit. Please bring original during the visit. 開戶前需預備的文件, 請於開戶會面時攜帶正本。						
身份證明文件/地址證明 ID Card/Passport ¹ and Address Proof ² 1) 所有授權人All Authorised Signatory	M	M	M	M	M	M
2) 實益擁有人Beneficial Owner		M ³	M ³	M ³	M ⁴	M ⁵
3) 全東Sole Proprietor	M					
4) 所有合夥人All Partners		M				
5) 董事Director			M	M		
6) 協會, 社團及團體主席, 司庫, 秘書Chairman, Treasurer/Secretary of the Society, Association and Club					M	
7) 所有受託人All Trustee						M
賬戶授權書 Account Mandate	M	M	M	M	M	M
公司地址證明 Business Address Proof				M		
合夥公司同意書, 如有 Partnership Agreement, if available		O				
公司註冊證書 Certificate of Incorporation (CI)			M	M	O (if any)	O
公司更改名稱證書 (如適用) Certificate of Change of Name	O (if any)	O (if any)	O (if any)	O (if any)	O (if any)	O (if any)
有效商業登記證 Valid Business Registration Certificate (BRC)	M	M	M	O (if any)	O (if any)	
公司組織章程/公司章程細則及任何在修訂中的決議#或細則或信託契據 Memorandum & Articles of Association (M&A) /Articles of Association and Amending Resolution or Constitution or Trust Deed			M	M	M	M
股東資料 (例如: 周年申報表, 股份轉讓文件) Information of Shareholders (e.g. Annual Return, Instrument of Transfer, Bought / Sold notes)			M			
公司狀況良好證明書 Certificate of Good Standing				M		
職權證明書(六個月內發出) Certificate of Incumbency (issued within 6 months)				M		

備註: M=必須; O=可選擇; N/A=不適用

Remarks: M=Mandatory; O=Optional; N/A= Not Applicable.

註一: 可接受的身份證明文件種類

Note 1- Type of acceptable identification document

- a) 有效香港永久居民身份證
Valid Hong Kong Permanent Identity Card
- b) 有效非香港永久居民身份證和有效旅遊證件
Valid Non-Hong Kong Permanent Identity Card plus valid travel document
- c) 有效中國身份證和有效出入境證明(往來港澳)
Valid China Identity Card plus a valid Exit-entry Permit for Travelling to and from Hong Kong and Macau
- d) 有效中國旅遊證件
Valid China travel document
- e) 有效澳門永久居民身份證和澳門永久性居民赴港申請
Valid Macau Permanent Resident Identity Card plus Declaration Form for holders of Macao Special Administrative Region Permanent Resident Identity Card to Hong Kong Special Administrative Region
- f) 澳門智能永久身份證
Valid Macau Smart Permanent Identity Card
- g) 有效旅遊證件
Valid travel document

註二: 地址證明

Note 2- Address Proof

- a) 地址證明指印有居住地址和永久地址(如與居住地址不同)的有效文件
Address Proof refers to the acceptable document showing the residential address (and permanent address if different)

註三: 就法團而言, 實益擁有人的定義界定為

Note 3-“Beneficial owner” in relation to a corporation

- a) 符合以下說明的個人 an individual who:-
 - i. 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 25% ;
owns or controls, directly or indirectly, including through a trust or bearer share holding, not less than 25% of the issued share capital of the corporation;
 - ii. 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 25% , 或支配該比重的投票權的行使; 或
is, directly or indirectly, entitled to exercise or control the exercise of not less than 25% of the voting rights at general meetings of the corporation; or
 - iii. 行使對該法團的管理最終的控制權; 或
exercises ultimate control over the management of the corporation; or
- b) 如該法團是代表另一人行事是指該另一人。
if the corporation is acting on behalf of another person, means the other person.

註四: 就慈善團體, 協會, 社團和團體而言, 實益擁有人定義界定為

Note 4-“Beneficial owner” in relation to Charities, Society, Association and Club

其目的為用以確定該組織的實益擁有人:

For the purposes of determining the Beneficial Owner of an organization:

- a) 如受益人尚未確定, 指該組織或財產的主要利益為該類別人士的身分而為其設立或運作; 或
where the natural persons that benefit from the organization have yet to be determined, the class of persons in whose main interest the organization or the property is set up or operates; or
- b) 指有權行使控制組織的財產不少於 25% 的任何個人。
the natural person(s) who exercises effective control over 25% or more of the property of the organization.

註五: 就信託而言, 實益擁有人定義界定為

Note 5-“Beneficial owner” in relation to a trust

- a) 有權享有信託財產的資本的既得權益的不少於 25% 的任何個人, 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;
an individual who is entitled to a vested interest in not less than 25% of the capital of the trust property, whether the interest is in possession or in remainder or reversion and whether it is defeasible or not;
- b) 該信託的財產授予人;
the settlor of the trust;
- c) 該信託的保護人或執行人; 或
a protector or enforcer of the trust; or
- d) 對該信託擁有最終控制權的個人。
an individual who has ultimate control over the trust.



以上文件清單只供參考，如本行認為有需要時，本行可要求客戶提供更多資料及文件作開戶之用。

This checklist is for reference only. The Bank may further request the customer to provide more information and documents for account opening purpose where it considers necessary.