

**CHECKLIST OF DOCUMENTATION FOR ACCOUNT OPENING**

## 开户文件清单

**Overseas companies (including Hong Kong SAR, Macau SAR and Taiwan)**

境外注册公司 (境外包括香港特别行政区, 澳门特别行政区及台湾)

*For the reference of customers to open accounts with HSBC Bank (China) Company Limited* 供于汇丰银行  
(中国)有限公司开立账户的客户参考

1. Certificate of Incorporation (and subsequent certificate of change of name, if any) or equivalent document

公司注册证 (及公司名称变更证书, 若有) 或同类文件

Chinese translation of such document should it be in another language:

若此文件为非中文的文本, 还须提供相应的中文翻译

2. Business Registration Certificate/Business License or equivalent document

商业登记证/营业执照或同类文件

Chinese translation of such document should it be in another language:

若此文件为非中文的文本, 还须提供相应的中文翻译

3. Company search result or certificate of good standing (original)

公司注册的查询结果或公司登记机构出具的证明公司声誉良好的证明 (原件)

4. Certificate of Incumbency issued within six months by registered company service provider or notary public or Director's Declaration<sup>1</sup>

近六个月内由注册代理人发出或由董事申报的董事、股东证明书<sup>1</sup>

<sup>1</sup> Please refer our staff for specific requirements.

请向我行职员咨询具体要求。

5. Appointment of First Directors and Secretary by the Subscriber(s) to the M&A plus subsequent amending resolution (if any) or (Incorporation Form or last annual return Form AR1, for HK-incorporated companies), Instrument of Transfer detailing the particulars of the Directors and Principal Shareholders<sup>2</sup>, or equivalent documents

首任董事及公司秘书的委任资料名单连同其后有关的修订决议 (若有), 或 (若为在香港注册成立的公司, 法团成立表格或最近一期的周年申报表表格 AR1)、转让文书详列各董事和主要股东<sup>2</sup>的资料, 或同类文件

6. Completed mandate / board resolution (signed with a quorum of the board) or equivalent document issued by the decision-making body of the company (original)

填写完整的账户授权书或董事会决议 (由董事会法定人数签署), 或公司的内部决策机构出具的同类文件 (原件)

7. For a company with a multi-layer ownership structure (i.e. with several entities at the

intermediary levels before reaching the ultimate individual owner(s)), please provide an organization chart showing shareholding percentage of each entity and each stage in the ownership chain of the corporate structure. Please affix the signature/chop of the authorized signatory on the organization chart.

如属多层股东结构（即在公司和最终受益人之间还有多层股东结构），请提供由指定授权签字人签字/盖章的股权结构图，表明持股比例及每一层次的股权结构。

8. Memorandum/Articles of Association and amending supplements

公司章程/及有关修订文件

9. Following documents or relevant information<sup>3</sup> from directors, authorized account signatories, principal shareholders and beneficial owners<sup>2</sup>:

董事、授权签字人、主要股东及实益拥有人<sup>2</sup>提供的下述身份文件或相关信息<sup>3</sup>:

- Identification document 身份证明文件
- Former name/alias proof (if any) 曾用名/别名证明（若有）
- Nationality proof 国籍证明
- Proof of residential address (and permanent address if different) 居住地址证明（及永久地址证明，若不同于居住地址）

<sup>2</sup> *Principal shareholder(s) here refer(s) to the natural person(s) entitled to exercise or control the exercise of 10% or more of the voting rights of the company. The same principle applies to beneficial owner(s).*

主要股东指有权行使公司 10% 或以上的投票权或控制该等投票权的行使的人士。前述标准也适用于实益拥有人的认定。

<sup>3</sup> *Please refer to the Bank staff in charge for specific requirements.*

请向我行有关职员咨询具体要求。

*If the original documents listed in the above items 1, 2, 4, 5 and 8 cannot be provided, the copies of such documents should be certified as true copies by a lawyer, CPA, notary public or banker acceptable to the Bank. Certification format: Certifier's signature should be placed on the first page of the copy document and the number of pages should be recorded.*

若不能提供以上第一、二、四、五、八项文件原件，所提供的复印件应由本行所接受的律师、会计师、公证机关或银行证明该复印件是原件的完整真实复印件。证明格式：证明人应在文件复印件首页签字，并注明页数。

10. Proof of business (e.g. business license, copy of documentary credit, audited financial statement, invoice, contract, etc.)

业务证明（例如：商业牌照、信用证、经审计的财务结单、发票、合同等）

11. Completed Business Customer Information/Account Opening Form (including Appendix of Account Opening Form--Other Information)(original)

填写完整的商业客户开立帐户表格（包括开户表格附录—其它信息）（原件）

12. Specimen signatures/chops (original)

预留印鉴（原件）

**13. Letter of introduction from a bank or introducer (original)**

银行或其他介绍人介绍信（原件）

**Additional documents required for special FCY account for foreign investors****开立外国投资者外汇专用账户的附加文件**

- Foreign exchange certificate IC card issued by SAFE  
国家外汇管理局签发的 IC 卡外汇登记证
- Account opening registration certificate under capital item from SAFE (for FCY account under capital item only) (original)  
资本项目外汇业务核准件（仅适用于外汇资本项目账户）（原件）

**Additional documents required for RMB account for offshore entity****开立境外机构人民币银行结算账户的附加文件**

- Completed account opening application form issued by People's Bank of China (with the company's official chop)  
填写完整的中国人民银行制发的开立单位银行结算账户申请书（加盖公章）
- Basic Account Opening Certificate issued by People's Bank of China (original)  
中国人民银行制发的基本存款账户开户许可证（原件）
- Certificate of Approval issued by Authority or relevant law/regulation to prove the legality of engagement in business in PRC  
在境内开展相关活动所依据的法规制度或政府主管部门的批准文件
- Code for special entity issued by SAFE (if any)  
根据外汇管理局规定申领的特殊机构代码（若有）
- Trading contract between offshore company and PRC company or other proof on the genuine of trade (if applicable)  
境外机构与境内企业签订的贸易合同或其他证明贸易真实性的文件（若适用）

**Note**

请注意：

- HSBC staff shall witness signing of the Business Customer Information/Account Opening Form when collecting the documents for account opening.  
商业客户开立账户表格上的签字须在提交开户文件时由我行职员见证。
- Authorized person(s) representing the enterprise to open bank account(s) should provide proof of authorization together with the original ID(s) of such authorized person(s).  
代表单位办理开户的授权开户办理人应提供相关的授权文件及其身份证件原件。

- Should any of the Directors or Authorized Signatories be corporate entities, the following details and documents must also be submitted:
  - ◆ documents listed in items 1, 2 and 5 above
  - ◆ certified true copy of the BR from the Corporate Authorized Signatory specifying the authorized signatories who have the power to act for the corporate
  - ◆ list of authorized signatories' specimen signatures/chop (which must be verified as true and authentic)

如有任何董事或授权签字人为公司，还必须提交下列资料及文件：

- ◆ 本文件第 1、2 和 5 项所列文件
  - ◆ 该公司董事会决议的经证明真实副本列出有权代表该公司行事的授权签字人
  - ◆ 所有授权签字人的预留签字 / 签章（签字 / 签章须经确认为真实有效）
- *Please note that while the above documentary requirements are applicable in general, under certain circumstances, the Bank may request additional and/or different documents to satisfy regulatory and/or due diligence requirements.*  
请注意以上所列文件在一般情况下适用，在具体处理各开户申请时，本行可能提出额外和/或不同的文件要求以满足法律法规和/或尽职调查要求。
  - Please notify us promptly of any subsequent changes to the above information after the *account* has been opened and provide relevant document proof.  
账户开立以后，已递交的信息如有任何更改，请及时通知本行并提供相应证明材料。

Where update of the subsequent changes to the above information and/or relevant document proof have not been provided within a reasonable period without a reasonable reason, the Bank may suspend the conduct of business for the account holder.

若账户持有人没有在合理期限内提交上述信息的更改和/或相应证明文件且没有提出合理理由，我行可能中止对帐户持有人的服务。