

CHECKLIST OF DOCUMENTATION FOR ACCOUNT OPENING

开户文件清单

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

Companies or other forms of enterprises incorporated or established in Mainland China
在中国内地注册或成立的公司或其它企业

This checklist applies to companies and non-company enterprises, but does not apply to partnerships.
本清单适用于公司和非公司的企业，但不适用于合伙企业。

1. Business License issued by the State Administration for Industry and Commerce or equivalent license (original)
国家工商行政管理局颁发的营业执照或同等效力的执照（正本原件）
2. Certificate of Approval issued by Foreign Economic and Trade Commission (or Ministry of Commerce) and/or other competent authorities (original)
外经贸委（或商务部）及/或其它有关主管部门颁发的批准证书（原件）
3. Enterprise Code Certificate issued by the State Bureau for Technology Supervision (original)
国家技术监督局颁发的企业组织机构代码证（正本原件）
4. State and Local Tax Registration Certificate (original)
国税及地税税务登记证（正本原件）
5. Memorandum/Articles of Association and amending supplements ¹
公司章程/及有关修订文件 ¹

¹ *If the original document listed in the above item 5 cannot be provided, please provide a statement on the first page of the copy of such document certifying that the copy is a complete and true copy of the original document with official chop on the perforation or specifying the number of pages, with the signature/chop of the legal representative(s) or the customer's official chop.*
若不能提供以上第5项文件原件，请在提供的复印件第一页上声明该复印件是原件的完整真实复印件，并注明页数且在声明下加盖公司公章或由法定代表人签字/盖章确认，或骑缝加盖公司公章。

6. List of directors (with the company's official chop or signature/chop of the legal representative)
董事会成员名单（需加盖公章或法定代表人的签字/盖章）
7. Completed mandate/board resolution (signed with a quorum of the board) or equivalent document issued by the decision-making body of the company (with company's official chop and signature/chop of legal representative)
内容完整并加盖单位公章及法定代表人签署或盖章的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

8. Specimen signatures and chops (financial chop is required for RMB time deposit account) (original)

预留印鉴 (人民币定期存款账户需同时留财务章) (原件)

9. For a company with a multi-layer ownership structure (i.e. with several entities at the intermediary levels before reaching the ultimate beneficial 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 company's official chop or the signature/chop of the legal representative on the organization chart.

如属多层股东结构 (即在公司和最终实益拥有人之间还有多层股东结构), 请提供股权结构图, 表明持股比例及每一层次的股权结构。并请在该文件上加盖公章或由法定代表人签字/盖章。

10. IDs of legal representative(s)/responsible officer(s). Following documents or relevant information² from directors, authorized account signatories³, principal shareholders and beneficial owners⁴:

法定代表人/单位负责人的身份证明文件。董事、授权签字人³、主要股东及实益拥有人⁴提供的下述身份文件或相关信息²:

- 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)

² *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。

³ *Should any of the Authorized Signatories be corporate entities, please provide the following information and documents:*

- *the constitutional documents (Items 1, 2 and 5 herein) of the Corporate Authorized Signatory as if it were to open an account with the Bank*
- *certified true copy of the Board Resolution from the Corporate Authorized Signatory specifying the authorized signatories who have the power to act for the Corporate Authorized Signatory*
- *list of authorized signatories' specimen signatures/chop (which must be verified as true and authentic)*

如有任何授权签字人为公司, 请提交下列资料及文件:

- 公司的成立文件 (相当于公司为本行客户时所需提交的本开户文件清单的第一、第二及第五项文件)
- 公司董事会决议的真实副本, 须列明有权代表公司行事的授权签字人
- 所有授权签字人的预留签字/盖章 (签字/盖章须经确认为真实有效)

⁴ *Principal shareholder(s) and beneficial owner(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.

主要股东以及实益拥有人指有权行使公司 10% 或以上的投票权或控制该等投票权的行使的自然人。

11. Completed Business Customer Information/Account Opening Form signed by the legal representative⁵ and with the company's official chop (including Appendix of Account Opening Form--Other Information) (original)

填写完整并由法定代表人⁵签署及加盖单位公章的商业客户开立账户表格（包括开户表格附录—其它信息）（原件）

⁵ *If the person signing this form and presenting the required documents listed (“authorized person”) is not the legal representative, that authorized person should present a Power of Attorney bearing the legal representative's signature and company chop specifying the name, job title, ID no., contact information and scope of authority. Please refer to the appending Note (i) to (iii).*

如签署本开户表格并递交开户资料的人（“授权开户办理人”）不是法定代表人，该授权开户办理人须持有法定代表人签署并加盖公章，注明授权开户办理人姓名、职务、身份证明文件号码、联系方式及所获授权范围的授权书办理开户业务。详情请参阅附加的注意事项(i)到(iii)。

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

银行或其他介绍人介绍信（原件）

13. Basic information for enterprises issued by State Administration for Foreign Exchange with company's official chop (for the enterprise required to conduct Balance of Payment reporting)

已加盖公章的对公单位基本情况表（适用于有国际收支申报需要的单位）

14. **Additional documents required for foreign currency account**

开立外币账户的附加文件

- Foreign Exchange Certificate issued by State Administration for Foreign Exchange (for Foreign Invested Enterprise only) (original)
国家外汇管理局签发的外汇登记证（外商投资企业适用）（原件）
- Domestic corporate basic information registration and amendment form (for non-Foreign Invested Enterprise) (original)
境内机构基本信息登记、变更表（非外商投资企业适用）（原件）
- Account opening registration certificate under capital item from State Administration for Foreign Exchange (for Foreign Currency Account under Capital Item only) (original)
国家外汇管理局签发的资本项目外汇业务核准件（仅适用于开立外汇资本项目账户）（原件）

15. **Additional documents required for RMB account**

开立人民币账户的附加文件

RMB Basic Account

人民币基本存款账户

- 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（必须加盖公章）
- Commission for RMB Basic Account Certificate charged by local PBOC (RMB 200.00 in most cases but subject to local variation)
各地中国人民银行分支机构制作人民币基本存款账户开户许可证手续费（一般收费人民币 200 元，但收费标准各地区可能存在差异）

RMB General Account

人民币一般存款账户

- 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（必须加盖公章）
- 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）
- Self-declaration/evidence of account purpose (in case of self-declaration, such document should be with the company's official chop); loan contract (original) for loan purpose
有相关结算需要的声明/证明（若为单位自行声明，需加盖公章）；若因向银行借款而开立账户，请出具借款合同（原件）

RMB Temporary Account

人民币临时存款账户

- 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（必须加盖公章）
- 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）

RMB Special Account

人民币专用存款账户

- 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（必须加盖公章）
- 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）

Note:**注意事项:**

- i. 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。
- ii. The Business Customer Information/ Account Opening Form shall be signed and relevant account opening documents should be submitted at designated premises of the Bank.
商业客户须于银行指定的办公场所签署开立账户表格及提交相关的开户文件。
- iii. 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) and legal representative.
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，以及该授权开户办理人和法定代表人的身份证件原件。
- iv. If the account opening entity is not an independent legal person (e.g. a branch office of a company), all the above documentation to be certified by the legal representative should be certified by the responsible person stated in the business license.
如开户单位并非独立法人（如分公司等），则以上文件中要求法定代表人证明该文件复印件为真实完整副本的，均应由营业执照上的负责人作出该等证明。
- v. Please note that while the above documentary requirements are applicable in general, the exact requirements may differ due to the nature of the entity to open the account. 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，但因开户企业的性质不同而可能略有差异。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符合法规和/或尽职调查要求。
- vi. 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 updates 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，我行可能中止对账户持有人的服务。