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| <input type="checkbox"/> For Safeguard Use Only 汇丰保障计划专用 |
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Date 日期

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SMALL BUSINESS BANKING CUSTOMER INFORMATION CHANGE APPLICATION FORM 小企业客户信息变更申请表

Note注意:

1. Please tick (✓) where applicable and complete this form in BLOCK LETTERS. 请在适当的方格内划上钩号 (✓)，并用正楷填写。
2. Please cross out those not applicable. 请划去所有不适用的部分
3. Please provide relevant documentation necessary for information change and attach after this form. 所提交的新 / 修改后的资料请附于本表后。

| | |
|------------------------------|--------------------------------|
| Customer Name 客户名称 | Customer Number 客户号码 |
|------------------------------|--------------------------------|

Part 1 第一部份

| | | | |
|---|---|---|--|
| Change of Customer Registered Name 客户注册名称变更 | Registered Name in Chinese 中文注册名称 | <input type="checkbox"/> Please refer to the Business Registration Certificate/Business License/Certificate of Incorporation 请参照本公司商业登记证 / 营业执照 / 商业注册证书 | |
| | | <input type="checkbox"/> Please specify <table border="1"><tr><td> </td></tr></table> | |
| | | | |
| | Registered Name in English 英文注册名称 | <input type="checkbox"/> Please refer to the Business Registration Certificate/Business License/Certificate of Incorporation 请参照本公司商业登记证 / 营业执照 / 商业注册证书 | |
| | <input type="checkbox"/> Please specify <table border="1"><tr><td> </td></tr></table> | | |
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| | | | |
|---|---|---|--|
| Change of Legal Representative/ Person-in-Charge(Domestic Entity) /Chief Representative(Representative Office) /Person-in-Charge(Overseas Entity) 变更法定代表人 / 单位负责人(境内机构) / 首席代表(代表处) / 负责人(境外机构) | <input type="checkbox"/> Change contact details only 仅变更联系信息 | | |
| | Name 姓名 | <table border="1"><tr><td> </td></tr></table> | |
| | | | |
| | Contact Number(s) 联络电话 | <table border="1"><tr><td> </td></tr></table> | |
| | | | |
| ID Type/Number 身份证明文件种类 / 号码 | <table border="1"><tr><td> </td></tr></table> | | |
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|--|--|--|---|---|---|--|
| Change of Specimen of Company Chop/Financial Chop (Please provide the previous chop specimen except for changing name.) 公章 / 财务章样本变更 (除更名外, 需提供原章样本) | <input type="checkbox"/> Lost 遗失 | <input type="checkbox"/> Damaged 损毁 | <input type="checkbox"/> Change Name 更名 | <input type="checkbox"/> Others 其他 | <table border="1"><tr><td> </td></tr></table> | |
| | | | | | | |
| | Company Chop/Financial Chop Previous Specimen 原公章 / 财务章样本 | | Company Chop/Financial Chop New Specimen 新公章 / 财务章样本 | | | |
| | <table border="1"><tr><td> </td></tr></table> | | | <table border="1"><tr><td> </td></tr></table> | | |
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Part 2 第二部份

| | | | | | | |
|--|---|---|--|---------------------------------|---|--|
| Change of Specimen of Specific Authorized Signatory/ Legal Representative/ Person-in-Charge/ Chief Representative 授权签字人 / 法定代表人 / 单位负责人 / 首席代表本人签章样本变更 | Name of the Applicant 变更申请人姓名 | <table border="1"><tr><td> </td></tr></table> | | ID Type/Number 身份证明文件种类 / 号码 | <table border="1"><tr><td> </td></tr></table> | |
| | | | | | | |
| | | | | | | |
| | Previous Signature/Chop 原有签章 (Please specify the reason if cannot provide.)(若不能提供请注明原因) | New Signature/Chop 新签章 | | | | |
| <table border="1"><tr><td> </td></tr></table> | | <table border="1"><tr><td> </td></tr></table> | | | | |
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Part 3 第三部份

Change Entity Details 变更实体资料

| | |
|--|--|
| Update Registration / Incorporation Document 更新证件 | <input type="checkbox"/> ID Expired 证件到期 / 过期 <input type="checkbox"/> Change ID Type or ID number 证件类型或号码变更 <input type="checkbox"/> Business License <input type="checkbox"/> Certificate of Incorporation <input type="checkbox"/> Business Registration Certificate <input type="checkbox"/> Others (please specify) <input type="text"/> 营业执照 公司注册证 商业登记证 其他(请注明) |
| Change "Trading As" or "Doing Business As" Name(s) 变更营业名称 | <input type="checkbox"/> Same as Registered Name 与注册名称相同 <input type="checkbox"/> Others (please specify) <input type="text"/> 其他(请注明) |
| Change country or countries where the business is subject to tax residence 变更商业客户作为税收居民的国家 | <input type="text"/> |

Change Commercial Details 变更商业资料

| | | | |
|--|--|---|---------------------------------------|
| Change Country where Head Office is Located 变更总公司所在国家 | <input type="text"/> | Change Number of Employees 变更雇员数目 | <input type="text"/> |
| Change Countries where your business has physical presence including all subsidiaries, branches and offices 变更业务所在地包括所有子公司、分支机构及办事处的所在国家 | <input type="text"/> | | |
| Change Top 3 Countries of Revenues, Purchases and Assets Held 变更占收入、采购及所持资产比重最高的三个国家 / 地区 | Country 国家 <input type="text"/> | Country 国家 <input type="text"/> | Country 国家 <input type="text"/> |
| Change Annual Business Turnover 变更全年营业额 | | Currency 货币 | Amount 金额 |
| | Current Year 本年度 | <input type="text"/> | <input type="text"/> |
| | Average of Past Three Years 最近三年平均 | <input type="text"/> | <input type="text"/> |
| Change Asset Size 变更资产规模 | | Currency 货币 | Amount 金额 |
| | Current Year 本年度 | <input type="text"/> | <input type="text"/> |
| Change of Company Investor 变更客户投资方 | Please refer to attachment for details 投资方变更具体请见附件 <input type="checkbox"/> Add <input type="text"/> <input type="checkbox"/> Delete <input type="text"/> 新增 减少 | | |
| Change of Capital Investment Amount 变更资本金额 | To (Currency/Amount) <input type="text"/> 变更为(币种 / 金额) | | |
| Change of Registered Capital 变更注册资本 | To (Currency/Amount) <input type="text"/> 变更为(币种 / 金额) | | |

Change Contact Details 变更联络资料

| | |
|--|---|
| Change of Financial Controller 变更财务负责人 | <input type="checkbox"/> Add <input type="checkbox"/> Replace <input type="text"/> <input type="checkbox"/> Delete <input type="text"/> 新增 替换 删除 |
| | Name <input type="text"/> Telephone Number <input type="text"/> 姓名 电话号码 ID Type <input type="text"/> Mobile Number <input type="text"/> 身份证明文件种类 手机号码 ID Number <input type="text"/> Date of Birth (DD/MM/YYYY) <input type="text"/> 身份证明文件号码 出生日期(日/月/年) |
| Change of Other Transaction Contact Person 变更其他交易确认人 | <input type="checkbox"/> Add <input type="checkbox"/> Replace <input type="text"/> <input type="checkbox"/> Delete <input type="text"/> 新增 替换 删除 |
| | Name <input type="text"/> Telephone Number <input type="text"/> 姓名 电话号码 ID Type <input type="text"/> Mobile Number <input type="text"/> 身份证明文件种类 手机号码 ID Number <input type="text"/> Date of Birth (DD/MM/YYYY) <input type="text"/> 身份证明文件号码 出生日期(日/月/年) |

| | | | | | |
|--|------------------------------------|--|---|---------------------------------------|----------------------|
| <input type="checkbox"/> Not Applicable 不适用 | <input type="checkbox"/> Add 新增 | <input type="checkbox"/> Replace 替换 | <input type="text"/> | <input type="checkbox"/> Delete 删除 | <input type="text"/> |
| Name 姓名 | <input type="text"/> | Telephone Number 电话号码 | Country Code 国家 | Area Code 地区 | Telephone 号码 |
| ID Type 身份证明文件种类 | <input type="text"/> | Mobile Number 手机号码 | Country Code 国家 | Telephone 号码 | <input type="text"/> |
| ID Number 身份证明文件号码 | <input type="text"/> | Date of Birth (DD/MM/YYYY) 出生日期 (日 / 月 / 年) | <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> | | |

Change of Contact Person and Correspondence Address (Statement to be Sent to)
变更联络人及通讯地址 (邮寄结单地址)

Please clarify "Add only" or "Delete only" for the contact number, or the bank will refer to the details on the application form
请注明“仅为添加”或“仅为删除”的联系方式，否则我行将以该申请书上的联系方式为准。

| | | |
|--------------------------------------|---|-----------------------|
| <input type="checkbox"/> Add 仅为添加 | <input type="checkbox"/> Delete 仅为删除 | <input type="text"/> |
| Contact Person 联络人 | <input type="text"/> | Fax Number 传真号码 |
| Telephone Number 电话号码 | Country Code 国家 | Area Code 地区 |
| | Telephone 号码 | Mobile Number 手机号码 |
| Email Address (if any) 电邮地址 (如有) | <input type="text"/> | |
| Correspondence Address 通讯地址 | <input type="text"/> | |
| City 城市 | Country 国家 / 地区 | Postal Code 邮政编码 |

Change of Registered Address in Place of Incorporation
变更注册地址 (于注册国家 / 地区)

| | |
|--|---|
| <input type="checkbox"/> Same as Correspondence Address 与上述通讯地址相同 | <input type="checkbox"/> Please refer to the registered address shown on the Business Registration Certificate/ Business License/Certificate of Incorporation 参照本公司商业登记证 / 营业执照 / 商业注册证书上的所示之商业注册地址 |
| <input type="checkbox"/> Other address 其他地址 | <input type="text"/> |
| City 城市 | Country 国家 / 地区 |
| | Postal Code 邮政编码 |

Change of Business Address
变更营业地址

| | |
|--|--|
| <input type="checkbox"/> Same as Correspondence Address 与上述通讯地址相同 | <input type="checkbox"/> Same as above Registered Address 与上述注册地址相同 |
| <input type="checkbox"/> Other address 其他地址 | <input type="text"/> |
| City 城市 | Country 国家 / 地区 |
| | Postal Code 邮政编码 |

Change Bank Services 变更银行服务

Change of VAT Information (for Invoice issuance)
增值税信息变更 (适用于发票开具)

Tax Registration Number or United Social Credit Number
纳税人识别号或统一社会信用代码

Phone Number
联系电话

Country Code
国家

Area Code
地区

Telephone
号码

Name of the Bank (for tax purpose)
纳税专户开立的银行中文名称

Account Number (for tax purpose)
纳税专户开立的银行账户号

Frequency of Invoice Mailing
增值税发票寄送方式

Sent on every Statement Date monthly
每月结单日寄送

Sent by request
按需寄送

General VAT taxpayer
一般纳税人

Yes
是

No
否

*The address printed on the VAT invoice will be the corporate registered address *增值税发票打印地址将为贵司在我行登记之商业注册地址
* VAT invoice will be sent to your correspondence address recorded in the bank *增值税发票邮寄地址将为贵司在我行登记之通讯地址

Change of Statement Cycle/Date
结单周期 / 结单日变更

Statement Cycle
结单周期

Weekly
每周

Monthly
每月

Bi-monthly
两月

Quarterly
每季

Half-yearly
半年

Yearly
每年

Statement Date
结单日

Month End of each Month
每月的最后一天

Others
其他

Statement Type
结单类别

Regular Statement
普通结单

Composite Statement
综合结单

Statement Language
结单语言

English
英文

Chinese
中文

| Change Details of Connected Parties-Entities 变更关联方资料 - 实体 | | <input type="checkbox"/> Add 新增 | <input type="checkbox"/> Change 变更 | <input type="checkbox"/> Delete 删除 (仅需填写关联方姓名及类别) |
|---|--|---|--|--|
| Capacity of Connected Party 关联方 (实体) 类别 | <input type="checkbox"/> Intermediate Owner 中间实益所有人 (实体) <input type="checkbox"/> Ultimate Beneficial Owner 最终实益所有人 (实体) <input type="checkbox"/> Ultimate Beneficial Owner 关键控制人 (实体) <input type="checkbox"/> Guarantor 担保人 (实体) | | | |
| Registered Name 注册名称 | In English 英文 | <input style="width: 100%;" type="text"/> | | |
| | In Chinese 中文 | <input style="width: 100%;" type="text"/> | | |
| “Trading As” or “Doing Business As” Name (if different from legal name) 营业名称 (如与法定名称不同) | <input style="width: 100%;" type="text"/> | | | <input type="checkbox"/> Not Applicable 不适用 |
| Registration / Incorporation Document 登记 / 注册文件 | <input type="checkbox"/> Unified Social Credit Code / Organization Code 统一社会信用代码 / 组织机构代码 | <input style="width: 100%;" type="text"/> | | |
| | <input type="checkbox"/> Special Organization Code 特殊机构赋码 | <input style="width: 100%;" type="text"/> | | |
| | <input type="checkbox"/> Certificate of Incumbency 在职证明 | <input style="width: 100%;" type="text"/> | | |
| | <input type="checkbox"/> Certificate of Good Standing 续存证明 | <input style="width: 100%;" type="text"/> | | |
| | <input type="checkbox"/> Others 其他 | <input style="width: 100%;" type="text"/> | | |
| Nature of Business / Industry 业务 / 行业性质 | <input style="width: 100%;" type="text"/> | | | |
| Country of Registration 注册国家 / 地区 | <input style="width: 100%;" type="text"/> | | | |
| Country of Business Operation 业务营运所在地 | <input style="width: 100%;" type="text"/> | | | |
| Registered Address 注册地址 | <input style="width: 100%;" type="text"/> | | | |
| | City 城市 | <input style="width: 100%;" type="text"/> | Country 国家 / 地区 | <input style="width: 100%;" type="text"/> |
| Percentage of Ownership 拥有权百分比 | <input style="width: 100%;" type="text"/> | % | Percentage of Voting Rights (if different) 投票权百分比 (如有不同) | <input style="width: 100%;" type="text"/> |
| | | | | % |

Definition 定义:

1. Beneficial Owner 实益所有人

A Beneficial Owner is an individual or an entity who owns or exercises control over the Customer arising from their shareholding or other ownership interest in the Customer; or from control over the voting rights; or from exercising other control over the composition and/or the voting of the Board of Directors.

A Beneficial Owner can also be the party on whose behalf a transaction or activity is being conducted. Note that:

- a) Ultimate Beneficial Owner (UBO) – Usually an Individual who ultimately owns a legal entity and/or the person on whose behalf a transaction is being conducted. The UBO is any natural person or government body that owns, has the right to vote, or has the power to sell or direct the sale of a class of the business' voting securities of an Intermediate Owner.
- b) Intermediate Owner (IO) – An Entity or legal arrangement (e.g. structure such as a Trust, Foundation etc.) identified as existing within the corporate structure that sits between the Customer and the UBO (as defined above) in the ownership chain.

实益所有人是因为拥有股份、所有权、投票权或者能够对董事会的组成和 / 或投票加以影响, 从而拥有公司所有权或者可以行使控制权的个人或实体。

如果交易和活动都是代表某一个人或实体进行的, 该个人或实体也可以作为实益所有人, 实益所有人可以分为:

- a) 最终实益所有人 - 通常指最终拥有一个法律实体的个人, 或者说交易都是以这个个人的名义进行的。最终实益所有人可以是自然人也可以是政府实体, 它可能拥有股权、投票权或者有权利销售或指定销售某个中间实益所有人的某个级别的拥有投票权的证券。
- b) 中间实益所有人 - 中间实益所有人是所有权结构中位于客户与其最终实益所有人之间的实体或者法律安排 (如信托、基金等结构)。

2. Director 董事

A Director is an appointed member of a Customer's Board and may be either an executive or a non-executive.

The roles and responsibilities of a Board of Directors will vary according to the type of entity. A Director may or may not be a key Controller for the purposes of CDD.

For entities, certain Directors and managers will be classified as Key Controller, due to their ability to exercise significant control over an entity and to have a substantial influence over the day-to-day management of the business.

董事是客户的董事会的指定成员, 可以是执行董事, 也可以是非执行董事。根据企业类型不同, 董事的职责有所不同。按照客户尽职调查的目的, 一个董事可能是关键控制人, 也可能不是关键控制人。对公司而言, 某些董事和经理会被归类为关键控制人, 因为他们对公司有重大的控制权, 并且对日常业务管理有持续性的影响。

3. Key Controller 关键控制人

A Key Controller is someone who is elected or appointed to exercise more direct control over the Customer entity, by participating in the governance or senior executive activities of the Customer. Key Controllers typically set the strategic direction of the entity.

The title given to a Key Controller varies according to the type of entity, Country of Operation, and Country of Incorporation/Registration/Formation.

关键控制人是被选举出来或者被任命对客户的企业进行直接控制的人。他们通过参与企业的管理或者高层执行活动来实现这种控制。关键控制人通常掌控企业的战略方向。赋予关键控制人的头衔因企业类型的不同、业务运营所在国的不同、企业注册所在国的不同而有所差异。

4. Direct Appointee 直接受任人

A Direct Appointee is a person authorised under an executed instrument of the Customer Entity to act on its behalf with respect to the banking relationship and also to delegate authority to others to represent the Customer entity in more limited circumstances. e.g. Direct Appointee may appoint Authorised Signatories.

Direct Appointee may not themselves be Key Controllers but are typically appointed by Key Controller or the Board of Directors. They may or may not themselves be Authorised Signatories.

Direct Appointee may be product specific.

直接受任人是指在企业的一种执行手段下被授权代表企业维持银行关系的人。直接受任人也可以授权其他人在更为有限的情况下代表企业, 例如直接受任人也可以指定授权签字人。

直接受任人本身可能不是关键控制人, 但通常被关键控制人或者董事会指定。他们自身可以是、也可以不是授权签字人。

直接受任人可以是因具体产品而设。

5. Authorised Signatory 授权签字人

An Authorised Signatory is a Customer staff member who receives delegated authority to the Customer's HSBC products and services. Authorised Signatories with Sole Authority over the Customer's HSBC account/Financial affairs are also considered to be Key Controllers due to the influence they have over the business.

Where Authorised Signatories are not recorded in product level due diligence, they may be recorded in the CDD profile.

授权签字人是得到授权处理与汇丰的产品和服务相关事务的雇员。授权签字人对于客户在汇丰的账户和融资事务有单独的授权, 由于他们对公司业务有影响, 因此也被视为关键控制人。

当授权签字人没有被列入产品层面的尽职调查, 他们就被记录在客户尽职调查的档案中。

Part 4 - Customer Signatory

第四部份-客户签署

Notes 签署说明:

1. For Changes in Part I: Domestic entity/representative office should sign this Form by Legal Representative/Person-in-Charge/Chief Representative's Signatory plus Company Chop; Overseas entity should sign it by any group of authorized signatory(ies)/Chop(s). For mere change of domestic entity/representative office's company chop/financial chop, any group of authorized signatory(ies)/Chop(s) plus company chop is also acceptable; for change of English name, the direction of Part III can be followed if the signatory of the company remains unchanged.

第一部分若有变更: 境内机构 / 代表处应由法定代表人 / 单位负责人 / 首席代表签字并加盖公章; 境外机构应由任意一组授权签字人签章。对于境内机构 / 代表处仅变更公章 / 财务章样本, 也可由任意一组授权签字人签署并加盖公章; 对于企业英文名称变更, 若其预留印鉴并未发生相应更改, 则可遵循第三部分的签署要求。

2. For Changes in Part II: The authorized signatory should give his/her previous signatory(ies)/chop(s) in Part II; if he/she cannot provide previous signature/chop, the authorized signatory should come to any branch in person with the application form on which company chop has been stamped or Legal Representative/Person-in-Charge/Chief Representative has signed.

第二部分若有变更: 该签字人本人应在第二部分相应栏位中留下原有签章; 若无法提供原有签章, 需签字人本人亲临办理, 并在客户签章处加盖公章或法定代表人 / 单位负责人 / 首席代表签字生效。

3. For Changes in Part III: Domestic Entity/Representative Office could sign the Form by Legal Representative/Person-in-Charge/Chief Representative's Signatory plus Company Chop OR any group of authorized signatory(ies)/Chop(s); Overseas Entity should sign it by any group of authorized signatory(ies)/Chop(s).

第三部分若有变更: 境内机构 / 代表处可由法定代表人 / 单位负责人 / 首席代表签字并加盖公章或由任意一组授权签字人签章; 境外机构应由任意一组授权签字人签章。



Customer Signatory(ies)/Chop(s) 客户签章

For Bank Use Only 银行专用

1. If the following information is changed due to change of customer's investor / business scope, please fill in the updated code.

如客户投资方/经营范围变更引起以下信息更新, 请填写更新的代码

Market Sector

Industry Code

CB Classification Code

2. Customer Type 客户类别

Acceptable Publicly Listed Entities 被公众认可的上市公司

Wholesale 批发商

Equivalently Regulated Financial Institutions 受同样监管的金融机构

Other Entities 其他实体