# Chongqing Rongchang HSBC Rural Bank Company Limited 重庆荣昌汇丰村镇银行有限责任公司

Date _		70.75	70.00	W 7	W 7	W 7	w 7
日期	DD	M	M	Y	Y	Y	Y

# BUSINESS ACCOUNT OPENING FORM 商业客户开户表格

Note: Please complete in block letters and tick where applicable. 注意: 请以正楷填写,并在适当的地方打勾。

For Bank Use Only 银行专用			
Branch	Customer/Account Number		
分行	客户 / 账户号码		

Account Type 账户类别	
	人民币 RMB
人民币基本账户 RMB Basic Account	人民币临时账户 RMB Temporary Account
人民币一般账户 RMB General Account	人民币专用账户(资本金) RMB Special Account (Capital)
人民币一般账户(流动资金贷款) RMB General Account (Working Cap	人民币同业银行专用账户(结算) RMB Inter-Bank Financial Institution Special Account (Settlement)
人民币一般账户(项目融资) RMB General Account (Project Finar	人民币同业银行专用账户(投融资) RMB Inter-Bank Financial Institution Special Account (Investment and Financing)
人民币一般账户(固定资金贷款) RMB General Account (Fixed Asset )	其他(请注明) Others (please specify)
1. Entity Details (Mandatory) 实体员	· · · · · · · · · · · · · · · · · · ·
Company Information 公司资料	
Registration / Incorporation Document 登记 / 注册文件	Unified Social Credit Code / Organization Code 统一社会信用代码 / 组织机构代码
	Special Organization Code 特殊机构赋码
	Others 其他
Date of Registration 注册日期 (Day/Month/Year) (日 / 月 / 年)	DDMMYYYY Country of Registration 注册国家
Registered Name in Chinese 中文注册名称	
Registered Name in English 英文注册名称	
	(Please provide correct English name which is mandatory for foreign currency remittance. Please refer to the registered English name or (if none) the English name on certificate of approval or articles of association. 英文名称为外汇汇款必须信息,请务必提供正确的英文名称。请依照经登记的英文名称,或在没有经登记的英文名称的情况下,依照批准证书或章程中所列的英文名称。)
"Trading As" or "Doing Business As" Name(s)	Same as Registered Name 与注册名称相同
营业名称	Others (please specify) 其他(请注明)
	In English 英文
	In Chinese 中文
	Not Applicable 不适用
Formal Legal Name of Customer in last 5 Years 曾用法定名称(过去5年内)	In English 英文
自加公定有你(及公5年代)	In Chinese 中文
	Not Applicable 不适用

Entity Type 实体类别	□ 国有企业 ( <u>SOE:</u> STATE-OWNED ENTERPRISE) □ 私营企业 ( <u>POE:</u> PRIVATE-OWNED ENTERPRISE)
大件大加	境 外商投资企业 (FOREIGN INVESTED ENTERPRISE) [ 外商独资企业(WFE) 中外合资经营企业(EIV) 中外合作经营企业(CIV)]
	内 注 集体企业 ( <u>COE</u> :COLLECTIVELY-OWNED ENTERPRISE) 合伙企业 (PARTNERSHIP ENTERPRISE)
	册 事业单位 (GOVERNMENT SPONSORED INSTITUTION)
	□ 其他 (OBA:OTHER BUSINESS ENTITY (CHINESE) ) 请说明 (Others, please specify)
Listing on Stock Exchange 上市公司	Yes No Name of Stock Exchange 交易所名称
Type of Issued Shares 已发行股票类别	(Only for Limited Company and applicable for all intermediate layers of the company) (仅适用于有限公司并适用于公司所有权结构中的全部中间层) Registered Share 记名 Bearer Shares Deposited with HSBC 无记名(存放于汇丰) Bearer Shares Deposited with Parent Company 无记名(存放于母公司) Bearer Shares Deposited with Custodian 无记名(存放于保管人) Bearer Shares not Deposited with Custodian 无记名(存放于保管人) If held by Custodian, please advise the name of the Custodian and nature of relationship between the Custodian and account holder: 若由保管人持有,请填写保管人名称以及保管人与账户持有人关系的性质:
	Name 名称
	Nature of Relationship 关系性质
	Not Applicable
	不适用
State or Government Owned Entity (Must be completed if Company is owned directly or indirectly by State	Name of State or Government 国家或政府名称
or Government over 50%) 国家或政府拥有实体(如国家或政府	Ownership (%) 持股量 (%) Voting Rights (%) (if different) 投票权 (%) (如有不同)
直接或间接持股超过50%,则必须填写)	Not Applicable
Is the Entity a regulated financial	不适用
institution? 公司是否受监管的金融机构?	Yes, Details of Regulatory Body 是,监管机构资料
	Name 名称
	Country 国家 / 地区
	No
Country or countries where the business is subject to tax residence 商业客户作为税收居民的国家	
Is the business or any of its customers or suppliers involved in the gaming industry (e.g. online gambling, casinos) or military industry? 公司或其客户/供应商是否涉及博彩业 (如:网上赌博、赌场)和军事行业?	Yes - Business 是 - 公司 Details of their involvement 参与详情  Yes - Suppliers
	□□□□□□□□□□□□□□□□□□□□□□□□□□□□□□□□□□□□
	Yes - Customers 是 - 客户
	Details of their involvement 参与详情
	No 否
Countries with HSBC Business Account (if any) 在哪些国家 / 地区开立汇丰商业账户	Country or Countries where you have HSBC Accounts 公司在右列国家 / 地区开立汇丰账户
(如有)	Primary HSBC Customer Number 汇丰基本账户号码
	Not Applicable 不适用



Nature of Substance Information (	2.Commercial Details (Mandatory)	商业资料(必须填写)				
###	A. Business Information 业务资料					
Profession   Products Services Offices   Products Offices   Products Services Offices   Products Offic						
Formation Operating Business or Communical Operating Business Communication Operation O		[ ············ ] [ · · · · · · · · · · ·				
Tability Company   Product of Product of Experience in Business   Product of Product of Experience in Business   Product of Experience   Product of Experience in Business   Product of Experience in Experience   Product of Experienc						
Policy		Commercial Operating Business				
Countries where your Pusiness has physical presence including all subsidiaries, practices and offices as 多原性的 电对象		Holding Company What is the Holding Company's economic purpose?				
Countries where your Pusiness has physical presence including all subsidiaries, practices and offices as 多原性的 电对象						
	(e.g. toys/garments)					
Start-up Company   Start-up C						
Reason(s) why your Business las no Employees (In applicable 知论有量具、译列明题图(知道用)    Sixt-ty-Company   Dussument/Property Holding Company   分表   Mich 2 Applicable   Mich	physical presence including all subsidiaries, branches and offices 业务所在地包括所有子公司、分支机构					
新成立公司   投資、物度技限公司   上外電   外電   外電   外電   小で記書   日本地   外電   小で記書   小述書   小で記書   小で記書   小で記書   小で記書   小で記書   小で記書   小で記		is Located				
Project-based Basiness   Jee (新社等)		Start-up Company Investment/Property Holding Company Outsourcing				
Reason(s) for Setting up Account in China 在中国开立帐户的原因    If the company does not have regular business presence e.g. stafforflice in China. 如公司在中国并无常模业务。例如员工、办事处。)   Not Applicable		Project-based Business Others (please specify)				
in China 在中国开立账户的原因    Not Applicable   Rail   Registered Name   Paux   Registered Name   Paux   Rail   Ra		Not Applicable				
Not Applicable   Table   Not Applicable   Table   T	in China	(If the company does not have regular business presence e.g. staff/office in China. 如公司在中国并无常规业务,例如员工、办事处。)				
Tading As" Name (If difference from Registered Name) (If difference from Registered Name) (If difference from Registered Name) (If difference from Business up 2 Business age) (If any) (If difference from Business up 4 Business age) (If any) (If difference from Registered Name) (If difference from Registered Name) (If difference from Business up 4	在中国开立账户的原因   					
Account       Example for Reference: 1. Domestic Business Operations 2. Domestic Investment 3. Foreign Business Operations 4. Foreign Investment 境内投资 1. 境内投资 1. 境内投资 1. 场投资 1. 场投资 1. 场投资 1. 场投资 1. 场投资 1. Business Operations 4. Foreign Investment 境内投资 1. 场投资 1. Domestic Investment 境内投资 1. 场投资 1. Business Operations 4. Foreign Investment 境内投资 1. Domestic Investment 1. Foreign Business Operations 4. Foreign Investment 境内投资 1. Domestic Investment 1. Domestic Inves						
A 何例內容仅供参考: 境內业务营运 境內投资 境外业务营运 境外投资       5. Commercial activity 商业目的	Account					
Registered Name 注册名称   Mature of your Customer Base 客户性质   Not Applicable 不适用   Nature of your Customer Base 客户(如有)   Individual 小人人 Government/Public Sector Bodies 政府 / 公菅机构   Nature of Business 业务件质   Government/Public Sector Bodies 政府 / 公菅机构   Native of Business 副						
Key Customer who Accounts for More Than 50% of Total Sales (if any)						
注册名称   注册名称   注册名称   注册名称   注册名称   注册名称   注册名称   注册名称   注册名称で開からいい。   注册名称で用かい。   注册名称で用かい。   注册名称で用かい。   注册名称で用かい。   注册名称で用かい。   注册名称(加加)						
Trading As" Name (If difference from Registered Name) 营业名称 (如与注册名称不同)         % of Sales Revenue 占收入百分比       % of Sales Revenue 占收入百分比         Nature of Business 业务性质       Not Applicable 不适用         Nature of your Customer Base 客户性质       (Select all that apply请选择所有适用的项目)         客户性质       Individual 人人人 公司 公司         个人人 Government/Public Sector Bodies 政府 / 公营机构       Banks and other Financial Institutions 银行及其他金融机构	More Than 50% of Total Sales	Registered Name 注册名称				
Individual		(If difference from Registered Name)				
业务性质       Not Applicable 不适用       Nature of your Customer Base 客户性质     (Select all that apply请选择所有适用的项目)       客户性质     Individual 个人       个人     公司       Government/Public Sector Bodies 政府 / 公营机构     Banks and other Financial Institutions 银行及其他金融机构						
Nature of your Customer Base 客户性质 名中性质 名中性质 のGovernment/Public Sector Bodies 政府 / 公营机构 の						
客户性质       Individual						
Other Rusinesses		Individual				



Have there been material changes to your business in the last five years 过去五年公司曾有重大变动	(e.g. Changes to ownership, company name, parent company, countries of operation, nature of business, products/services)  (例如: 股东、企业名称、母公司、业务所在地、业务性质、产品 / 服务等的变动)  Yes, please provide details 有,请提供详情					
	No					
Countries With More Than 20% of Revenues, Purchases and Assets Held 占收入、采购及所持资产比重	Country 国家 / 地区	Percentage of revenue / intended revenue 占收入 / 预计收入百分比	Percentage of purchases/ intended purchases 占采购 / 预计采购百分比	Percentage of assets held 占资产百分比		
超过20%的国家 / 地区						
B. Financial Information 财务资料						
Expected Source of Funds (e.g. source of business' initial deposits) 开户存款的资金来源						
	Example for Reference: 1. Investment 右侧内容仅供参考: 最终实益技	by Ultimate Beneficial Owner/ Partn 拥有人 / 合伙人的投资	ner 2. Intragroup Financing 集团内融资	3. Income - Business Income 收入-营业收入		
	4. External In 外界投资	贷款-企业	房地产开发 / 投资	nent 7. Transfer from HSBC Account 转自汇丰账户		
	8. Sale of Ass 资产或财 12. Income - S		10. Gift 赠与	11. Pension 退休金		
	收入-薪金	Balary 13. Lottery Gaming V 博彩奖金	Vin 14. Lump sum - Redundancy Paym 裁员赔偿	ent 15. Loan - Family 贷款-家庭		
Country of Expected Source of Funds for Account Opening 开户存款资金来源的国家/地区						
How are the funds going to be transferred into HSBC account(s)?	Cash 现金					
资金转入汇丰账户的方式	Currency and Amount 货币及金额					
	please state the source where the cash is generated if cash deposit above USD 10k or equivalent currency.					
	如果现金存款额超过1万美金或等值货币,请说明其来源。					
Cheque 支票						
	Currency and Amount 货币及金额					
	Issued by (e.g. bank, Non-B. 支票发行机构(如银行,					
	Drawer	mer Itself				
	Others	s, please specify the relationship 请说明出票人与客户关系及签				
		WALLEY TO ANALY				
	Domestic Transfer 境内转账					
	Currency and Amount 货币及金额					
	Name of the Financial Instit that is making the transfer 汇出汇款金融机构名称	ution				
		mer Itself				
	Others	>另 s, please specify the relationship 请说明汇款发起方与客户关系	with originator and reason			
	上	· 明见奶在秋及起刀司各广大名	<b>《</b> 次金及义示尔凶			
	Others (please specify) 其他(请注明)					
	Currency and Amount 货币及金额					



Where a non-significant amount is being deposited, will the Customer be depositing any significant sums in the future? 如果开户时未汇入较大金额,将来是否会存入大笔款项?	Yes  No Applicable  不适用
Initial Source of Wealth (e.g. activities that generate the business' accumulated capital and ongoing deposits) 初始财富来源 (如: 提供累积资本及后续存款活动) Applicable for companies established<3 years, for sole traders established<2 years 适用于成立时间小于3年的非个体经营者公司;适用于成立时间小于2年的个体经营者(Sole Trader)	Please select (Multiple options allowed) 请选择(可多选)  1. Investment by Ultimate Beneficial Owner/ Partner 最终实益拥有人 / 合伙人的投资  2. Intragroup Financing 集团内融资  4. External Investment 外界投资  7. Sale of Assets or Property 资产或财产出售  10. Pension 退休金  11. Income - Salary 收入-薪金  13. Lump sum - Redundancy Payment 裁员赔偿  14. Active Wealth/Investments 积极的财富管理 / 投资  15. Business Ownership 企业所有权  16. Others 人名的对象 是一个人的政策,但是一个人的政策,但是一个人的政策,但是一个人的政策的关系。但是一个人的政策的问题。  16. Provide an overall summary of initial source of wealth 请概括阐述初始财富来源
	Not Applicable 不适用
Ongoing Source of Wealth 持续性财富来源	Please select (Multiple options allowed) 请选择(可多选)  1. Investment by Ultimate Beneficial Owner/ Partner 最终实益拥有人 / 合伙人的投资
Relevant Financial Performance Indicator 相关的财务表现指标	Annual Business Turnover 全年营业额 Approximate total annual turnover of the Company. If your company is a start-up business, please advise based on your business plan. 公司的概约全年营业总额。如为新成立公司,请根据业务计划填写。  Currency Amount 金额  Current Year 本年度  Average of Past Three Years 最近三年平均  Projected for Next Year 下年度预算
	Asset Size 资产规模
	Currency 货币     Amount 金额       Current Year 本年度        Projected for Next Year 下年度预算
	Asset Under Management 资产管理规模
	Currency 货币     Amount 金额       Current Year 本年度     Projected for Next Year 下年度预算
	Others 其他
	Currency 货币     Amount 金额       Current Year 本年度        Projected for Next Year 下年度预算
Is the financial report of your company audited by an international firm of	Yes, name 是, 名称
accountants? 贵公司的财务报告是否由国际会计师 事条所审计?	No Æ



C. VAT Information 增值税信息	Not	Applicable 不适用
Is the entity a general VAT taxpayer? 公司是否为增值税一般纳税人?	Yes No 吾	
Tax Certificate Number (for Invoice Issuance)	Tax Registration Number (15 digits,SAT) 纳税人识别号(15位代码,国税)	
税务登记证号码(适用于发票开具)	Unified Social Credit Number (18 digits) 统一社会信用代码(18位代码)	
Phone Number (for Invoice Issuance) 联络电话(适用于发票开具)		
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码		
Frequency of VAT Invoice Mailing 增值税发票寄送方式	Sent on every Statement Date Monthly (if applicable) 每月结单日打印寄送(如有) Sent by request 按需寄送	
Notes 说明	1. 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。 2. 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。 3. The types and contents of the invoice provided would be decided by customer nature and relevant laws/regulati <www.mof.gov.cn> for detailed information. 关于本行所能提供的发票种类以及发票内容,将取决于客户性质及国家增值税相关规定,具体信息 &lt;中华人民共和国财政部官网&gt;。</www.mof.gov.cn>	
D. Ultimate Parent Company 最终社	公司信息 Not	Applicable 不适用
Name of the Ultimate Parent Company 最终母公司名称	In English 英文	
	In Chinese 中文	
	(Nominate one lead parent if a joint venture对于合资企业,请提供主要的母公司)	
Previous Name (If Changed in the Last 5 Years) 曾用名(若在之前五年内更改)	In English 英文	
	In Chinese 中文	
	Not Applicable 不适用	
Country and Year of Incorporation / Registration of Ultimate Parent Company	Country of Incorporation/Registration 成立 / 注册国家	
最终母公司成立 / 注册所在国家和年份	(US state of registration / incorporation for company registered in the US) (如果母公司在美国成立 / 注册,请提供所在州的名称)	
	Year of Incorporation/Registration 成立 / 注册年份	
Nature of Business / Industry for the Ultimate Parent Company 最终母公司业务 / 行业性质	Industry 行业	
	Industry 行业	
Is the Ultimate Parent Company listed on any stock exchange?	Yes, please provide name of the stock exchange 是,请提供股票交易所名称	
最终母公司是否是上市公司?		
	No 否	
Is the Ultimate Parent Company a Regulated Financial Institution? 最终母公司是否是受监管的金融机构?	Yes, please provide the name of the regulator 是,请提供监管机构名称	
	Country	
	Country 国家 / 地区	



3. Contact Details (Mandatory) 联约	格资料(必须填写)					
Contact Person and Correspondence Address (Statement to be Sent to) 联络人及通讯地址(邮寄结单地址)	Contact Person 联络人					
	Telephone Number 电话号码	Country Code A 地	rea Code	one		
	Fax Number 传真号码	Country Code A 国家 地	rea Code Telepho 号码	one		
	传真专归 Mobile Number	Country Code Te国家 号	elephone 码			
	手机号码					
	Correspondence Addres 通讯地址	38				
	City 城市	Country 国家 / 地区	Ž	Postal Code 邮政编码		
Registered Address in Place of Incorporation	Same as above 与上述地址相同					
注册地址(于注册国家 / 地区)	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					
	Other address 其他地址					
	City 城市	Country 国家 / 地区	₹	Postal Code 邮政编码		
Business Address	Same as Correspo		-	THE ACTION OF		
营业地址	与通讯地址相同 Same as Register Address 与注册地址相同					
	与注册地址相同 Other address					
	其他地址					
	City 城市	Country 国家 / 地区	₫	Postal Code 邮政编码		
Financial Controller 财务负责人	Name 姓名		Date of Birth (DD/! 出生日期(日 / 月			
	ID Type 身份证明文件种类		ID Number 身份证明文件号码	j		
	C Telephone Number 电话号码	Country Code Area 地区	Code Telephone 号码			
	L	Country Code Teleph 号码 号码	hone			
	手机号码					
Legal Representative/Person-in-Charge 法定代表人 / 负责人	(Domestic Entity) (境内机构)法定	Legal Representative/Person 代表人 / 负责人		ea Entity) Person-in-Charge 机构) 负责人		
	Name 姓名		Date of Birth (DD/! 出生日期(日 / 月			
	ID Type 身份证明文件种类		ID Number 身份证明文件号码	<u> </u>		
	Telephone Number 电话号码	Country Code Area 国家 地区	Code Telephone 号码			
		Country Code Telepp 号码	hone			
	手机号码					



Other Transaction Contact Person 其他交易确认人	Name 姓名	Date of Birth (DD/MM/YYYY) 出生日期(日 / 月 / 年)					
	ID Type 身份证明文件种类	ID Number 身份证明文件号码					
	Telephone Number 电话号码	Area Code Telephone 地区 号码					
	Mobile Number 手机号码	Telephone 号码					
	Not Applicable 不适用						
	Name 姓名	Date of Birth (DD/MM/YYYY) 出生日期(日 / 月 / 年)					
	ID Type 身份证明文件种类	ID Number 身份证明文件号码					
	Telephone Number 电话号码	Area Code Telephone 号码 — — — — — — — — — — — — — — — — — —					
	Mobile Number 手机号码	E Telephone 号码					
Authorized Signatory for Account Opening 开户授权人	Not Applicable 不适用						
7/7 12/40/7	Name 姓名	Date of Birth (DD/MM/YYYY) 出生日期(日 / 月 / 年)					
	ID Type 身份证明文件种类	ID Number 身份证明文件号码					
	Telephone Number 电话号码	e Area Code Telephone 号码 — □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □					
	Mobile Number 手机号码	Telephone 号码 —					
Business Email Address 业务电邮地址:							
Business Website URL (if any) 公司网址(如有)							
Details of Contact Person(s) (for banking and direct marketing information purposes only)	Mr Mrs 女士						
联络人资料 (仅用于接收银行资讯及市场资讯)	Job Title 职位						
	Telephone Number 电话号码	Country Code Area Code Telephone 号码 — — — — — — — — — — — — — — — — — —					
	Mobile Number 手机号码	Country Code Telephone 号码 一					
	Business Email Address (if any) 业务电邮地址(如有)						
	Channel to Receive Information 信息获取渠道	Email Short Message					
	Not Applicable 不适用						
Power of Attorney Address (if applicable) 委托代理人地址(如适用)							
	Not Applicable 不适用						



4. Bank Services (Mandatory) 银	<b>厅服务(必须填写)</b>					
Account Statement (for statement savings and	Type of Language					
current accounts only) 账户结单 (仅适用于结单储蓄账户及往来账户	Composite Statement (ie. One single statement for all your accounts with the Bank) 综合结单(即一张结单列出在本行开立的所有账户) Account Statement (ie. A separate statement for each account)					
	普通结单(即每一账户之独立结单) - An account statement will be provide monthly, commencing one month from the date your account is opened, unless you					
	specify otherwise I the space provide below: - 除于下面位置特别指出者外,本行将于账户开立一个月起,按月送出贵机构之账户结单 - Unless specified, statement will be sent out at the beginning of the following month - 如无特殊说明,本行将于月初送出贵机构上月账单					
	Statement Frequency Weekly 每周 Monthly Bi-monthly Quarterly 中年 Yearly 每年					
	Number of Copies       (Please be reminded bank charges for additional statement)         数目       (请注意银行对附加结单将额外收费)					
	Additional Mailing Address (if required) 额外邮寄地址(如有需要)					
5. Details of Connected Parties (M Definition 定义:	Iandatory) 关联方资料(必须填写)					
1. Beneficial Owner 实益所有人						
	l 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 righ	ts; or from exercising other control over the composition and/or the voting of the Board of Directors.					
	party on whose behalf a transaction or activity is being conducted. Note that:					
· · · · · · · · · · · · · · · · · · ·	(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 pe securities of an Intermediat	rson 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					
	An Entity or legal arrangement (e.g. structure such as a Trust, Foundation etc.) identified as existing within the corporate structure that					
	and the UBO (as defined above) in the ownership chain.					
	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。					
	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:					
	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. 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。					
	致有有权利用告致相定用告来! 中间实量所有人的来自级别的拥有这宗权的证分。 3.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 l	Board of Directors will vary according to the type of entity. A Director may or may not be a key Controller for the nurnoses of CDD					

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。根据企业类型的不同,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 直接被任命人

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 Authorized Signatories.

Direct Appointee may be product specific.

直接被任命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。直接被任命人也可以授权其他人在更为有限的情况下代表企业,例如直接被 任命人也可以指定授权签字人。

直接被任命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。直接被任命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。



Pages	of	
Please attach extra pages due to 请根据实际情况附		

5. Details of Connected Parties (Mandatory) 关联方资料(续)					
A. Individuals 个人					
Full Name in English 英文全名	Mr 先生 女士 女士				
Full Name in Chinese 中文全名	Former Name / Alias 曾用名 / 别名				
Capacity of Connected Party 关联方(人士)类别	Sole Proprietor 独资经营者  Partner 合伙人  Beneficial Owner  Ownership  Ownership  Ownership				
	持股量 / / / / / / / / / / / / / / / / / / /				
	投票权				
	Trustee 受托人 Donor/Grantor 捐助人 / 授予人 Managing Members 管理会员 Donor/Grantor 引助人 / 授予人 Touncil Member 理事会成员 其他				
Identification Document Type and Number 身份证明文件种类及号码	Identity Card     Passport       身份证     护照       Number     Date of Expiry (Day/Month/Year)       号码     有效期至(日/月/年)				
Date of Birth (Day/Month/Year) 出生日期 (日 / 月 / 年)	DDMMYYYY Country of Birth 出生国家 / 地区				
Job Title 职位	Multiple Nationalities				
Nationality 1 国籍1	Nationality 2 国籍2 国籍3 Nationality 3 国籍3				
Tax Residing Country 其作为税收居民的国家					
Country(ies) of Source of Wealth (For Ultimate Beneficial Owner Only) 财富来源国家 / 地区 (仅适用于最终实益所有人)					
Source of Wealth (For Ultimate Beneficial Owner Only) 财富来源					
(仅适用于最终实益所有人)	Example for Reference: 1. Lottery Gaming Win 右侧内容仅供参考:     2. Inheritance 维承     3. Sale of Assets or Property 资产或财产出售 赠与       5. Pension     6. Business Ownership     7. Real Estate Development/Investment 8. Artwork Investment				
	退休金企业所有权房地产开发 / 投资艺术品投资9. Income - Royalties 收入-版税10. Loan - Student 贷款-学生11. Active Wealth/Investments 积极的财富管理 / 投资12. Income - Salary 收入-薪金				
	13. Investment - shareholder 14. Parental Support 2. Claimant Benefits 表願权益 指体 2. The smith of a Royal Family Relations 19. Member of a Royal Family 4. O. Others 收入一营业收入 家族补助 皇室成员 其他				
	Not Applicable 不适用				
Do you hold HSBC Personal Account? 是否持有汇丰个人账户?	Yes, Customer Number 是, 客户号码 No 否				
Is the UBO a family member? (for UBO only) 最终实益所有人是否为家庭成员? (仅适用于最终实益所有人)	Yes No Not Applicable 不适用				
Office Telephone Number 办事处电话号码	Country Code   Area Code   Telephone   Sept.   Sept				
Email Address 电邮地址					
Residential Address 住宅地址	*Address Since Date (Month/Year) 现址入住日期(月/年)				
	City 城市				
Previous Address (if the current residential address is less than 3 years) 曾住地地址(如居于现址少于三年, 请注明之前的地址)	Not Applicable 不适用				



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Please attach extra pages due to			
害 担 捉 守 际 桂 况 附	tin 4	一百	( 自

B. Entities 实体				
Capacity of Connected Party 关联方(实体)类别	□ Intermediate Owner □ Ultimate Beneficial Owner □ 大键控制人(实体) □ 担保人(实体) □ 担保人(实体) □ 担保人(实体) □ 担保人(实体) □ 担保人(实体) □ 担保人(实体) □ 表托人(实体) □ 操护人(实体) □ 操护人(实体) □ 操护人(实体) □ 操护人(实体)			
	Donor/Grantor Founder 初始人 (实体) UhhA (实体) 其他			
Registered Name 注册名称	In English 英文 In Chinese 中文			
"Trading As" or "Doing Business As" Name (if different from legal name) 营业名称(如与法定名称不同)	In English 英文 In Chinese 中文			
Pagistration / Incorporation Decument	Not Applicable 不适用			
Registration / Incorporation Document 登记 / 注册文件	Unified Social Credit Code / Organization Code 统一社会信用代码 / 组织机构代码 Special Organization Code 特殊机构赋码 Certificate of Incumbency 在职证明 Certificate of Good Standing 续存证明 Others			
Nature of Business / Industry	其他			
业务 / 行业性质 Country of Registration 注册国家 / 地区	Year of Registration			
Country of Business Operation 业务营运所在地	注册年份			
Registered Address 注册地址	City 城市 Country 国家 / 地区			
Percentage of Ownership 拥有权百分比	% Percentage of Voting Rights (if different) 投票权百分比(如有不同) %			
Listing on Stock Exchange 上市公司	Yes			
Is the Entity an Existing HSBC Customer? 该实体是否是汇丰银行现有客户?	Yes, please provide 是, 请提供 Country of Primary HSBC Account 开立汇丰基本账户国家 Primary HSBC Customer Number 汇丰客户号码 No 否			
Is the Entity a Regulated Financial Institution? 该实体是否是受监管的金融机构?	Yes, please provide the name of the regulator 是,请提供监管机构名称 Country 国家 / 地区 No 否			

# Declaration 声明

- 1. I/We confirm that the information contained in this form is true, accurate and up-to-date, and authorize you (the "Bank"), through any of its branches and sub-branches, to refer to any source to verify such information. I/We agree that such information will be used for this application for account opening and other purposes that the Bank deems appropriate, including without limitation, the purposes set out in the General Terms and Conditions (For Personal Sole Account, Joint Account and Business Account Holders) (the "Terms")
  - 本人/我们证实于此开户表格提供的数据是真实、准确且最新的,并授权贵行透过其分支行向任何方面查证。本人/我们同意此数据会用于此开户申请及贵行认为合适的其他用途,包括但不限于适用于所有个人账户、联名账户及单位账户的一般章则条款("一般章则条款")所载用途。
- 2. I/We confirm my/our receipt and acceptance of, the Terms applicable to personal accounts, joint accounts and business accounts, which may be accessed via the Bank's website www.hsbc.com.cn/1/2/ruralbank and/or through the relationship manager assigned by the Bank to me/us. I/We confirm that I/We have been given the opportunity to ask questions about the Terms and have received satisfactory explanations from the Bank where applicable. I/We understand and agree that:
  - (i) the Terms cover and apply to all personal accounts, joint accounts and business accounts;
  - (ii) the Bank may, at the Bank's sole discretion, vary the Terms with prior notice by any way, including without limitation, publication or display of such notice via the website, or in the premises of the network of branches and sub-branches, of the Bank; and

(iii) each account opened by me/us with the Bank from time to time will be subject to the Terms as may be varied and supplemented from time to time.

本人/我们确认已经收到一份贵行适用于个人账户、联名账户及单位账户的一般章则条款(该等条款可以从贵行网站www.hsbc.com.cn/1/2/ruralbank及/或贵行为本人/我们安排的客户经理处获取),并在此确认接受该一般章则条款的规定。本人/我们确认已获得机会就一般章则条款提出问题,并获贵行作出满意解释(如适用)。本人/我们明白并同意:

- (i) 该一般章则条款涵盖并适用于所有个人帐户、联名帐户和单位账户;
- (ii) 贵行可采用任何方式(包括但不限于,在贵行网站公布、贵行分支行网点内张贴通告)作出事先通知,即可随时全权自行决定更改该等条款;以及
- (iii) 贵行不时为本人/我们所开立的各种账户均受该等条款约束,而该等条款可不时予以更改及补充。
- 3. Where I/we have provided personal data of any other third party, I/we hereby warrant and declare that I/we have obtained all consents, agreements and waivers from the subject person of the relevant data. I/We agree that I/we will indemnify and hold the Bank harmless from all costs, penalties, damages and losses incurred as a result of this warranty and declaration being untrue and any other breach of this warranty and declaration.
  - 对于本人/我们所提供的任何其他第三方个人资料,本人/我们保证并声明已取得相关数据所有人的许可、同意及豁免。本人/我们同意在该等保证及声明不真实和所有其他违反该等保证及声明的情况下,就造成的费用、罚款、损害及损失对贵行进行赔偿并使贵行免受损害。
- 4. I/We understand that the Bank may request me/us to provide additional information from time to time before and after the account is opened. Pursuant to the relevant laws and regulations or the requirements from the regulators, the Bank may request me/us to provide documents such as business plan, evidence of business (e.g., invoice or contract of sale) and bank reference letter. Failure to do so may result in the Bank's inability to provide the relevant banking service to me/us.
  - 本人/我们明白,贵行可在账户开立之前或之后,不时要求本人/我们提供补充资料。 根据有关法规、规定或应监管机构要求,贵行有权要求本人/我们提供业务方案、业务证明(例如:发票、销售合约)及银行资信证明等文件。如未能提供,贵行可能无法向本人/我们提供所需的银行服务。

# Signature(s) and Chop(s) (Must be Completed by the Legal Representatives or the Authorized Person(s)) <u>签名及盖章(</u>必须填写且本栏应由法定代表人或指定授权人填写)

Please open a Business Account in our name as detailed above 请按上述资料以本机构名义开立商业账户;

We hereby confirm that the documents presented for opening the Business Account as detailed above are authentic, correct and up-to-date. 兹确证所提供的开户文件是真实、正确且最新的。

We confirm acceptance of your General Terms and Conditions for Personal Sole Account, Joint Account and Business Account Holders and other terms and conditions otherwise provided by your bank for opening and operating the account(s) to be opened by us with your bank.

我们同意接受贵行适用于个人账户、联名账户及单位账户的一般章则条款及贵行另行要求的就我们拟在贵行开立的账户和操作相关的其他条件和条款。

We understand and acknowledge that, in terms of CNY settlement account(s), this form is supplemental to the "Corporate RMB Settlement Account Application Form" that will be or has been separately filled and signed by us in respect of the relevant CNY settlement account(s).

本公司/单位理解和确认,就人民币结算账户而言,本文件构成对本公司/单位就有关人民币结算账户将要或已经签署的《开立单位银行结算账户申请书》的补充。

Signature(s) 签名		Chop(s) 盖章	



For Bank Use Only 银行专用		
Filled by Witness Staff 由见证员工填写		
Staff Name	Staff Name	
员工姓名		
Staff No.	Staff No.	
员工号 We have reminded the customer of deleting the FCY Se	员工号 ettlement Account if it is not required with	essed the execution of the Business Customer Information/ Account Opening
Form, checked the original ID(s) of the above signatory	v(ies) and received the documents for open	ing the Business Account as detailed above. And we confirm that the legal
documents and legal rep's ID are original sighted per re 我们已提醒客户如客户不需要,则需删除"外币经	gulation and internal guideline's requireme 常项目账户"选项,并且见证了客户签	nt. 署本表格,核查了以上签字人的身份证件,收到了开立上述账户所需的
文件。根据法规和内部准则要求,我们确认已核查标	目关法律文件原件及法定代表人身份证件	
Signature 签名	Signature 签名	
见证地址/Witness Venue(久		(房间号/Room Number)
见证日期及时间/Witness date and time		
Filled by Case Manager 由开户经理填写		
Thick by Case Manager Edition 1224		
1. Customer Type 客户类别		
Acceptable Publicly Listed Entities 被公众认可	J的上市公司	
Equivalently Regulated Financial Institutions §	是同样监管的金融机构	
Wholesale 批发商		
Other Entities 其他实体		
2. Market Sector	GHO Code	
Industry Code	Customer Legal Type	
CB Classification Code		
3. RM Code/RM Name 客户经理代码 / 客户经理姓名		
Code: Name		
4. Mastergroup Name		
5. NBFI Customer? 是否是非银行金融机构?		
Yes No		
│		
6. Special Category Customer? 是否是特殊类别客户?  Yes No		
Yes No 否		
7. Has the customer issued or is it capable of issuing bea	urer shares? 客户是否已发行或可以发行为	记名股票?
Yes No 否		
		Case Manage Signature 开户经理签名
Filled by Call Back Staff 由核查员工填写		
ACCOUNT OPENING CALL BACK REGISTE		
Please tick where appropriate 请在适当的方格内划上:  (Domestic Entity) Legal Representative/Person-in-		Person-in-Charge Financial Controller
(境内机构)法定代表人/单位负责人	(dyntha) 负	
Staff Name 员工姓名	Staff No. 员工号	
风上姓石 Call Back Staff Initial	グエラ Call Back Date	
核查员工简签	核查日期	

Bank Authorized Signature and Stamp 银行签章

