

# DOCUMENTS REQUIRED FOR ACCOUNT OPENING

## 戶口申請所需文件

Required documents to be signed for account opening	Limited Company / Open-ended Fund Company ("OFC")	Sole Proprietor	Partnership	Club / Society / Association / Owners' Corporation	Limited Partnership Fund
Account Opening Form	●	●	●	●	●
Account Mandate	●	●	●	●	●
General Commercial Agreement & 1 set of Board Resolution	● (if applicable)	● (if applicable)	● (if applicable)	● (if applicable)	● (if applicable)
Remote Channel Authority and Indemnity	● (if applicable)	● (if applicable)	● (if applicable)	● (if applicable)	● (if applicable)
Documents to be provided by customers should be original, or certified copy <sup>1</sup>	Limited Company	Sole Proprietor	Partnership	Club / Society / Association / Owners' Corporation	Limited Partnership Fund <sup>10</sup>
<p>1a) For (i), (ii) and (iii) below, Valid Identification Document or Valid Travel Document<sup>2</sup></p> <p>(i) All Beneficial Owners (a) own or are entitled to exercise or control 10% or more of <u>voting rights / share capital / profit</u> or (b) any individual exercises ultimate <u>control</u> over the management of the Customer (e.g. sole proprietor, shareholder or member)</p> <p>(ii) All persons purporting to act on behalf of the Customer (including Authorised Signors and IDEAL Transaction Authorisers)</p> <p>(iii) All Connected Parties (e.g. director or partners or natural person having executive authority)</p> <p>1b) Residential Address Proof of a customer (i.e., account holder) and IDEAL Transaction authorisers whom is a natural person, if applicable (see Appendix A)<sup>2</sup></p> <p>1c) For (i) above, residential address record (see Appendix A if natural person) or registered address record (if not natural person)</p> <p>1d) For (ii) or (iii) above where the party is a legal person/company (e.g. Corporate Director/Corporate Signor), Resolution from legal person/company specifying the power vested to the authorized persons to act on behalf of the legal person/company</p>	●	●	●	●	●  (of both the General Partner ("GP") and the Fund)
2) Certificate of Incorporation (CI), or Certificate of Registration <sup>3</sup> , Instrument of Incorporation <sup>4</sup> , Section 9 Statement (and Section 10 Statement if any) <sup>6</sup> and subsequent Certificate of Change of Name, if applicable, or comparable documents	●				●  (of both the GP and the Fund)
3) Memorandum and Articles of Association (M&A) or Articles of Association (A&A) and any amending resolutions relevant to M&A/A&A or comparable documents	●			●	●  (only the GP)
4) Latest filed Annual Return (Form NAR1 <sup>3</sup> /LPF5 <sup>5</sup> ), Notification of Change of Secretary and Director (Appointment/Cessation) (Form D2A/ND2A), Return of Allotments (Form SC1/NSC1) and/or Instrument of Transfer or comparable documents, if applicable	●  (only limited companies incorporated or registered in Hong Kong)				●  (if the GP is a limited company incorporated or registered in Hong Kong and/or the Fund is a limited partnership fund registered in Hong Kong)

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5) Certificate of Incumbency issued by Registered Agent / Registered Office or comparable documents issued within 6 months	● (Not incorporated in Hong Kong)				● (of both the Fund and the GP, and only if the GP is a limited company not incorporated in Hong Kong)
6) Valid Business Registration Certificate (BRC), or Business License (if not registered in Hong Kong) or comparable document (e.g. Certificate of Good Standing or business profile issued by a companies registry)	●	●	●	● (if applicable)	● (of both the GP and Fund)
7) Ownership and control structure chart issued within 6 months and the rationale behind the structure, if with multiple intermediate layers <sup>7</sup>	●		●	●	● (of the GP)
8) Partnership Deed, Limited Partnership Agreement and / or Membership with a relevant professional body or trade association, if applicable			●	● (if applicable)	●
9) General Partnership Form 1(c) filed to Inland Revenue Department in Hong Kong, or registration document identifying all the partners or comparable documents			●		
10) Limited Partnership Fund Form 1(ca) filed to Inland Revenue Department in Hong Kong (if applicable), register of partners (for partners that are entities) and the controller <sup>9</sup> of each of the partners					●
11) Investment management/advisory agreement	● (only OFCs)				●
12) Evidence on "Business address" / "Principal Place of Business" if different from its registered address (see Appendix A)	●	●	●		● (of both the GP and Fund)
13) Certificate of Registration of A Society obtainable at Licensing from Office of Hong Kong Police or Certificate of Exemption from Registration of a Society under the Societies Ordinance, if applicable				● (if applicable)	
14) Tax Exemption Letter from Hong Kong Inland Revenue Department ("HKIRD") or any equivalent authority	● (if applicable)			● (if applicable)	● (of both the GP and Fund, if applicable)
15) Request for Disclosure of Information				●	
16) Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard(CRS) Documents Applicable DBS Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standard ("CRS") Entity Self-Certification Form and / or IRS W form to establish your tax status under FATCA and CRS. For more information about FATCA, please refer to IRS website at <a href="http://www.irs.gov/FATCA">www.irs.gov/FATCA</a> . For more information about CRS, please refer to HKIRD website <a href="http://www.ird.gov.hk/eng/tax/dta_aeoi.htm">http://www.ird.gov.hk/eng/tax/dta_aeoi.htm</a>	●	●	●	●	● (of both the GP and Fund)
17) Initial Deposit	HK \$20,000 (Hong Kong Company) / HK\$100,000 (Offshore Company)	HK \$20,000	HK \$20,000	HK \$20,000	HK \$20,000

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- 1 If an original cannot be obtained, a document copy should be obtained from an independent, reliable source or certified by a suitable certifier, including but not limited to:
    - solicitor, notary public, certified public or professional accountant, auditor in Financial Action Task Force (FATF) member country, or comparable jurisdiction acceptable to DBS
    - Hong Kong Institution of Chartered Secretaries (HKICS) member; or
    - financial institution (licensed or regulated) in FATF member country, or comparable jurisdiction acceptable to DBS
  - 2 Acceptable documents:
    - Acceptable Identification Document of Natural Person
      - a valid identification document (with full name, date of birth, nationality, identity document type and number) if a HK permanent identity card holder; or
      - a valid travel document, or national identity card bearing the individual's photograph, issued by a competent national or state authority if not a HK permanent identity card holder.
    - Acceptable Address Proof of Limited Company
      - Local Incorporated Company
        - Latest Annual Return (Form NAR1)(if applicable), the subsequent Notice of Change of Address of Registered Office (Form NR1) and valid Business Registration Certificate
      - Overseas Incorporated Company
        - Certificate of Incumbency issued by Registered Agent or comparable documents
    - Acceptable Address Proof of Limited Partnership Fund
      - See above in respect of a General Partner that is a limited company or an individual.
    - Local Incorporated Limited Partnership Fund
      - Latest Annual Return (Form LPF5) and Valid Business Registration Certificate
    - Overseas Incorporated Limited Partnership Fund
      - Certificate of Incumbency issued by Registered Agent or comparable documents
  - 3 Applicable to a limited company incorporated overseas and registered in Hong Kong under Part 16 of the Hong Kong Companies Ordinance (or as amended from time to time) and to a limited partnership fund.
  - 4 Applicable to an open-ended fund company incorporated in Hong Kong under the Hong Kong Securities and Futures Ordinance (Cap. 571)
  - 5 Applicable to a limited partnership fund registered in Hong Kong under the Hong Kong Limited Partnership Fund Ordinance.
  - 6 Applicable to Cayman Islands exempted limited partnerships.
  - 7 The information should include full name, country of registration, registration number and date of registration of each intermediate layer entities and its percentage of shareholding.
  - 8 A post office box address is not acceptable as residential address. Permanent address proof is also required if such address is different from the residential address.
  - 9 "controller" means a person who (a) is entitled to or controls not less than a 25% share of the capital or profits of the partnership, (b) is entitled to exercise or control the exercise of not less than 25% of the voting rights in the partnership, (c) exercises ultimate control over the management of the partnership or (d) if the partnership is acting on behalf of another person, the other person.
  - 10 Documents are to be provided in respect of both the General Partner and the Limited Partnership Fund itself. This list assumes that the General Partner is a limited company, but to the extent that the General Partner is itself a Limited Partnership Fund or a Partnership, please provide the documents listed under the relevant column.
- Disclaimer: The Bank will conduct a preliminary review of the information and document submitted and may further request you to provide more account opening details and documents when necessary. Failure to provide the requested documents or information may result in your application being rejected or delayed. Account opening is subject to the Bank's approval.
- Note: The Chinese version of this checklist is for reference only. If there is any inconsistency between English and Chinese versions of this checklist, the English version shall prevail.

### Appendix A — Residential Address document<sup>8</sup> bearing the full name of document owner\*

(a)	a recent utility bill issued within the last 6 months (e-statement is acceptable)
(b)	a recent correspondence from a Government department or agency issued within the last 6 months (e-statement is acceptable)
(c)	a statement, issued by regulated financial institutions within the last 6 months (e-statement is acceptable)
(d)	a record of a visit to the residential address by Bank's staff
(e)	an acknowledgement of receipt duly signed by the customer in response to a letter sent by the Bank to the address provided by the customer
(f)	(for persons such as students, housewives or senior citizens who are unable to provide proof of address of their own name) a letter from an immediate family member at which the individual resides confirming that the applicant lives at that address in Hong Kong, Macau or China, setting out the relationship between the applicant and the immediate family member, together with evidence that the immediate family member resides at the same address
(g)	mobile phone or pay TV statement (sent to the address provided by the customer) issued within the last 6 months (e-statement is acceptable)
(h)	a letter from a Hong Kong nursing or residential home for the elderly or disabled, which it is satisfactory that it can place reliance on, confirming the residence of the applicant
(i)	a letter from a Hong Kong university or college, which it is satisfactory that it can place reliance on, that confirms residence at a stated address
(j)	a Hong Kong tenancy agreement which has been duly stamped by the Inland Revenue Department
(k)	a current Hong Kong domestic helper employment contract stamped by an appropriate Consulate (the name of the employer should correspond with the applicant's visa endorsement in their passport)
(l)	a letter from a Hong Kong / foreign employer together with proof of employment, which it is satisfactory that it can place reliance on and that confirms residence at a stated address
(m)	a lawyer's confirmation of property purchase, or legal document recognising title to property
(n)	a government-issued photographic driving license or national identity card containing the current residential address or Household Registration document/ Certificate issued by a government body from a jurisdiction which requires mandatory registration of all households with the local or national government, or bank statements (e-statement is acceptable) issued within the last 6 months by regulated bank in FATF member country

\* (d), (f), (h), (i), (k), (l), (n) are not applicable to a non-individual.

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## 戶口申請所需文件

表1					
開立銀行戶口須簽署的文件	有限公司/開放式基金公司 ("OFC")	獨資經營	合夥經營	社團、會社、協會或業主立案法團	普通合夥人基金
戶口申請表	●	●	●	●	●
授權書	●	●	●	●	●
商業協議書及一份董事會決議	● (如適用)	● (如適用)	● (如適用)	● (如適用)	● (如適用)
遙距系統授權及賠償書	● (如適用)	● (如適用)	● (如適用)	● (如適用)	● (如適用)
所有提供文件必須為正本或經由適合人士簽署為真確的副本 <sup>1</sup>	有限公司	獨資經營	合夥經營	社團、會社、協會或業主立案法團	普通合夥人基金 <sup>10</sup>
<p>1a) 以下(i), (ii) 及 (iii) 之有效身份證明文件或有效旅行證件<sup>2</sup></p> <p>(i) 所有有權行使或支配 (a) 不少於10%投票權/資本擁有權/攤分利潤權的實益擁有人; 或 (b)任何可以對該客戶的管理行使最終控制權的個人 (例如: 獨資經營者、股東或會員)</p> <p>(ii) 所有代表該客戶執行事務的人士 (包括授權簽署人及IDEAL交易批核人)</p> <p>(iii) 所有有關聯方 (例如: 董事或合夥人或具有行政權力的自然人)</p> <p>1b) 客戶 (即帳戶持有人) 及IDEAL交易批核人為自然人 (如適用), 請提交住宅地址證明 (見附錄一) <sup>2</sup></p> <p>1c) 以上(i)為自然人, 請提交住宅地址記錄 (見附錄一) 或註冊地址記錄 (若非自然人)</p> <p>1d) 以上(ii)或(iii)為法人/公司 (即公司董事或公司簽署人), 請提交該法人公司董事會決議以列明有關授權人士有權代表該法人/公司執行事務的權限</p>	●	●	●	●	● (普通合夥人 "GP" 和基金)
2) 公司註冊證書 (CI)或註冊證書 <sup>3</sup> 、公司文件 <sup>4</sup> 、第9條聲明 (和第10條聲明, 如有) <sup>6</sup> 及隨後的名稱變更證書 (如適用) 或類似檔	●				● (普通合夥人 "GP" 和基金)
3) 公司組織章程大綱及細則 (大綱細則) 或組織章程細則 (章程細則) 及任何有關大綱細則/章程細則修訂的決議, 或相應文件	●			●	● (普通合夥人 "GP")
4) 最近申報的周年申報表 (表格NAR1 <sup>3</sup> /LPF5 <sup>5</sup> ), 秘書及董事更改通知書 (委任離任) (表格D2A/ ND2A), 股份分配申報表 (表格SC1/ NSC1) 及/或轉讓文書或相應文件, 如適用	● (只限在香港成立或註冊有限公司)				● (如果普通合夥人是在香港成立或註冊的有限公司及/或基金是在香港註冊的有限合夥基金)

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5) 註冊代理/註冊辦事處出具的在職證明或6個月內出具的類似文件	● (只限非香港成立公司)				● (普通合夥人 ("GP") 和基金, 只限非香港註冊GP)
6) 有效的商業登記證 (BRC) 或營業執照 (如未在香港註冊) 或類似檔 (如公司註冊處簽發的良好聲譽證書或業務簡介)	●	●	●	● (如適用)	● (普通合夥人 ("GP") 和基金)
7) 若公司有多層架構, 股權及控制結構圖需於6個月內簽發, 並提供採用多層架構的理由 <sup>7</sup>	●		●	●	● (普通合夥人 ("GP"))
8) 合夥契約/ 有限合夥協議及/或相關專業會員或行業協會會員的證明, 如適用			●	● (如適用)	●
9) 提交與香港稅務局商業登記署的合夥經營表格 - 合夥經營商號 - 表格1(c) 或列有所有合夥人身份證明的註冊文件或相應文件			●		
10) 向香港稅務局提交的有限合夥基金表格 1(ca) (如適用)、合夥人登記冊 (對於實體合夥人) 和每個合夥人的控制人 <sup>9</sup>					●
11) 投資管理/諮詢協議	● (開放式基金公司 ("OFC"))				●
12) 商業地址/主要營業地址證明 (如跟註冊地址不同) (見附錄一)	●	●	●		● (普通合夥人 ("GP") 和基金)
13) 由香港警務處牌照科發出的社團註冊證明書或社團豁免註冊證明書, 如適用				● (如適用)	
14) 由香港稅務局或任何等同權力發出的稅務豁免通知	● (如適用)			● (如適用)	● (普通合夥人 ("GP") 和基金, 如適用)
15) 資料披露易向書				●	
16) 外國帳戶稅務合規法案 (FATCA) 及共同申報標準 (CRS) 文件 適用的星展銀行外國帳戶稅務合規法案 ("FATCA") 及共同申報標準 ("CRS") 機構申報書和/或 IRS W 表格, 以確定貴公司在外國帳戶稅務合規法案 (FATCA) 和共同申報標準 (CRS) 下的稅務狀況。有關 FATCA 的更多資料, 請瀏覽 IRS 網站 <a href="http://www.irs.gov/FATCA">www.irs.gov/FATCA</a> 。有關 CRS 的更多資料, 請瀏覽 HKIRD 網站 <a href="http://www.ird.gov.hk/eng/tax/dta_aeoi.htm">http://www.ird.gov.hk/eng/tax/dta_aeoi.htm</a>	●	●	●	●	● (普通合夥人 ("GP") 和基金)
17) 開戶存款金額	HK \$20,000 (香港公司) / HK \$100,000 (離岸公司)	HK \$20,000	HK \$20,000	HK \$20,000	HK \$20,000



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- 1 如果無法獲得原件，則應從獨立、可靠的來源獲得文件副本，或由合適的認證人進行認證，包括但不限於：
  - 律師、公證人、註冊會計師或專業會計師、金融行動特別工作組（FATF）成員國或星展銀行可接受的類似司法管轄區的審計師
  - 香港特許秘書公會會員（HKICS）；或FATF成員國的金融機構（持牌或受監管）或星展銀行可接受的類似司法管轄區的金融機構
- 2 可接受的自然人身份證明檔
  - 香港永久性居民身份證持有人的有效身份證明檔（包括全名、出生日期、國籍、身份證明文件類別及號碼）；或
  - 如非香港永久性居民身份證持有人，由國家或國家主管機關簽發的帶有個人照片的有效旅行證件或國民身份證
- 可接受的有限公司地址證明
  - 本地註冊公司
    - 最新周年申報表（NAR1表格）（如適用）、其後的更改註冊辦事處位址通知書（NR1表格）及有效商業登記證
  - 海外註冊公司
    - 註冊代理人簽發的在職證明或類似文件
  - 普通合夥人基金可接受的地址證明
    - 如普通合夥人為有限公司或個人，請參見上文
  - 本地法人普通合夥人基金
    - 最新周年申報表（LPF5表格）及有效商業登記證
  - 海外普通合夥人基金
    - 註冊代理人簽發的在職證明或類似文件
- 3 適用於根據《香港公司條例》（或不時修訂的條例）第16部在海外註冊成立並在香港註冊的有限公司以及有限合夥基金
- 4 適用於根據《香港證券及期貨條例》（第571章）在香港註冊成立的開放式基金公司
- 5 適用於根據《香港有限合夥基金條例》在香港註冊的普通合夥人基金
- 6 適用於開曼群島受豁免有限合夥企業
- 7 資訊應包括每個中間層實體的全稱、註冊國、註冊號和註冊日期及其持股比例
- 8 郵政信箱位址不能作為住址。如果永久位址與居住位址不同，還需要提供永久位址證明
- 9 “控制人”是指：(a)有權獲得或控制合夥企業不少於25%的資本或利潤份額的人，(b)有權行使或控制行使合夥企業不少於25%的表決權的人，(c)對合夥企業的管理行使最終控制權的人，或(d)如果合夥企業代表另一人行事，則指該另一人
- 10 應提供普通合夥人和有限合夥基金本身的相關文件。本列表假定普通合夥人是一家有限公司，但如果普通合夥人本身是有限合夥基金或合夥企業，請提供相關欄目下所列的文件。

聲明：本銀行將對提交的資料及文件作初步審查，如有需要，本銀行會要求客戶提供其他開戶資料及文件。如客戶未能提供有關之資料或文件，開戶申請可能被拒絕或延誤。開戶申請需經本銀行內部審批。

註：本核對清單之中文譯本只供參考之用。如本核對清單之中英文本有任何歧異，概以英文本為準。

### 附錄一：住宅地址證明文件<sup>a</sup>，須附有持有人之全名\*

(a)	最近六個月內發出的公共服務賬單（電子賬單亦可接受）
(b)	最近六個月內由政府部門或機構發出的函件（電子賬單亦可接受）
(c)	最近六個月內由金融機構發出的結單（電子賬單亦可接受）
(d)	本銀行職員到訪有關住宅地址的紀錄
(e)	客戶就本銀行寄往客戶所提供有關住宅地址函件所簽署之收訖確認
(f)	(有關人士如屬學生，家庭主婦或長者而未能提供附有其姓名的住址證明) 與有關人士同住的直系親屬可以書面證實與有關人士同住於該香港，澳門或中國住址，述明與有關人士之關係，並且連同該直系親屬居於同一地址的住址證明
(g)	最近六個月內發出的流動電話或收費電子結單（電子賬單亦可接受）
(h)	由香港的長者或殘疾人士護養院、護理院或住宿院舍發出的函件，並經本銀行信納可用以確定有關人士之居住地址
(i)	由香港的大學或學院發出的函件，並經本銀行信納可用以確定有關人士之居住地址
(j)	經稅務局加蓋有效釐印的香港租約
(k)	經相關領事館蓋章並現行有效的香港家庭傭工僱傭合約(當中的僱主姓名應與申請人護照內的簽證相符)
(l)	由香港/海外的僱主發出的函件及受僱證明，並經本銀行信納可用以確定有關人士之居住地址
(m)	由律師發出的購買物業證明書，或確認業權的法律文件
(n)	由政府發出並附有照片及目前住址的駕駛執照或國民身份證，或最近六個月內有本銀行認可的打擊清洗黑錢財務行動特別組織成員國所監管銀行發出的銀行結單（電子賬單亦可接受），或由所在地國家或地方政府發出的戶籍證明文件/ 要求強制性登記所有戶籍的政府機構出具的證明

\* (d), (f), (h), (i), (k), (l), (n) 不適用於非自然人。