

Table 1

Required documents to be signed for account opening	Limited Company	Sole Proprietor	Partnership	Club/ Society / Association
Account Opening Form	●	●	●	●
Account Mandate	●	●	●	●
General Commercial Agreement & 1 set of Board Resolution	● (if applicable)	● (if applicable)	● (if applicable)	● (if applicable)
Remote Channel Authority and Indemnity	● (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
1a) For (i), (ii) and (iii) below, Valid Identification Document or Valid Travel Document <sup>2</sup> (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 <u>ultimate control</u> over the management of the Customer (e.g. sole proprietor, shareholder or member) (ii) All persons purporting to act on behalf of the Customer (including Authorised Signors and IDEAL Transaction Authorisers) (iii) All Connected Parties (e.g. director or partners or natural person having <u>executive authority</u> ) 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> 1c) For (i) above, residential address record (see Appendix A if natural person) or registered address record (if not natural person) 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	●	●	●	●
2)Certificate of Incorporation (CI), or Certificate of Registration of Non-Hong Kong Company <sup>3</sup> and subsequent Certificate of Change of Name, if applicable, or comparable documents	●			
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	●			●
4)Latest filed Annual Return (Form NAR1), 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 if incorporated or registered in Hong Kong)			
5)Certificate of Incumbency issued by Registered Agent or comparable documents issued within 6 months	● (Not incorporated in Hong Kong)			
6)Valid Business Registration Certificate (BRC), or Business License (if not registered in Hong Kong) or comparable document	●	●	●	● (if applicable)

7)Ownership and control structure chart issued within 6 months and the rationale behind the structure, if with multiple intermediate layers <sup>4</sup>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8)Partnership Deed and / or Membership with a relevant professional body or trade association, if applicable	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> (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	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10)Evidence on "Business address"/ "Principal Place of Business" if different from its registered address (see Appendix A)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11)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	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> (if applicable)
12)Tax Exemption Letter from Hong Kong Inland Revenue Department ( "HKIRD" ) or any equivalent authority	<input type="checkbox"/> (if applicable)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> (if applicable)
13)Request for Disclosure of Information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14) 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>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15) Initial Deposit	HK\$20,000 (Hong Kong Company) / HK\$100,000 (Offshore Company)	HK\$20,000	HK\$20,000	HK\$20,000

<sup>1</sup> 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

<sup>2</sup> 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

<sup>3</sup> 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).

<sup>4</sup> 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

<sup>5</sup> 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.

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>5</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.