

## ACCOUNT OPENING AND DOCUMENTS CHECKLIST

### ACCOUNT OPENING

- Contact us and provide us your contact information
- Our representatives will contact you to understand your background and banking needs
- Before a banking relationship is established, you will be approached to provide the required documents (refer to the documents checklist)
- The application will be subject to the bank's internal assessment
- Our representatives will work closely with you and keep you informed throughout the process

### DOCUMENTS CHECKLIST

The bank is required to undertake customer due diligence (CDD) measures and on-going monitoring for existing and new customers in accordance with the Anti-Money Laundering and Counter-Terrorist Financing requirements or standards in meeting the relevant legal and regulatory obligations where apply to the bank.

When conducting CDD, information/documents provided by customers at account opening and on periodic basis thereafter will help the bank to identify and verify our customers and develop an understanding of normal and expected banking activities of our customers for ongoing monitoring and help protect our customers from becoming the victims of fraud and other criminal activities.

### DOCUMENTS TO BE PROVIDED BY THE CLIENT

All the documents specified in this section need to be the original, or a «true copy» certified by an accountant, a lawyer, a Notary Public or a State Authority (e.g. Consulate, Embassy). Corporate documents may also be certified by the company secretary or a director of the company whose signature can be verified.

Natural Persons: Each account holder and attorney who operates under a General or Limited Power of Attorney is required to include with the Application Form a current valid identification document (e.g. passport) and proof of address (e.g. utility bills, bank statements).

Personal Investment Companies/Personal Holding Companies: Corporate documents if not written in English must be translated into English by an official translator.

- Certificate of Incorporation (or equivalent document).
- Memorandum and Articles of Association (or equivalent document).
- Appointment of Directors: Board resolutions or any other document (e.g. Certificate of Incumbency) evidencing the appointment of the incumbent Directors and subsequent changes (if any) and certified by an authority (e.g. company secretary, accountant) other than the current Directors.
- Passport or Identity Card\*: Beneficial Owner(s), all authorised signatories and two Directors# (directors with executive authority).
- Proof of Address: Beneficial Owner(s), all authorised signatories and two Directors (directors with executive authority).
- Declaration of ownership

Other Corporations: Corporate documents if not written in English must be translated into English by a professional translator.

- Certificate of Incorporation (or equivalent document).
- Memorandum and Articles of Association (or equivalent document).
- Business Registration Certificate (or equivalent document).
- List of Shareholders+
- Appointment of Directors: Board resolutions or any other document evidencing the appointment of the incumbent Directors and subsequent changes (if any) and certified by an authority (e.g. company secretary, accountant) other than the current Directors.
- Passport: Principal Shareholder(s)+, All authorised signatories and two Directors# (directors with executive authority).
- Proof of Address: Principal Shareholder(s)+, All authorised signatories and two Directors (directors with executive authority).

Partnerships:

- Business Registration Certificate (or equivalent document).
- Partnership Agreement.
- Passport: At least two partners (partners with executive authority) and all authorised signatories to the account.
- Proof of Address: At least two partners (partners with executive authority), all authorised signatories. Clubs, Societies and Charitable Organisations:
- Organisation Constitution (or equivalent document).
- Passport: All authorised signatories to the account.
- Proof of Address: All authorised signatories to the account.
- Documents evidencing authorized representatives.

Trusts:

- Trust Deed: This required document validly appoints the Trustees, states how the Trustees can act and sets out the terms of the Trust.
- Passport and Proof of Address<sup>++</sup>: All authorised signatories to the account.
- Identification Document<sup>++</sup>: Depending on the legal status of the Trustee, the identification document for natural person (individual trustee), or Corporations (corporate trustee) as shown above, will be required.
- Settlers: Passport and Proof of Address.

**BANKING AND CUSTODY SERVICES: JPMORGAN CHASE BANK, N.A., HONG KONG BRANCH**

If you would like to receive our Banking and Custody Services from JPMorgan Chase Bank, N.A., Hong Kong Branch, you are required to provide the relevant identity document first listed below (save that where you do not hold such document listed first, we should collect the document listed next):

- in the case of an individual/natural person (including any (i) account holder and (ii) beneficial owner of an account holder):
  1. Hong Kong identity card; or
  2. national identification document; or
  3. passport, and
- in the case of a corporation (including any (i) account holder and (ii) beneficial owner of an account holder):
  1. legal entity identifier (LEI) registration document; or
  2. certificate of incorporation; or
  3. certificate of business registration.

For further details, please refer to Appendix Five (Consent and Representations in relation to the Hong Kong Investor Identification Regime and the Hong Kong Over-The-Counter Securities Transactions Reporting Regime, and Subscription of Securities in Public Offerings on the SEHK) of the Private Client Terms.

Please also note the separate requirement on identification document(s) set out above under “Natural Persons” in relation to your nationality.

In addition to the above, we may collect more information as and when required.

- A current valid identification document should include information on your nationality.
  - For Hong Kong permanent residents: Hong Kong Permanent Identity Card where symbol field must have the letter “A” to indicate right of abode in Hong Kong.
  - For Hong Kong non-permanent residents: Hong Kong Identity Card and Passport.
  - For clients not residing in Hong Kong: Passport.
  - For clients holding Singapore Identification card: National Identity Card # The identity document of more than two directors may be required.
- + Not required for corporations (including subsidiaries) listed on a stock market of a FATF country.
- ++ Not required for the trustee which is a regulated financial institution of a FATF country.