

DCM ACCOUNT OPENING CONTROL RECORD

Client Name: _____

Name of Directors

Majority owned subsidiaries

Verification of Client Identity >> Appendix 1 and Google Search

Country of Citizenship/Incorporation _____

>> OFAC-Sanctioned Country

(Appendix 2) Yes ==> **Not accepting Account Opening** No (Complete next step) Low Risk Country **(Appendix 2)** (Skip General Risk Country) General Risk Country **(Appendix 2)** (Complete next section)**General Risk Country**

Hire the third-party compliance to do the evaluation of a new client

High Risk : No Yes comment: _____**Clients**

Are you the ultimate beneficial owner(s) of the account?

 No (not 100%) Yes (go to "Type of Client")

Beneficial owner holding _____% or more of the account

 For Individual : 3rd party holdings _____% or more of the account

Name : _____

 For Corporate : Government Ownership _____% (if any) Name: _____3rd party holdings _____% or more of the account

Others _____

Type of Client (either one) No Yes ===> **High Risk**

- Politically Exposed Persons (PEP)
- Cash Intensive Businesses
- Complex Relationship
- Shareholder/Directors cannot be obtained

Length of relationship : _____

Non face-to-face clients (either one) No ===> **High Risk**

- issued Cheque from a licensed bank in Hong Kong with not less than HK\$10,000 and Client' name shown on cheque and signature on cheque must same as the A/C Opening Form
- witness by Lawyer, Accountant, Notary Public, or our staff.

Low Risk Account

All client account opening should be approved by a Responsible Officer and/or senior management.

General Risk Account

For general/high-risk accounts, there should be specific senior management approval for the account opening. If necessary, we will hire the third-party compliance to do the evaluation of a new account.

High Risk Account

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Accounts classified as high risk require heightened monitoring and supervision. However, regardless whether an account has been identified as high risk, it is important to monitor the activities in the account on an ongoing basis.

Comment:

Accept Reject

Signature : _____ Date : _____

本地客戶

客戶須攜帶下列文件，並親自交回本公司：

1. 已填妥的申請表
2. W-8BEN 表格 & CRS 聲明書
3. 香港永久性居民身份證/護照副本
4. 三個月內之個人住址證明 (如：煤氣單、銀行月結單)

公司戶口

CORPORATE ACCOUNTS 公司賬戶

Certified true copies of the following document 下列文件的核證副本：

- Perform Company Search and obtain a Company Report / Certified True Copy of a Company Search Report certified by a Company Registry or Professional Third Party (e.g. Solicitor) an issued within last 6 months
公司查冊及報告 / 由公司註冊機構或專業第三方(如律師)簽署副本證明之 6 個月內公司報告
- Board Resolution for Account Opening
董事局授權開立賬戶之會議記錄
- Certificate of Incorporation / Valid Business Registration Certificate
公司註冊證書 / 有效之商業登記
- Memorandum & Articles of Association
公司章程
- Registers of Directors and Members/Annual Return
董事及股東之登記冊/周年申報表
- ID Card / Passport of Authorized Persons
獲授權人士之身份證 / 護照
- ID Card / Passport of Individual Directors
董事之身份證/護照
- W-8BEN 表格 & CRS 聲明書
- ID Card / Passport of Substantial Shareholders (Holding 10% or above) and Ultimate Beneficial Owners (for individual shareholder)(obtain Residential Address Proof if appropriate)
重大股東(持有百分之十或以上)及最終實益擁有人之身份證 / 護照 (適用於個人股東)(住宅地址證明，如適用)
- Ownership structure identifying the individuals ultimately own the corporate client (for corporate shareholder)
公司控制權文件以確定最終擁有客戶的個人 (適用於公司股東)
- Latest Annual Report / Audited Accounts
最近的週年報表/審計帳目
- Deed of Guarantee and identification document (Page 30) & address proof of guarantor
擔保契約書 (附於本申請書第 30 頁) 及擔保人之身份證明文件及地址證明
- Additional documents required for All Non-HK Companies**
Certificate of Incumbency (within last 6 months, if no company research is performed)

Appendix 2

Low risk countries

- List of OECD (<https://www.oecd.org/about/membersandpartners/>)
- List of FATF (<http://www.fatf-gafi.org/about/membersandobservers/>)
- China, Hong Kong, Taiwan, Singapore

High risk countries (not accepting Account Opening)

OFAC-Sanctioned Country	SDN Abbrev
Balkans	BALKANS
Belarus	BELARUS
Burma (Myanmar)	BURMA
Cote d' Ivoire (Ivory Coast)	COTED
Cuba	CUBA
Congo (Democratic Republic of)	DRCONGO
Iran	IRAN, IRGC, IFSR
Iraq	IRAQ
Lebanon	LEBANON
Liberia	LIBERIA
Libya	LIBYA2
North Korea	NORTH KOREA, DPRK
Somalia	SOMALIA
Sudan	SUDAN, DARFUR
Syria	SYRIA
Zimbabwe	ZIMBABWE

General risk countries

Not in the list of Low and High risk countries