

FOR BANK USE ONLY	
CLIENT NO.	
ACCOUNT OFFICER	

**SUPPLEMENTAL BUSINESS ACCOUNT APPLICATION FORM**

**I. Customer Information**

<b>1. Registered Name / Trustee Name</b>	In English		
	In Chinese		
<b>Account Title (if different from the above Name)</b>			
<b>Registered Address</b>			Country / Region / Jurisdiction
<b>2. Business Address</b>			Country / Region / Jurisdiction
	Telephone No.	Country Code	Facsimile No.
	Website		Email Address
<b>3. Correspondence Address</b>	<input type="checkbox"/> Same as business address <input type="checkbox"/> Other address as specified below (in English) : _____		Country / Region / Jurisdiction
	<input type="checkbox"/> If in Mainland China or Taiwan, please also provide in Chinese _____		
<b>4. Type of Customer</b>	<input type="checkbox"/> Limited Company <input type="checkbox"/> Limited Company (Joint-Name Account with : _____ ) (Please refer also to the joint account holder's corresponding Business Account Application Form) <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Partnership and unincorporated bodies <input type="checkbox"/> Listed Company <input type="checkbox"/> Government and public body <input type="checkbox"/> Club / Society / Association <input type="checkbox"/> Trustee (acting on behalf of a trust) <input type="checkbox"/> Other (please specify) : _____		<b>US IRS</b> <input type="checkbox"/> Form W-9 <input type="checkbox"/> Form W-8BEN-E <input type="checkbox"/> TIN / GIIN <sup>^</sup> No. (if any): _____ Date: _____ <input type="checkbox"/> Other: _____ Date: _____ <sup>^</sup> Please delete if inapplicable

Please tick this box if the following details (as set out in boxes 5 to 13 below) remain the same as set out in your existing Business Account Application Form to the Bank. Otherwise please complete those details.

<b>5. Incorporation / Registration Document (s)</b>	<input type="checkbox"/> Certificate of Incorporation No. _____ <input type="checkbox"/> Business Registration Certificate No. _____ <input type="checkbox"/> Other (please specify): _____ <b>Please provide a company search report or certificate of incumbency (original or certified true copy)</b>				
<b>6. Date of Incorporation / Establishment</b>	DD/ MM/ YY	<b>7. Country/Region /Jurisdiction of Incorporation / Establishment</b>	<input type="checkbox"/> Hong Kong <input type="checkbox"/> USA <input type="checkbox"/> Other (please specify): _____	<b>8. Date of Listing (Listed Company only)</b>	DD/ MM/ YY
<b>9. Capital</b>	<b>For companies:</b> Total amount of issued shares: _____ Total number of issued shares: _____ Maximum number of shares that may be issued (if applicable): _____ Paid-up Capital: _____ <b>For others:</b> Capital Employed: _____				
<b>10. Customer's Business</b>	Nature of Business / Activities: _____ Products / Services Offered: _____ Principal Countries Traded with: _____ Number of Years in Business: _____				
<b>11. Number of Employees</b>			<b>Annual Business Turnover (currency and amount)</b>		
<input type="checkbox"/> Hong Kong: _____ <input type="checkbox"/> Mainland China: _____ <input type="checkbox"/> Other (please specify): _____			_____ _____ _____		
<b>12. Proprietor Partners Directors Trustee / Trust settlor, trust protector or trust enforcer Known trust beneficiaries All account signatories / Individual who exercises ultimate control over the management of the partnership, unincorporated body, trust or the Limited Company Any person the Customer is acting on behalf</b>	<b>1. For Sole-proprietor</b>				
	Name in English Title: Mr / Miss / Ms / Mrs (please circle)		Name in Chinese		Former Name(s) / Alias(es) (if any):
	Date of birth YY DD/ MM/		Place of birth		
	<input type="checkbox"/> Identity Card No.		Expiry Date (if applicable) DD/ MM/ YY		Issuing Country / Region / Jurisdiction
	<input type="checkbox"/> Passport No.		DD/ MM/ YY		Nationality
	Residential Address ( <i>Residential proof is required</i> )				Country / Region / Jurisdiction
Permanent Address (if different from residential address)				Country / Region / Jurisdiction	

	Tel/Mobile No.	Country Code	Fax No.		
	Email Address		Position		
2.	Name in English Title: Mr / Miss / Ms / Mrs (please circle)	Name in Chinese		Former Name(s) / Alias(es) (if any):	
	<input type="checkbox"/> Identity Card No.	Expiry Date (if applicable) DD/ MM/ YY	Issuing Country / Region / Jurisdiction		
	<input type="checkbox"/> Passport No.	DD/ MM/ YY	Nationality		
	Residential Address ( <i>Residential proof is required</i> )				
	Permanent Address (if different from residential address)				
	Tel/Mobile No.		Fax No.		
	Email Address		Date of birth DD/ MM/ YY	Position	
	3.	Name in English Title: Mr / Miss / Ms / Mrs (please circle)	Name in Chinese		Former Name(s) / Alias(es) (if any):
		<input type="checkbox"/> Identity Card No.	Expiry Date (if applicable) DD/ MM/ YY	Issuing Country / Region / Jurisdiction	
		<input type="checkbox"/> Passport No.	DD/ MM/ YY	Nationality	
Residential Address ( <i>Residential proof is required</i> )					
Permanent Address (if different from residential address)					

	Tel/Mobile No.		Fax No.		
	Email Address		Date of birth DD/ MM/ YY		Position
4.	Name in English Title: Mr / Miss / Ms / Mrs (please circle)		Name in Chinese		Former Name(s) / Alias(es) (if any):
	<input type="checkbox"/> Identity Card No.		Expiry Date (if applicable) DD/ MM/ YY		Issuing Country / Region / Jurisdiction
	<input type="checkbox"/> Passport No.		DD/ MM/ YY		Nationality
	Residential Address ( <i>Residential proof is required</i> )				
	Permanent Address (if different from residential address)				
	Tel/Mobile No.		Fax No.		
	Email Address		Date of birth DD/ MM/ YY		Position
5.	Name in English Title: Mr / Miss / Ms / Mrs (please circle)		Name in Chinese		Former Name(s) / Alias(es) (if any):
	<input type="checkbox"/> Identity Card No.		Expiry Date (if applicable) DD/ MM/ YY		Issuing Country / Region / Jurisdiction
	<input type="checkbox"/> Passport No.		DD/ MM/ YY		Nationality
	Residential Address ( <i>Residential proof is required</i> )				
	Permanent Address (if different from residential address)				
	Tel/Mobile No.		Fax No.		
	Email Address		Date of birth DD/ MM/ YY		Position

	Tel/Mobile No.	Fax No.	
	Email Address	Date of birth DD/ MM/ YY	Position

**13. Other Bankers**

<b>14. Type(s) of Account(s) required</b> * If you would like to view or operate on the newly sign up account(s) on your existing Online Enterprise Banking, please fill in F1823 Section 1 and Section 7 (if necessary).	<input type="checkbox"/> Current Account* <input type="checkbox"/> Savings Account* <input type="checkbox"/> Time Deposit* <input type="checkbox"/> Multi-currency Savings Account* <input type="checkbox"/> Securities Account <input type="checkbox"/> Custody Account <input type="checkbox"/> Currency Linked Deposit <input type="checkbox"/> Interest Rate Linked Deposit <input type="checkbox"/> Others	Currency(ies) <input type="checkbox"/> HKD <input type="checkbox"/> USD <input type="checkbox"/> RMB Currency(ies) <input type="checkbox"/> HKD <input type="checkbox"/> USD <input type="checkbox"/> RMB Base Currency <input type="checkbox"/> HKD <input type="checkbox"/> USD <input type="checkbox"/> RMB <input type="checkbox"/> Others (please specify): _____ (Please note that only 1 currency should be chosen as a base currency)  (please specify): _____
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**Authorised Person(s) and Signing Arrangement of the Account(s)**  
 The same authorised person(s) and signing arrangement of account number: \_\_\_\_\_ shall be adopted as the authorised person(s) and signing arrangement of the Account(s)

**15.  Cheque Book Account No.**  
 \_\_\_\_\_

Please issue two cheque book and

Please send it by ordinary mail to my/our correspondence address

Please send it by registered mail and debit my/our relative account for mailing charge (Please refer to the latest Schedule of Service Fee for relevant charges)

**16. Introducer**

Name of Introducer : \_\_\_\_\_

Does the introducer agree to be approached  Yes  No to give reference of the applicant?

**17. Purpose and reason for opening the Account / Other intended business with the Bank**

Savings / Fixed Deposit  
 Loan Repayments  
 General Payments  
 Investment  
 Other (Please specify): \_\_\_\_\_

Please tick this box if the following details (as set out in boxes 18 to 21 below) remain the same as set out in your existing Business Account Application Form to the Bank. Otherwise please complete those details

**18. Anticipated Annual Account Turnover and Annual Number of Transactions**

Currency and Amount: \_\_\_\_\_ Number of Transactions: \_\_\_\_\_

**19. Expected Source(s) of funds (select one or more item(s), as applicable)**

Own business  Return on Investments  Commission  Sale Proceeds  Others, please specify: \_\_\_\_\_

**20. Is the Customer a connected party of the Bank?**

Yes (please provide the relevant information): \_\_\_\_\_

No, but I/we undertake to notify the Bank in writing as soon as possible if I/we become so connected to the Bank.

<b>21. Contact Person(s)</b>	1. Name in English Title: Mr / Miss / Ms / Mrs (please circle)	Name in Chinese
	Telephone No.:	Business Email (if any):
	2. Name in English Title: Mr / Miss / Ms / Mrs (please circle)	Name in Chinese

	Telephone No.:	Business Email (if any):
	3. Name in English Title: Mr / Miss / Ms / Mrs (please circle)	Name in Chinese
	Telephone No.:	Business Email (if any):

**22. List of Shareholder(s) / Beneficial Owner(s)\***

\* Beneficial owner means an individual who:

(a) owns or controls, directly or indirectly, including through a trust or bearer share holding, not less than 10% of the issued share capital of the corporation;

(b) is, directly or indirectly, entitled to exercise or control the exercise of not less than 10% of the voting rights at general meetings of the corporation; or

(c) exercises ultimate control over the management of the corporation; or

(d) if the corporation is acting on behalf of another person, means the other person.

Individual(s)	Full Name & Residential Address (Residential address proof is required)	Permanent Address (if different from residential address) (proof is required)	Date of Birth	Identity Card No./ Passport No.	Nationality	Ownership Percentage	No. of Shares

Legal Entity(ies)	Company Name & Business Address	Business Registration Certificate No. / Certificate of Incorporation No. / PRC C.I. Number (as applicable)	Ownership Percentage	No. of Shares
Please provide organisation chart				

Total number of issued shares	Total amount of issued shares	Total number of paid-up shares
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**Trust details (For Trustee and trust only)**

Trust Name	In English		
	Please provide a copy of the trust instrument	In Chinese	
Date of trust establishment / settlement		Governing jurisdiction of the trust	<input type="checkbox"/> Hong Kong <input type="checkbox"/> Other (please specify):

Beneficiary class (as described in the trust instrument)	
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**Control of partnership (For Partnerships and unincorporated body only)**

Individuals who control ≥ 10% of the capital, profits or voting rights of the partnership	Full name	Full name	Full name	Full name
	Full name	Full name	Full name	Full name
	Full name	Full name	Full name	Full name

**II. Optional Services (complete only if required)**

**Subscribe to CCB Online Enterprise Banking Services [CCB OEBS]**

**Note:**

- To apply for these optional services, you must be an account holder of the Bank. (i.e. you should at least have one account opened with us)
- The Master has the overall administration and control rights of the Online Enterprise Banking Services. All existing and future accounts can be added to your Online Enterprise Banking Services portfolio by completing the Online Enterprise Banking Services Maintenance Form (or any other form as required by the Bank).
- All Masters and Authorisers must be the authorised signatories of the company's accounts opened with the Bank which are linked to the Online Enterprise Banking Services.
- The OEBS User Name is used to identify which user performed a particular transaction. The OEBS User Name should consist of 6 characters without space, and can be any combination of A to Z and/or 0 to 9. Please note that the user name cannot be changed after it is set up.
- Authorized User of eAlerts Service: Only Master shall have the authority to manage eAlerts Service settings, including add/edit/remove the email address and mobile phone number to receive eAlerts.
- To access the Online Enterprise Banking Services for the first time, each User needs a User Name, Customer Number, Initial Password and a Security Device. The User Name and Customer Number, Initial Password will be mailed to your correspondence address. The Security Devices will be sent to you by ordinary mail or courier. A handling charge may be levied for delivery via courier.
- The Masters are required to enable the Mobile Banking App access for each user via Online Enterprise Banking Services > Mobile Banking Management.
- The Online Enterprise Banking Services offered on the Mobile Banking App and the Website may not be the same and may subject to change by the Bank from time to time.

**Section 1 (Mandatory): Select CCB OEBS Functions**

Default Online Enterprise Banking Services Features		
Inquiry	Account Transactions	Others
Account Inquiry	Internal Transfer	eAlerts Service Checkbook Request
Accounts eStatement Service**	Third Party Payments* } Please complete Section 5 accordingly	
Integrated Account eStatement Service** 3	Foreign Exchange	
eAdvice Service**	Direct Debit Authorization Service <sup>4</sup>	
Statement Request	Time Deposit Service***	

Optional Online Enterprise Banking Services Features
<input type="checkbox"/> Autopay-out Service <sup>1</sup> <input type="checkbox"/> Autopay-in Service <sup>1</sup> <input type="checkbox"/> International Business <input type="checkbox"/> Settlement Agent Related Transaction <sup>2</sup> ● ——— Please complete Section 5 accordingly

\* Including FPS Payment  
 \*\* Once subscribed to eStatement / eAdvice service, the paper statement / advice of such account will no longer be mailed. You may cancel your subscription on eStatement / eAdvice anytime by submitting a special instruction to the Bank. After e-Statement / eAdvice Service cancellation, your statements / advices will be mailed to your registered correspondence address accordingly.  
 \*\*\* Only applicable to clients holding time deposit Account.  
<sup>1</sup> To subscribe Autopay-Out/In service, please complete **F2077 and other related forms**  
<sup>2</sup> To subscribe Settlement Agent Relation Transaction service, **BIC code** is required  
<sup>3</sup> To subscribe Integrated Account eStatement, please complete **F2120 to subscribe Integrated Account Statement** first. The user's account inquiry permission is not applicable to Integrated Account eStatement, all OEBS user(s) will be able to view the account(s) linked to the Integrated Account eStatement and its/their transaction(s) through the eStatement no matter the account(s) is/are linked onto the Online Enterprise Banking Services or not.

**Section 2 (Mandatory): User Set up**  
 It is mandatory to fill in all the fields for each authorized representative.

	Master - 1	Master - 2
Salutation	Mr / Miss / Ms / Mrs	Mr / Miss / Ms / Mrs
Surname		
Given name and other name		
Identification document type	<input type="checkbox"/> HKID no. _____ <input type="checkbox"/> Passport no. _____ <input type="checkbox"/> Other ID no. _____	<input type="checkbox"/> HKID no. _____ <input type="checkbox"/> Passport no. _____ <input type="checkbox"/> Other ID no. _____
Date of Birth		
CCB OEBS User Name ##	<input type="text"/>	<input type="text"/>
(Country Code) Mobile Number #	( )	( )
Email address #		

Please provide copies of the relevant authorisations of the Master users, e.g. board resolution or similar written authority to a board resolution



Security Device Serial No.: (For Bank Use Only)

For application concerning more than one Master users, please fill in the following section:

**Access control and transaction limits of the Master user of CCB OEBS. Please select your management control right (s).**

- One Master user can set up, modify or delete Authorisers and / or Makers and /or change the authorisation matrix
  - Two Master users must jointly set up, modify or delete Authorisers and / or Makers and /or change the authorisation matrix
- \* Note: If this option is selected, please fill in information for Two Master users.

Please provide copies of the relevant authorisations of the Authorisers, e.g. board resolution or similar written authority to a board resolution

	Operator - 1	Operator - 2
Operator Role	Authoriser   Authoriser/Maker   Maker	Authoriser   Authoriser/Maker   Maker
Title	Mr / Miss / Ms / Mrs	Mr / Miss / Ms / Mrs
Surname		
Given name and other name		
Identification document type (Only applicable for Authoriser and Authoriser/Maker user role)	<input type="checkbox"/> HKID No. _____ <input type="checkbox"/> Passport No. _____ <input type="checkbox"/> Other ID No. _____	<input type="checkbox"/> HKID No. _____ <input type="checkbox"/> Passport No. _____ <input type="checkbox"/> Other ID No. _____
Date of Birth		
CCB OEBS User Name ##	<input type="text"/>	<input type="text"/>
(Country Code) Mobile Number #	( )	( )
Email address #		
Security Device Serial No.: (For Bank Use Only)		

	Operator - 3	Operator - 4
Operator Role	Authoriser   Authoriser/Maker   Maker	Authoriser   Authoriser/Maker   Maker
Title	Mr / Miss / Ms / Mrs	Mr / Miss / Ms / Mrs
Surname		
Given name and other name		
Identification document type (Only applicable for Authoriser and Authoriser/Maker user role)	<input type="checkbox"/> HKID No. _____ <input type="checkbox"/> Passport No. _____ <input type="checkbox"/> Other ID No. _____	<input type="checkbox"/> HKID No. _____ <input type="checkbox"/> Passport No. _____ <input type="checkbox"/> Other ID No. _____
Date of Birth		
CCB OEBS User Name ##	<input type="text"/>	<input type="text"/>
(Country Code) Mobile Number #	( )	( )
Email address #		
Security Device Serial No.: (For Bank Use Only)		

	Operator - 5	Operator - 6
Operator Role	Authoriser   Authoriser/Maker   Maker	Authoriser   Authoriser/Maker   Maker
Title	Mr / Miss / Ms / Mrs	Mr / Miss / Ms / Mrs
Surname		
Given name and other name		
Identification document type (Only applicable for Authoriser and Authoriser/Maker user role)	<input type="checkbox"/> HKID No. _____ <input type="checkbox"/> Passport No. _____ <input type="checkbox"/> Other ID No. _____	<input type="checkbox"/> HKID No. _____ <input type="checkbox"/> Passport No. _____ <input type="checkbox"/> Other ID No. _____
Date of Birth		
CCB OEBS User Name ##	<input type="text"/>	<input type="text"/>
(Country Code) Mobile Number #	( )	( )
Email address #		
Security Device Serial No.: <b>(For Bank Use Only)</b>		

Note: Please use extra sheet if there are more than six (6) Operators.

# SMS One-time Password will be sent to the corresponding mobile phone number(s) for users' activation and notifications; relevant notifications will also be sent to the corresponding email address(es). Different authorized representatives must not share the same mobile number and email address.

## OEBS User Name is used to identify which user performed a particular transaction. It should consist of 6 characters without space, and can be any combination of A to Z and/or 0 to 9. Please note that the user name cannot be changed after it is set up.

### Section 3 (Mandatory): Account(s) to be linked to CCB OEBS (For Account(s) under same name only)

Please list out all accounts you wish to link to the CCB OEBS. The Bank does not guarantee that all accounts listed will be linked.

Select all accounts or :

(Note: If you select ALL accounts, please ensure that all relevant corporate approvals are provided to the Bank, which allow the Master(s) and Authoriser(s) to act on behalf of the Customer for all nominated accounts via CCB OEBS. If you have further questions in relation to this, please contact your relationship managers.)

	Account name:	Account number/ Account Type:	Currency:
Account 1			
Account 2			
Account 3			
Account 4			
Account 5			

### Section 4 (Mandatory): SMS Notification (Applicable for Master(s) or Authorizer(s) only)

CCB OEBS User Name	<input type="text"/>	<input type="text"/>
(Country Code) Mobile Number *	( )	( )

Note: An SMS alert will be sent to the mobile phone number(s) for any bank communications (e.g. payment is finally approved, upon successful activation of Online Enterprise Banking Services/ verification code for the registration of FPS Addressing Service).

\* CCB OEBS User Name and mobile phone number must match with the Authorised Representatives' information registered with the Bank.

**Section 5 (Mandatory): Transaction Limits**

Please refer to the Special Terms and Conditions for Online Enterprise Banking Services set out in the Terms and Conditions for Accounts and Related Services (For Enterprise Customers) for all available services.  
Please specify your requested Daily Transaction Limits in the table below:

For Internal Transfer and Third Party Payments		
Requested daily transaction limit (Limit as in HKD equivalent; if this is left blank, the limit will be set as zero)		
Total daily transaction limit	HKD	
	For HKD, USD and CNY accounts:	For other currencies accounts:
Internal Transfer		
Third Party Payments: Registered Beneficiaries*		
Third Party Payments: Non-Registered Beneficiaries*		
For Settlement Agent Related Transaciton service		
Settlement Agent Registered Beneficiaries**		
Settlement Agent Non-Registered Beneficiaries**		

ote : For maximum client daily transaction limit, please contact your relationship manager  
\* Including FPS Payment  
\*\* If the client has not activated the Settlement Agent Related Transaciton service, please leave the corresponding field(s) blank

**Section 6: Registered Beneficiary/ FPS Recipient**

1	Account Type	<input type="checkbox"/> Bank Account Number	<input type="checkbox"/> Email Address
		<input type="checkbox"/> Mobile Number	<input type="checkbox"/> FPS ID
	Beneficiary Name*		
2	Account Type	<input type="checkbox"/> Bank Account Number	<input type="checkbox"/> Email Address
		<input type="checkbox"/> Mobile Number	<input type="checkbox"/> FPS ID
	Beneficiary Name*		
3	Account Type	<input type="checkbox"/> Bank Account Number	<input type="checkbox"/> Email Address

		<input type="checkbox"/> Mobile Number	<input type="checkbox"/> FPS ID
	Beneficiary Name*		

\* To register a FPS Recipient, only Mobile Number/ Email Address/ FPS ID is applicable; "Beneficiary Name" is not required.

<p><i>For Bank Use:</i></p> <p><input type="checkbox"/> Waive courier charge</p> <p><i>Approved By:</i></p> <hr style="width: 100%;"/>	<p><b>Section 7: Collection of Password and Security Device</b></p> <p>To access the Online Enterprise Banking Services for the first time, each User needs a User Name, Customer Number, Initial Password and a Security Device. The User Name, Customer Number, and Initial Password will be mailed to your correspondence address.</p> <p>The Security Devices will be sent to you via the following method.</p> <p><b>Hong Kong Correspondence Address:</b>  Default delivery method:      Send it by ordinary mail to the correspondence address of my/our business account</p> <p><b>Mainland and Overseas Correspondence Address:</b>  Default delivery method:      Send it by courier to the correspondence address of my/our business account</p>		
	<p><b>Section 8 (Mandatory): Email Address for FPS Payment and the Registration of FPS Addressing Service</b></p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <tr> <td style="width: 30%; padding: 5px;">Email Address</td> <td style="width: 70%;"></td> </tr> </table> <p>Note: This email address can be used for Registration of FPS Addressing Service and receiving the verification code. Email notification will be sent to this email address for FPS Payment and Registration of FPS Addressing Service.  If you email address already recorded in our Bank, this section is not applicable.</p>	Email Address	
Email Address			

**III. Deposit Protection Scheme**

<p><b>Deposit Protection Scheme</b></p>	<ol style="list-style-type: none"> <li>1. The following types of deposit maintained with the Bank are deposits qualified for protection by the Deposit Protection Scheme ("DPS") in Hong Kong: <ul style="list-style-type: none"> <li>(i) Savings account</li> <li>(ii) Current accounts / cheque accounts; and</li> <li>(iii) Time deposits with a term of 5 years or less.</li> </ul> </li>   <li>2. Please note that the following deposits maintained with the Bank are not a protected deposit and are not protected by the DPS in Hong Kong: <ul style="list-style-type: none"> <li>(i) currency linked deposits</li> <li>(ii) interest rate linked deposits</li> <li>(iii) time deposits with a term of more than 5 years</li> <li>(iv) Others: _____</li> </ul> <p>(collectively, "Non-Protected Products")</p> </li> </ol> <p><b>By signing this application form, I/we acknowledge that I/we have received and understand the foregoing information and understand that the Non-Protected Products are not protected deposits and are not protected by the DPS in Hong Kong</b></p>
	<p><input type="checkbox"/> Please tick this box if "Other Information Required - Section IV" remain the same as set out in your existing Business Account Application Form to the Bank. Otherwise please complete those details.</p>

#### IV. Other Information Required

1. Does your company have any principal shareholders / Ultimate Beneficial Owners? (Principal shareholder refers to a person entitled to exercise or control the exercise of 10% or more of the voting rights of a company. Ultimate Beneficial Owner refers to the natural person(s) who ultimately own(s) or control(s) a customer and/or the person on whose behalf an account is maintained or a transaction is being conducted. It also incorporates those persons who exercise ultimate effective control over a legal person or arrangement.)

- Yes Please provide the name(s) of the natural person(s) [Not required if the name(s) has already been provided in Page 6 under List of Shareholder(s) / Beneficial Owner(s)]: \_\_\_\_\_
- No

2. What is the types of issued shares for your company? (For Limited Company only)

- Registered Shares
- Bearer Shares

Please fill in the following part. If the ownership is 5% or above, please fill in the Declaration form on Bearer Shares Ownership additionally.

Name of Ownership	Percentage of Ownership
_____	_____
_____	_____
_____	_____

3. Is / are the sole-proprietor, partners, director(s), principal shareholder(s) or account signatory(ies) or beneficial owner(s) politically exposed persons (PEP) or closely associated with PEP? (Politically exposed person refers to individuals being, or who have been, entrusted with prominent public functions, such as heads of state or of government, senior politicians, senior government, judicial or military officials, senior executives of public organizations and senior political party officials)

- No
- Yes (Please provide the information requested below)

First PEP (if any):

Title: Mr / Miss / Ms / Mrs (please circle)

Name in English: \_\_\_\_\_ Name in Chinese: \_\_\_\_\_ Position: \_\_\_\_\_

HKID \_\_\_\_\_  Passport \_\_\_\_\_  Other \_\_\_\_\_

Date of Birth \_\_\_\_\_

Second PEP (if any):

Title: Mr / Miss / Ms / Mrs (please circle)

Name in English: \_\_\_\_\_ Name in Chinese: \_\_\_\_\_ Position: \_\_\_\_\_

HKID \_\_\_\_\_  Passport \_\_\_\_\_  Other \_\_\_\_\_

Date of Birth \_\_\_\_\_

(Note: Please use extra sheet(s) if there are more than two (2) PEPs).

#### V Securities and Investment Services

**Applicable only to Securities Account**

(i) If the Customer is a company - Is any of the directors, principal shareholders or Ultimate Beneficial Owners of the company, or persons authorised by the company to operate the account(s), employed by any licensed or registered person who carries out regulated activities as defined in the Securities and Futures Ordinance?

- Yes (Please provide written consent from the relevant employer(s) for the opening and operation of the Securities Account)
- No

(ii) If the Customer is a sole proprietorship – Is the sole-proprietor, or any of the persons authorised by the Customer to operate the account(s), employed by any licensed or registered person who carries out regulated activities as defined in the Securities and Futures Ordinance?

- Yes (Please provide written consent from the relevant employer(s) for the opening and operation of the Securities Account)
- No

(iii) For all other Customers – Is any of the proprietors, partners or beneficial owners of the Customer, or persons authorised by the Customer to operate the account(s), employed by any licensed or registered person who carries out regulated activities as defined in the Securities and Futures Ordinance?

- Yes (Please provide written consent from the relevant employer(s) for the opening and operation of the Securities Account)
- No

**Financial Situation:**

**Estimated annual income (in HK\$)**

**Liquid Net Asset Value (in HK\$):**

**Questionnaire for Corporate Customer**

**When answering the following questions, you should consider the typical scenarios of your transactions. That is, the responses should be applicable to most of your transactions involving treasury and financial products, including but not limited to those made with the Bank.**

Q1. What is your objective in using Treasury products?

- A. To hedge against foreign-exchange price fluctuations
- B. To hedge against interest-rate fluctuations
- C. To invest for enhanced return based on a trending view
- D. To invest excess cash for a safe return

A combination of the above (choice A to D) \_\_\_\_\_ (Can tick more than one answer)

Q2. What is the acceptable range of fluctuation of the price or value of your transactions?

- A. 0%
- B. Within 10%
- C. Within 30%
- D. Within 50%
- E. More than 50%

Q3. What is your experience of investing in various treasury and financial products?

- A. Less than 1 year
- B. More than 1 year but less than 3 years
- C. 3 to 5 years
- D. More than 5 but less than 7 years
- E. More than 7 years

Q4. In the past 12 months, how many times have you traded in various treasury and financial products?

- A. None
- B. up to 10 times
- C. 11 to 20 times
- D. 21 to 40 times
- E. more than 40 times

Q5. For investment products, what is the proportion of liquid cash that you would put in?

- A. Less than 10% of cash
- B. 10% to 30% of cash
- C. 31% to 50% of cash
- D. 51% to 70% cash
- E. More than 70% of cash

Q6. How much loss of the notional amt of your contract or your principal can you accept before you will have to early-terminate your outstanding deals?

- A. Up to 10%
- B. Up to 30%
- C. Up to 50%
- D. Up to 70%
- E. Hold to maturity, do not early-terminate

Q7. What is the expected investment / hedging horizon (acceptable product tenor) of your transactions?

- A. Less than 3 months
- B. 3 to 6 months
- C. More than 6 months but less than 1 year
- D. 1 to 3 years
- E. longer than 3 years

Q8. How often do you need to monitor the value of your transactions and consider early-termination?

- A. Daily
- B. Weekly
- C. Monthly
- D. Quarterly
- E. Less frequent than quarterly

Q9. The acceptable credit rating of the treasury & investment products in your transactions is (according to Standard & Poor's definition or other market equivalent):

- A. AAA or risk-free
- B. investment grade (BBB or above)
- C. speculative grade (BB or below)

Q10. Within your firm, are there any internal financial risk management guidelines for your transactions?

- A. Yes, sufficient and comprehensive guidelines
- B. Yes, simple guidelines only
- C. No

Q11. Does your firm have any investment restrictions on specific types of treasury or financial products that you can transact?

- A. No.
- B. Yes, please specify \_\_\_\_\_

Overall Risk Tolerant & Capability Score = \_\_\_\_\_

(The Score ranges from 1 to 5, where "1" means customer has the lowest risk tolerant & Capability while "5" means the highest).

**We understand that the Suitability Assessment is provided by China Construction Bank Corporation Hong Kong Branch ("the Bank") and is used to facilitate our understanding of our risk appetite. We understand that the information collected in this Suitability Assessment will be kept confidential. We understand that the Bank accepts no responsibility or liability as to the accuracy or completeness of such information or results contained in the foregoing. The results are for reference only and does not constitute to any offer or solicitation to any investment.**

Name: \_\_\_\_\_

Date : \_\_\_\_\_



## VI Acknowledgements and Confirmations

### General Acknowledgements and Confirmations

1. In connection with my / our application for the opening of account(s) with the Bank, I/we provide the information set out above regarding ourselves to the Bank. I/We represent, warrant, declare and confirm that all such information and any other information provided in and in connection with this Business Account Application Form and any other banking documents I/we may sign or enter into from time to time is and will be true and correct and that the Bank may from time to time rely on such information in all matters concerning our mutual relations. I/we hereby undertake to notify the Bank in writing of any change in the information provided in and in connection with this Business Account Application Form and any other banking documents signed or entered into by me/us from time to time.
2. I/We acknowledge and confirm that I/we have been advised by the Bank to obtain independent professional advice with respect to any account and/or service provided to me/us by the Bank and the legal implications of me/us entering into this Business Account Application Form, my/our Mandate and any other banking documents I/we may from time to time sign or enter into with respect to any such service(s).
3. I/We represent, warrant and undertake that no other person has or will have any interest of whatsoever nature in the account(s) opened by me/us and any transactions conducted by me/us through the account(s). If I am/we are not the true and full beneficial owner(s) of the account(s) opened by me/us, I/ we undertake to inform the Bank and provide the Bank with such information as to the ultimate beneficial owner(s) as the Bank may from time to time require.
4. I/we acknowledge and agree that my/our personal data will be used and disclosed in accordance with the Notice To Customers Relating To The Personal Data (Privacy) Ordinance. (Applicable to Customers Other than Companies / Corporations only).
5. I/We understand and confirm that any other language version of this Business Account Application Form and/or any other banking documentation is provided for reference only and that the English version will prevail in the event of any discrepancy or inconsistency between the English and any other language version.

### Acknowledgements and Confirmations - Accounts and Services Governed by Master Terms and Conditions

I/We acknowledge that I/we have been provided with the Master Terms and Conditions which, together with this Business Account Application Form (subject to acceptance by the Bank) and my/our Mandate to the Bank (and to which this Business Account Application Form is attached) shall form and constitute a binding agreement. I/We confirm that I/we have carefully read and considered and that I/we understand the Mandate and this Business Account Application Form and the Master Terms and Conditions and that I/we agree to be bound thereby.

Without prejudice to the Master Terms and Conditions as amended from time to time, by signing this Business Account Application Form, I/we expressly consent that, pursuant to applicable local or foreign laws, regulations and rules including the U.S. Foreign Account Tax Compliance Act (FATCA), CCB Group (comprising the Bank and/or its holding company, any subsidiary or affiliate of the Bank or its holding company and any of their branches, offices or units, in each case whether within or outside Hong Kong) may:

- (i) disclose, report, or share my/our information (and/or information of the beneficial owner(s) of the account(s) where applicable) with local or overseas regulators or tax authorities (such as the U.S. Internal Revenue Service) to establish relevant tax liability in any jurisdiction; and
- (ii) withhold and deduct such amount from my/our account(s) or from any payments by the Bank as required by local or overseas regulators or tax authorities.

#### **Applicable only to Foreign Currency (including RMB) Accounts and Transactions**

I/We acknowledge and confirm that I/we have read and understand:

- (i) the specific terms and conditions and risk disclosures relating to foreign currency (including RMB) accounts and transactions set out in the Master Terms and Conditions; and
- (ii) (if any) the additional information and risk disclosures relating to foreign currency (including RMB) accounts and transactions provided by the Bank to me/us in connection with this Business Account Application Form.

In particular, I/we acknowledge and understand the following:

- (iii) RMB is subject to the PRC government's control (for example, exchange restrictions). Besides, there is no guarantee that RMB will not depreciate. If I/We convert Hong Kong Dollar or any other currency into RMB so as to invest in RMB denominated investment products and subsequently convert the RMB redemption proceeds back into Hong Kong Dollar or any other currency, I/We may suffer a loss if RMB depreciates against Hong Kong Dollar or other currency.
- (iv) RMB business in Hong Kong is subject to frequent changes under, pursuant to or required by the Applicable RMB Rules and the Bank's RMB Clearing Agreements (each as defined in the Master Terms and Conditions) and may from time to time be subject to additional limitations prevailing in the Hong Kong market.

#### **Applicable only to Securities Account**

1. I/We represent, warrant, declare and confirm that, unless otherwise notified to the Bank in writing:
  - (i) I am/we are transacting on my/our own account as principal and am/are not trading on behalf of or as trustee or nominee for any other person; and
  - (ii) I am/we are the person ultimately responsible for originating the instructions in relation to all transactions in the account(s) and that no other person stands to gain the commercial or economic benefits of such transactions and/or bear their commercial or economic risks.
2. I/We acknowledge and confirm that: (i) the Bank has provided and highlighted to me/us the risk disclosure statements set out in Section 8 (Specific Terms and Conditions for Securities Trading Services) of Part B of the Master Terms and Conditions in a language of my/our choice (English or Chinese); and (ii) the Bank has invited me/us to read the said risk disclosure statements, to ask questions and take independent advice if I/we so wish.
3. I/We hereby accept all risks arising from the establishment and maintenance of account(s) with the Bank.
4.
  - (i) Applicable only to Customers that are companies) We understand that if any of our directors, principal shareholders or Ultimate Beneficial Owners, or persons authorised by us to operate the account(s) ("Authorised Persons"), is employed by any licensed or registered person who carries out regulated activities as defined in the Securities and Futures Ordinance, they will be required to provide the Bank with written consent from their employer(s) before opening the account(s). We undertake to notify the Bank immediately if any of them become or cease to be employed by any licensed or registered person as aforementioned or if any one of aforesaid person(s) has changed his employment status.
  - (ii) Applicable only to Customers that are sole proprietorships) I understand that if I, or any of the Authorised Persons, am/is employed by any licensed or registered person who carries out regulated activities as defined in the Securities and Futures Ordinance, I or such Authorised Person(s) (as the case may be) will be required to provide the Bank with written consent from my/their employer(s) before opening the account(s). I undertake to notify the Bank immediately if I or any of the Authorised Person(s) become or cease to be employed by any licensed or registered person as aforementioned or if I or any one of aforesaid person(s) have/has changed my/their employment status.
  - (iii) Applicable to all other Customers) We understand that if any of our proprietors, partners, beneficial owners or Authorised Persons is employed by any licensed or registered person who carries out regulated activities as defined in the Securities and Futures Ordinance, they are required to provide the Bank with written consent from their employer(s) before opening the account(s). We undertake to notify the Bank immediately if any of them become or cease to be employed by any licensed or registered person as aforementioned or if any one of aforesaid person(s) has changed his employment status.
5. The following declarations are specific to Part V. (Investment Profile Information) above:
  - (i) I/We acknowledge and understand that any statement of investment objectives or financial goals by me/us does not create or create by implication any undertaking, agreement or guarantee by the Bank as to the attainment or the feasibility of attainment of such objectives or goals.

- (ii) I/We further acknowledge and understand that if I/we fail to answer all of the applicable questions in Part V. (Investment Profile Information) above or to provide the Bank with all the information requested by the Bank therein or by way of supplementary questions or requests by the Bank, the Bank and each of its officers, employees and agents are relieved of their respective obligation (to the extent applicable) to consider such information in their determination of my/our circumstances and situation and/or the suitability of any advice, recommendation, promotion or solicitation to me/us and that I/we agree and acknowledge (and the Bank will be regarded as materially relying on my/our having agreed and acknowledged) that:
- (1) the Bank cannot identify with any certainty my/our financial situation, investment experience, investment objectives, investment horizon, risk tolerance and particular needs;
  - (2) any advice or recommendation provided or any promotion or solicitation of investment products in respect of my/our account shall be treated at best as only general advice, recommendation or introduction; and
  - (3) any advice, recommendation, promotion or solicitation made to me/us does not take into account my/our financial situation, investment experience, investment objectives, investment horizon, risk tolerance and particular needs and I am/we are aware and accept that the suitability of such advice, recommendation, promotion and/or solicitation had not been determined by the Bank
- (iii) Notwithstanding the provision of information by me/us in Part V. (Investment Profile Information) above, I/we acknowledge and agree that unless the Bank otherwise agrees in writing, the Bank will act as an execution-only broker only and assume no responsibility to make or give any investment advice or recommendation. In these circumstances, I/we understand and acknowledge that I/we will be exposed to the risk of not receiving any advice from the Bank regarding any transaction that I/we may instruct the Bank to execute, including advice regarding the risks of the transaction as well as whether any specific product is suitable for me/us in light of my/our financial situation, investment experience, investment objectives, investment horizon, risk tolerance and particular needs. I/We also understand that I/we may need to seek advice from independent advisers if necessary.

**Applicable only to Linked Deposits**

6. I/We acknowledge and confirm that: (i) the Bank has provided and highlighted to me/us the risk disclosure statements set out in Section 11 (Specific Terms and Conditions for Linked Deposits) of Part B of the Master Terms and Conditions in a language of my/our choice (English or Chinese); and (ii) the Bank has invited me/us to read the said risk disclosure statements, to ask questions and take independent advice if I/we so wish.
7. I/We hereby accept all risks arising from the establishment and maintenance of account(s) with the Bank. In particular, I/we acknowledge and understand that the Linked Deposits are not protected by the DPS in Hong Kong and may not be principal protected. I/We also acknowledge that Linked Deposits are structured products involving derivatives and are highly speculative deposits that carry risks not normally associated with ordinary bank deposits.
8. The following declaration are specific to Part V. (Investment Profile Information) above:
- (i) I/We acknowledge and understand that any statement of investment objectives or financial goals by me/us does not create or create by implication any undertaking, agreement or guarantee by the Bank as to the attainment or the feasibility of attainment of such objectives or goals.
  - (ii) I/We further acknowledge and understand that if I/we fail to answer all of the applicable questions in Part V. (Investment Profile Information) above or to provide the Bank with all the information requested by the Bank therein or by way of supplementary questions or requests by the Bank, the Bank and each of its officers, employees and agents are relieved of their respective obligation (to the extent applicable) to consider such information in their determination of my/our circumstances and situation and/or the suitability of any advice, recommendation, promotion or solicitation to me/us and that I/we agree and acknowledge (and the Bank will be regarded as materially relying on my/our having agreed and acknowledged) that:
    - (1) the Bank cannot identify with any certainty my/our financial situation, investment experience, investment objectives, investment horizon, risk tolerance and particular needs;
    - (2) any advice or recommendation provided or any promotion or solicitation of investment products in respect of my/our account shall be treated at best as only general advice, recommendation or introduction; and
    - (3) any advice, recommendation, promotion or solicitation made to me/us does not take into account my/our financial situation, investment experience, investment objectives, investment horizon, risk tolerance and particular needs and I am/we are aware and accept that the suitability of such advice, recommendation, promotion and/or solicitation had not been determined by the Bank.
  - (iii) Notwithstanding the provision of information by me/us in Part V. (Investment Profile Information) above, I/we acknowledge and agree that unless the Bank otherwise agrees in writing, the Bank will act as an execution-only broker only and assume no responsibility to make or give any investment advice or recommendation. In these circumstances, I/we understand and acknowledge that I/we will be exposed to the risk of not receiving any advice from the Bank regarding any transaction that I/we may instruct the Bank to execute, including advice regarding the risks of the transaction as well as whether any specific product is suitable for me/us in light of my/our financial situation, investment experience, investment objectives, investment horizon, risk tolerance and particular needs. I/We also understand that I/we may need to seek advice from independent advisers if necessary.

**Applicable only to CCB Online Enterprise Banking Accounts and Transactions**

I/We acknowledge and confirm that I/we have read and understand:

- (i) the specific terms and conditions and risk disclosures relating to CCB Online Enterprise Banking Services related accounts and transactions set out in the Master Terms and Conditions;
- (ii) (if any) the additional information and risk disclosures relating to CCB Online Enterprise Banking Services accounts and transactions provided by the Bank to me/us in connection with this Business Account Application Form;
- (iii) the director whose name and signature appears below is authorized to sign the CCB Online Enterprise Banking Services Maintenance Form on behalf of the applicant company; and
- (iv) upon successful registration for the eStatement Service for Integrated Account Statement, the user's account inquiry permission is not applicable to Integrated Account eStatement, all OEBS User(s) will be able to view the account(s) linked to the Integrated Account eStatement and its/their transaction(s) through the eStatement no matter the account(s) is/are linked onto the Online Enterprise Banking Services or not.
- (v) the specific terms and conditions and risk disclosures set out in the Terms and Conditions for Bank Services relating to Faster Payment System (<https://www.asia.ccb.com/hongkong/enterprise/doc/fps-tn.html>) and in the Terms and Conditions for Electronic Direct Debit Authorisation Service ([https://www.asia.ccb.com/hongkong/enterprise/edda\\_tnc.html](https://www.asia.ccb.com/hongkong/enterprise/edda_tnc.html))

S.V.

Signature(s)

Title(s)

Date

**For Bank Use Only (applicable only to Securities Account):**

I, \_\_\_\_\_ (in BLOCK LETTERS), a staff member of the Bank, confirm that I have provided the risk disclosure statements set out in Section 8 (Specific Terms and Conditions for Securities Trading Services) of Part B of the Master Terms and Conditions to the above Customer in a language of the Customer's choice (English or Chinese) and I have invited the Customer to read the said risk disclosure statements, ask questions and take independent advice if the Customer so wishes.

Date :

Signature (Staff member) \_\_\_\_\_

HKMA Registration Number \_\_\_\_\_