

**GENERAL REQUISITE DOCUMENTS
FOR ESTABLISHING BANKING RELATIONSHIP WITH UOB HONG KONG BRANCH
- PARTNERSHIP, SOLE PROPRIETORSHIP, JOINT VENTURE &
ANY OTHER UNINCORPORATED BODY -**

A. Partnership, sole proprietorship, joint venture or any other unincorporated entity (hereinafter collectively referred to as “the Entity”)
<input type="checkbox"/> 1. Valid business registration <input type="checkbox"/> 2. Partnership agreement/ joint venture agreement (where applicable)
B. Corporate partner(s) (e.g. joint venture partners) (where applicable) <i>(Note: For a corporate partner listed on a Recognized Stock Exchange, the items 3-6 under Section B should NOT be required if the requirements as specified in Note 1 can be satisfied..)</i>
<input type="checkbox"/> 3. Certificate of incorporation and any subsequent certificate(s) of change of name <input type="checkbox"/> 4. Valid business registration (where applicable) <input type="checkbox"/> 5. Company search report or certificate of incumbency or equivalent document ^{Note 2} issued within the last 6 months <input type="checkbox"/> 6. Ownership structure chart of the Company duly signed by a Company’s director with his/her declaration ^{Note 3} , showing the full name, place of incorporation and percentage shareholdings of all intermediate layers up to the beneficial owners ^{Note 4} <i>(Only applicable to the Company with ownership structure more than 2 layers, including first and last layers)</i> <input type="checkbox"/> 7. Articles of association (and memorandum of association, where appropriate) and any subsequent amendment(s) <input type="checkbox"/> 8. Valid identification document ^{Note 5} and proof of residential address issued within the last 6 months ^{Note 6 & 7} of <u>three</u> directors (including the managing director) of the corporate partners(s) <i>(where a director is a corporate entity, Section B documents, excluding item 6 of the corporate entity and a valid identification document of its two directors, including the managing director are required)</i>
C. All beneficial owners ^{Note 4} <i>(Note: For a company listed on a Recognized Stock Exchange, the items 9-10 under Section C should NOT be required if the requirements as specified in Note 1 regarding the company customer can be satisfied.)</i>
<input type="checkbox"/> 9. Valid identification document ^{Note 6&7} <input type="checkbox"/> 10. Proof of residential address (and permanent address, if different) issued within the last 6 months ^{Note 7 & 8}
D. All authorized account signatories/ authorized persons acting on behalf of the Company (hereinafter collectively referred to as “Authorized Signatories”), Guarantors and Collateral Providers
<input type="checkbox"/> 11. Valid identification document ^{Note 6 & 7} (where the connected party of Section D is a corporate entity, Section B documents excluding item 6 of the corporate entity and a valid identification document of its two directors, including the managing director are required) <input type="checkbox"/> 12. Proof of residential address issued within the last 6 months ^{Note 7 & 8}
E. Trust involved in the Company’s ownership structure (where applicable)
<input type="checkbox"/> 13. Trust deed and any subsequent amendment(s) / written confirmation from the trustee ^{Note 10} or a lawyer who has reviewed the relevant trust instrument / trust companies which manage the trust and are subsidiaries of a licensed bank in Hong Kong, showing all of the following details: - (a) Name and date of establishment/ settlement of the trust; (b) Jurisdiction whose laws govern the arrangement, as set out in the trust instrument; (c) Business address or principal place of business address;

- (d) The identification number (if any) granted by any applicable official bodies (e.g. tax identification number or registered charity or non-profit organization number); and
- (e) Identification information of trustee(s), settlor(s), any protector(s) or enforcers, and known beneficiaries: -
- i) Full Legal Name and Alias
 - ii) Unique Identification Number
 - iii) Nationality
 - iv) Date of birth
 - v) Residential Address

F. Others

14. Board resolution conferring authority on those acting on behalf of the Company and specimen signature(s)
15. Application form(s)
16. FATCA self-certification form or relevant US IRS form; and CRS self-certification form
17. Sanctions Questionnaire ^{Note 11}

Important note:

Note 1: Recognized stock exchanges include Australia, Luxembourg, Austria, Mexico, Belgium, Kingdom of the Netherlands, Brazil, Republic of Korea, Canada, New Zealand, China (including Hong Kong), Norway, Denmark, Portugal, Finland, Singapore, France, South Africa, Germany, Spain, Sweden, Iceland, Switzerland, India, Turkey, Ireland, United Kingdom, Italy, United States, Japan and Malaysia. . The following information should be identified by way of the independent and reliable publicly available information sources (e.g. Company's information/annual report on the website of Recognized Stock Exchange, Company Registry or Regulator, etc.)

- (a) Full Registered Business Name
- (b) Business Address or Principal Place of Business (if different from the business address)
- (c) Date of Incorporation
- (d) Place of Incorporation
- (e) Unique Identification Number

Note 2: The equivalent document should only be accepted if company search report or certificate of incumbency is not available in the place of incorporation. It should be issued by the Company's registered agent in the place of incorporation or a professional third party in the relevant jurisdiction, containing the following information:-

- (a) The company is still registered and has not been dissolved, wound up, suspended or struck off;
- (b) The names of the directors and shareholders recorded in the company registry in the place of incorporation; The company's registered office address in the place of incorporation.

Note 3: The example of director's declaration: -

"I, [Name of Director], as the Director of [XXX Company], hereby confirm that the ownership structure of [XXX Company] mentioned above is correct and accurate."

[Director's signature]

[Date of Declaration]

Note 4: Beneficial owners in relation to a corporation: -

- (a) means an individual who: -
 - (i) owns or controls, directly or indirectly, including through a trust or bearer share holding, not less than 25% of the issued share capital of the corporation; and
 - (ii) is, directly or indirectly, entitled to exercise or control the exercise of not less than 25% of the voting rights at general meetings of the corporation; and
 - (iii) exercises ultimate control over the management of the corporation; and
- (b) if the corporation is acting on behalf of another person, means the other person.

Beneficial owners in relation to a trust means: -

- (a) an individual who is entitled to a vested interest in not less than 25% of the capital of the trust property, whether the interest is in possession or in remainder or reversion and whether it is defeasible or not; and
- (b) the settlor, protector or enforcer of the trust; and
- (c) an individual who has ultimate control over the trust.

Where the ownership is dispersed, the Bank would concentrate on identifying and verifying the identity of those parties (a) with top 5 shareholdings and (b) parties who exercise ultimate control over the management of the company.

Note 5: The following information should be identified by the documents required (or equivalent documents) in Section A & B:-

Individual:-

- (a) Full Legal Name and Alias
- (b) Unique Identification Number
- (c) Nationality
- (d) Date of Birth

(e) Residential Address

Company:-

- (f) Full Registered Business Name
- (g) Business Address or Principal Place of Business (if different from the business address)
- (h) Date of Incorporation
- (i) Place of Incorporation
- (j) Unique Identification Number

Note 6: Identification documents in relation to: -

- (a) Hong Kong resident
 - (i) Hong Kong Identity Card; and
 - (ii) Nationality proof (e.g. valid travel document such as passport, government or state-issued national identity card/document bearing the individual's photograph) where an individual is a non-permanent resident, was born in place other than Hong Kong, or has another nationality
- (b) Non-Hong Kong resident
 - (i) Valid passport or other travel document; or
 - (ii) Government or state-issued national identity card bearing the individual's photograph (acceptable only if the individual is not physically present in Hong Kong for verification purposes)

Note 7: If the original copy of a document is not available for sighting by a staff of UOB Hong Kong Branch or the document provided is not an original copy, the copy document must be certified true and correct by a suitable certifier. Examples of a suitable certifier include: -

- (a) a bank staff of UOB Bank Group, authorized institution, licensed corporation, authorized insurer, appointed insurance agent or appointed insurance broker in Hong Kong; or
- (b) an accounting professional; or
- (c) an estate agent; or
- (d) a legal professional; or
- (e) a trust or company service provider ("TCSP") licensee; or
- (f) member of the judiciary in an equivalent jurisdiction; or
- (g) an officer of an embassy, consulate or high commission of the country of issue of documentary verification of identity; or
- (h) Justice of the Peace of Hong Kong
- (i) Hong Kong Chartered Secretary

The certifier must sign and date the copy document (printing his/her name clearly in capitals underneath) and clearly indicate his/her position or capacity on it. The certifier must state that it is a true copy of the original (or words to similar effect).

Note 8: List of sample documents to serve as address proof:

- (a) Statements (e.g., credit card and bank statements) and correspondences from banks; or
- (b) Policy statements, payment requests, official receipts and correspondences from insurance companies; or
- (c) Statements of Investment Holdings, contract note/invoices for investment transactions, corporate announcement notices (e.g., right issue/subsidiary, dividend payment, etc) from securities companies; or
- (d) Contracts, billing statements (e.g., for internet, phone and pay TV services), utility bills from telcos and utility companies; or
- (e) Tax Assessment; or
- (f) A written confirmation from employer such as employment letter addressed to the employee with residential address stated; or
- (g) Tenancy Agreement; or
- (h) It is possible that one document to have all five sets of information and be used as address proof, for example, the Singapore National Identity Card and Chinese National Identity Card
 - i) Full legal name and alias
 - ii) Unique Identification Number
 - iii) Nationality
 - iv) Date of Birth
 - v) Residential Address

Correspondences refer to service letters that request customers to provide latest employment information, credit limit review, confirmation of address change, credit card issuance letters, waiver of interest or fees, etc. This excludes marketing collaterals or flyers.

Note 9: Where a certified document is not in English or Chinese, an English translation of the same prepared by a suitably qualified translator should be provided. The translated document must be signed off and date-stamped appropriately by the translator with his/her name and designation.

Note 10: Trustee is the TCSP licensee in HK or the equivalency in any FATF member jurisdiction.

Note 11: The document to be signed by any 2 directors, 1 director and 1 company secretary, authorized signatory(ies) or approved person(s) as per delegated signing authority.

Note 12: UOB Hong Kong Branch may request further documents and/or other information for the purpose of banking relationship establishment where necessary.

Note 13: UOB Hong Kong Branch reserves the right to decline any relationship establishment request without giving any reason.

Disclaimer: The list of documents is not exhaustive and it is subject to the structure of the company. Additional documents may be required for clarification if necessary.