

Please refer to "<http://www.hangseng.com> > Business > Forms Download Centre > Other Account Services > Customer Due Diligence Form" for the Chinese version form.

如需中文版表格請瀏覽 "<http://www.hangseng.com> > 商業理財 > 商業理財表格中心 > 戶口服務 > 客戶盡職審查表格"

Appendix B  
(Form A)



## Customer Information Update Form

To : Hang Seng Bank Limited (the "Hang Seng")

Please complete this application form in English BLOCK LETTER and "√" where appropriate and cross out where not applicable.

A. Customer and Account Information	
Customer Identification Number	<input type="checkbox"/> Certificate of Incorporation ("C"): _____ <input type="checkbox"/> Business Registration ("B"): _____ <input type="checkbox"/> Others ("X"): _____
Full Legal Name of Applicant (in English)	
Full Legal Name of Applicant (in Chinese, if any)	
Contact Person for this form	
Title	
Telephone	
E-mail	
Account Number	
Part 1: Contact Details	
Registered Office Address in the Place of Incorporation	
Flat / Apartment _____ Floor _____ Block _____ Building _____	
Street Name _____	
District _____ <input type="checkbox"/> HK <input type="checkbox"/> KLN <input type="checkbox"/> NT <input type="checkbox"/> Outlying Islands	
Overseas Address (if applicable) _____	
_____	
_____	
Country _____ (Postal Code: _____)	
Business Address	
<input type="checkbox"/> Same as Registered Address	
<input type="checkbox"/> Address as specified below (if the address is not in Hong Kong, please provide postal code _____)	
_____	
_____	
Country _____	



**A. Customer and Account Information (Cont.)**

**Part 1: Contact Details (Cont.)**

**Business Phone Number and Email Address**

Contact Telephone Number (1) (     ) _____	Fax Number (1) (     ) _____
(2) (     ) _____	(2) (     ) _____

Mobile Telephone Number: (     ) \_\_\_\_\_

Business Email Address  
(1) \_\_\_\_\_  
(2) \_\_\_\_\_

Business Website URL (if available):  
\_\_\_\_\_

**Part 2: Business Details**

**Nature of Business**

Number of Employees in    Hong Kong: \_\_\_\_\_    Mainland China: \_\_\_\_\_    Other Area: \_\_\_\_\_

Country of Operations / Location where Assets are held	Country	Number of Branches	Number of Subsidiaries	Number of Local Offices

Top 5 Countries of Revenues * Only for country with at least 10% contribution	Country	% of revenue / intended revenue

A. Customer and Account Information (Cont.)		
Part 2: Business Details (Cont.)		
Nature of Business (Cont.)		
Top 5 Countries of Purchases * Only for country with at least 10% contribution	Country	% of purchases / intended purchases
Top 5 Countries of Assets * Only for country with at least 10% contribution	Country	% of assets held
Key Customer Type(s)	<input type="checkbox"/> Individuals <input type="checkbox"/> Governments / Public Sector <input type="checkbox"/> Businesses <input type="checkbox"/> Banks and Other Financial Institutions <input type="checkbox"/> Other : _____ _____ _____	
Key Customer / Supplier who Accounts for More Than 50% of Total Sales / Purchases (if any)	Registered Name	
	"Trading As" Name (If different from Registered Name)	
	% of Sales Revenue / Purchases	
	Nature of Business / Industry	

A. Customer and Account Information (Cont.)																												
Part 2: Business Details (Cont.)																												
Financial Information																												
Principal Source of Wealth for the Business (Select all that apply)	<table style="width: 100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> Lottery Gaming Win  <input type="checkbox"/> Sale of Assets or Property  <input type="checkbox"/> Pension  <input type="checkbox"/> Real Estate Development / Investment  <input type="checkbox"/> Loan - Business  <input type="checkbox"/> Income - Salary  <input type="checkbox"/> Investment by Ultimate Beneficial Owner / Partner  <input type="checkbox"/> External Investment  <input type="checkbox"/> Injection of funds from Associated entity  <input type="checkbox"/> Injection of funds from Owner / Parent Company  <input type="checkbox"/> Owner's personal savings </td> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> Inheritance  <input type="checkbox"/> Gift  <input type="checkbox"/> Business Ownership  <input type="checkbox"/> Intragroup Financing  <input type="checkbox"/> Active Wealth / Investments  <input type="checkbox"/> Lump sum - Redundancy Payment  <input type="checkbox"/> Income - Business Income  <input type="checkbox"/> Other Source of Wealth / Fund  <input type="checkbox"/> Injection of funds from external source  <input type="checkbox"/> Loan / bank funding  <input type="checkbox"/> Sale of Business / Asset </td> </tr> </table>	<input type="checkbox"/> Lottery Gaming Win <input type="checkbox"/> Sale of Assets or Property <input type="checkbox"/> Pension <input type="checkbox"/> Real Estate Development / Investment <input type="checkbox"/> Loan - Business <input type="checkbox"/> Income - Salary <input type="checkbox"/> Investment by Ultimate Beneficial Owner / Partner <input type="checkbox"/> External Investment <input type="checkbox"/> Injection of funds from Associated entity <input type="checkbox"/> Injection of funds from Owner / Parent Company <input type="checkbox"/> Owner's personal savings	<input type="checkbox"/> Inheritance <input type="checkbox"/> Gift <input type="checkbox"/> Business Ownership <input type="checkbox"/> Intragroup Financing <input type="checkbox"/> Active Wealth / Investments <input type="checkbox"/> Lump sum - Redundancy Payment <input type="checkbox"/> Income - Business Income <input type="checkbox"/> Other Source of Wealth / Fund <input type="checkbox"/> Injection of funds from external source <input type="checkbox"/> Loan / bank funding <input type="checkbox"/> Sale of Business / Asset																									
<input type="checkbox"/> Lottery Gaming Win <input type="checkbox"/> Sale of Assets or Property <input type="checkbox"/> Pension <input type="checkbox"/> Real Estate Development / Investment <input type="checkbox"/> Loan - Business <input type="checkbox"/> Income - Salary <input type="checkbox"/> Investment by Ultimate Beneficial Owner / Partner <input type="checkbox"/> External Investment <input type="checkbox"/> Injection of funds from Associated entity <input type="checkbox"/> Injection of funds from Owner / Parent Company <input type="checkbox"/> Owner's personal savings	<input type="checkbox"/> Inheritance <input type="checkbox"/> Gift <input type="checkbox"/> Business Ownership <input type="checkbox"/> Intragroup Financing <input type="checkbox"/> Active Wealth / Investments <input type="checkbox"/> Lump sum - Redundancy Payment <input type="checkbox"/> Income - Business Income <input type="checkbox"/> Other Source of Wealth / Fund <input type="checkbox"/> Injection of funds from external source <input type="checkbox"/> Loan / bank funding <input type="checkbox"/> Sale of Business / Asset																											
Principal Source of Wealth for the Future (Select all that apply)	<table style="width: 100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> Lottery Gaming Win  <input type="checkbox"/> Sale of Assets or Property  <input type="checkbox"/> Pension  <input type="checkbox"/> Real Estate Development / Investment  <input type="checkbox"/> Loan - Business  <input type="checkbox"/> Income - Salary  <input type="checkbox"/> Investment by Ultimate Beneficial Owner / Partner  <input type="checkbox"/> External Investment  <input type="checkbox"/> Cash flow generated from the company operations  <input type="checkbox"/> Injection of funds from external source  <input type="checkbox"/> Loan / bank funding </td> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> Inheritance  <input type="checkbox"/> Gift  <input type="checkbox"/> Business Ownership  <input type="checkbox"/> Intragroup Financing  <input type="checkbox"/> Active Wealth / Investments  <input type="checkbox"/> Lump sum - Redundancy Payment  <input type="checkbox"/> Income - Business Income  <input type="checkbox"/> Other Source of Wealth / Fund  <input type="checkbox"/> Injection of funds from Associated entity  <input type="checkbox"/> Injection of funds from Owner / Parent Company </td> </tr> </table>	<input type="checkbox"/> Lottery Gaming Win <input type="checkbox"/> Sale of Assets or Property <input type="checkbox"/> Pension <input type="checkbox"/> Real Estate Development / Investment <input type="checkbox"/> Loan - Business <input type="checkbox"/> Income - Salary <input type="checkbox"/> Investment by Ultimate Beneficial Owner / Partner <input type="checkbox"/> External Investment <input type="checkbox"/> Cash flow generated from the company operations <input type="checkbox"/> Injection of funds from external source <input type="checkbox"/> Loan / bank funding	<input type="checkbox"/> Inheritance <input type="checkbox"/> Gift <input type="checkbox"/> Business Ownership <input type="checkbox"/> Intragroup Financing <input type="checkbox"/> Active Wealth / Investments <input type="checkbox"/> Lump sum - Redundancy Payment <input type="checkbox"/> Income - Business Income <input type="checkbox"/> Other Source of Wealth / Fund <input type="checkbox"/> Injection of funds from Associated entity <input type="checkbox"/> Injection of funds from Owner / Parent Company																									
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Relevant Key Financial Data for the Business	<input type="checkbox"/> Annual Revenue (Gross Revenue) (If your business is a start-up, please advise base on your business plan) <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 5px;"> <thead> <tr> <th style="width: 40%;"></th> <th style="width: 20%;">Currency</th> <th style="width: 40%;">Amount</th> </tr> </thead> <tbody> <tr> <td>Current Year</td> <td></td> <td></td> </tr> <tr> <td>Projection for next year</td> <td></td> <td></td> </tr> </tbody> </table> <input type="checkbox"/> Asset Size <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 5px;"> <thead> <tr> <th style="width: 40%;"></th> <th style="width: 20%;">Currency</th> <th style="width: 40%;">Amount</th> </tr> </thead> <tbody> <tr> <td>Current Year</td> <td></td> <td></td> </tr> <tr> <td>Projection for next year</td> <td></td> <td></td> </tr> </tbody> </table> <input type="checkbox"/> Other : _____ _____ _____ <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 5px;"> <thead> <tr> <th style="width: 40%;"></th> <th style="width: 20%;">Currency</th> <th style="width: 40%;">Amount</th> </tr> </thead> <tbody> <tr> <td>Current Year</td> <td></td> <td></td> </tr> <tr> <td>Projection for next year</td> <td></td> <td></td> </tr> </tbody> </table>		Currency	Amount	Current Year			Projection for next year				Currency	Amount	Current Year			Projection for next year				Currency	Amount	Current Year			Projection for next year		
	Currency	Amount																										
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Current Year																												
Projection for next year																												
	Currency	Amount																										
Current Year																												
Projection for next year																												
Annual Business Turnover	<input type="checkbox"/> Current Year: HKD _____ (Only applicable to company operating more than 1 year)  <input type="checkbox"/> Projected for the next year: HKD _____ (Only applicable to company operating less than 1 year)																											
Name of your business' audit or accounting firm																												

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A. Customer and Account Information (Cont.)	
Part 2: Business Details (Cont.)	
Company Details	
Full Legal Name of Applicant (in English)	
Full Legal Name of Applicant (in Chinese)	
Trading As Name	
Trading As Name in Chinese	
Country of Primary Business Operations	
Location of Headquarters	
Nature of Business / Industry	
Business Type	<input type="checkbox"/> Commercial Operating Business <input type="checkbox"/> Holding Company (Economic Purpose):
Do you have any business activity through HASE or other Financial Institutions involving: Afghanistan <sup>1</sup> , Belarus, Cuba, Iran, North Korea, Russia, Syria, Venezuela <sup>1</sup> and Non-Ukrainian Governmental Controlled Areas of Ukraine <sup>2</sup> ?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Do you have any business activity through HASE or other Financial Institutions involving: Individuals, entities or organizations including through ownership or control which are currently targeted by sanctions?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Do you have a presence in Belarus, Cuba, Iran, North Korea, Russia, Syria and Non-Ukrainian Governmental Controlled Areas of Ukraine <sup>2</sup> ?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Are you owned by, controlled by, acting on behalf of, or acting in a capacity for: Individuals, entities or organizations including through ownership or control which are currently targeted by sanctions?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Are you owned by, controlled by, acting on behalf of, or acting in a capacity for: Individuals, entities, governments or organizations located in Afghanistan <sup>3</sup> , Belarus, Cuba, Iran, North Korea, Russia, Syria, Venezuela <sup>3</sup> and Non-Ukrainian Governmental Controlled Areas of Ukraine <sup>2</sup> ?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Do you have any Business Activity that requires an Import Authorization or Export License?	<input type="checkbox"/> Yes <input type="checkbox"/> No

1. Only Business Activity in relation to the Government of Afghanistan or Venezuela requires disclosure. Please refer to the definitions as below for details.
2. As at January 2023, Non-Ukrainian Governmental Controlled Areas of Ukraine include the Crimea Region, Donetsk People's Republic (DNR), Luhansk People's Republic (LNR) and the regions of Zaporizhzhia and Kherson. These areas are subject to change and any customer presence in or activity involving Ukraine must be carefully assessed against the current status of the conflict and relevant areas verified as not being under the control of Non-Ukrainian forces.
3. Only ownership, control, activity on behalf of / in the capacity for the Government of Afghanistan or Venezuela requires disclosure. Please refer to the definitions as below for details.

## A. Customer and Account Information (Cont.)

### Part 2: Business Details (Cont.)

#### Definitions

**Business Activity** – includes operations, suppliers, customers, investors, agents, legal agreements, commercial arrangements, contracts, outstanding receivables and/or collectibles, origin or shipping of goods, export or import of goods, software, technology or services, interactions/exposure to state owned or controlled entities, investments including funds which you own or manage and providing funding or services to facilitate funding (note: Business Activity in the context of Russia also includes New Investments, please refer to definition below).

**Connected Parties** – includes but is not limited to, key officials, partners, directors, authorized representatives, Sole Authorized Signatory, Authorized Representative, Ultimate Beneficial Owner, Key Controller, executors, settlors, donors, protectors, persons authorized to act on behalf of the Customer, an individual which materially contributes to the Customer's Source of Wealth, and Power of Attorney.

**Customer Group** – Multinational Corporation which is defined as banking relationships (e.g. the parent and subsidiaries) in more than one jurisdiction.

**Entity in Customer Group** – for example, any subsidiary, branch, joint venture, holding company, representative office, ticket office, operational office or affiliate.

**Government of Afghanistan** – including its agencies, public bodies, ministries, foreign embassies, state-owned or state-controlled entities.

**Government of Venezuela** – including the state and Government of Venezuela, any political subdivision, agency, or instrumentality thereof, including the Central Bank of Venezuela and PDVSA, any person owned 50% or more (individually or in the aggregate), or controlled, directly or indirectly, by the foregoing, and any person who has acted or purported to act directly or indirectly for or on behalf of, any of the foregoing, including as a member of the Maduro regime.

**Import Authorization / Export license** – A license or authorization granted relating to business activity involving products, goods, services, software or technology (together referred to as "items") that require a specific authorization from a competent authority to allow the export or import of that item.

**New Investment in Russia** – include:

- lending to persons or entities located in Russia or entities located outside of Russia which are more than 50% owned by persons or entities located in Russia
- purchasing new and existing debt or equity securities issued by an entity in Russia
- directly or indirectly purchasing commercial real estate, land, the acquisition of rights to natural resources, entering into agreements that provide royalties or ongoing share of profits, or commitment of capital or other assets for new projects or expansion of existing projects or operations in Russia
- directly or indirectly establishing a joint venue, purchasing an equity interest or acquiring control in an entity located in Russia or an entity located outside of Russia which are more than 50% owned by persons or entities located in Russia
- opening a representative office or establishing a branch or subsidiary located in Russia providing services directly related to any of the aforementioned activities

**Presence** – includes current residential, registered office, business and correspondence address or principal place of operations.

**Sanctioned Party** – the target of sanctions administered or enforced by the United Nations Security Council, Her Majesty's Treasury, the Hong Kong Monetary Authority, US Department of the Treasury's Office of Foreign Assets Control, the European Union or any other applicable sanctions authorities.

**A. Customer and Account Information (Cont.)**

**Part 3: Contact Person Details**

	Contact Person 1	Contact Person 2
First Name	<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Miss <input type="checkbox"/> Ms	<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Miss <input type="checkbox"/> Ms
Surname(s)		
Job Title		
Preferred Telephone Number	(      )	(      )
Email Address		

Note: Contact person(s) listed above will replace all existing contact person(s) on record.

**Part 4: Details of Connected Parties**

This section will help us to understand more about the ownership of your business as well as any other connected parties.

**Beneficial owners:**  
 A beneficial owner is an individual or an entity who owns or exercises control over your business through either;  
 - their shareholding or other ownership interest in your business;  
 - control over the voting rights;  
 - exercising other control over the composition and/or the voting of the Board of Directors

A beneficial owner can also be the party on whose behalf a transaction or activity is being conducted.

**Ultimate beneficial owner (UBO):**  
 UBO is usually an individual who ultimately owns a legal entity and / or the person on whose behalf a transaction is being conducted. The UBO is any individual or government body that owns, has the right to vote, or has the power to sell or direct the sale of a class of the business' voting securities of an Intermediate Owner.

**An intermediate beneficial owner (IBO):**  
 IBO is an entity or legal arrangement (e.g. a structure such as a Trust or Foundation) identified as existing within the corporate structure that sits between your business and the UBO (as defined above) in the ownership chain.

**Key controller (KC):**  
 Is someone who is elected or appointed to exercise more direct control over the legal entity, by participating in the governance or senior executive activities of the business. Key controllers typically set the strategic direction of the entity. The title given to a key controller varies. Most commonly, a key controller will include the Chief Executive Officer (CEO), Chief Financial Officer (CFO), managing partner and chairman of the board. Usually, control is exercised jointly with other directors / senior executive management.

**Director / Partners:**  
 A director or a partner is an appointed member of a business board and may be either an executive or a non-executive. The roles and responsibilities of a board of directors will vary according to the type of entity. For entities, certain directors and managers will be classified as key controllers, due to their ability to exercise significant control over an entity and to have a substantial influence over the day-to-day management of the business.

**Management Information**  
 (Record of customer's personal account will also be updated accordingly except Home, Mobile and Office Telephone No.)

**Connected Party - Individuals**

	Relevant Person 1	Relevant Person 2
	<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Miss <input type="checkbox"/> Ms	<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Miss <input type="checkbox"/> Ms
Full Name in English		
Full Name in Chinese		
Previous Name (if applicable)		
Position / Title		
Date of Birth (DD/MM/YY)		
Country of Birth		
Country of Residence for Tax Purposes (for Sole Proprietor only)		
ID Document Type	<input type="checkbox"/> HKID <input type="checkbox"/> Passport <input type="checkbox"/> Travel Document <input type="checkbox"/> Others: _____	<input type="checkbox"/> HKID <input type="checkbox"/> Passport <input type="checkbox"/> Travel Document <input type="checkbox"/> Others: _____
ID Document No.		

**A. Customer and Account Information (Cont.)**

**Part 4: Details of Connected Parties (Cont.)**

**Management Information (Cont.)**

(Record of customer's personal account will also be updated accordingly except Home, Mobile and Office Telephone No.)

**Connected Party - Individuals (Cont.)**

	Relevant Person 1	Relevant Person 2
Role (Select all that apply)	<input type="checkbox"/> Director <input type="checkbox"/> Ultimate Beneficial Owner <input type="checkbox"/> Partner <input type="checkbox"/> Member with >10% voting right <input type="checkbox"/> Sole Proprietor <input type="checkbox"/> Business e-banking Primary User <input type="checkbox"/> Key Controllers	<input type="checkbox"/> Director <input type="checkbox"/> Ultimate Beneficial Owner <input type="checkbox"/> Partner <input type="checkbox"/> Member with >10% voting right <input type="checkbox"/> Sole Proprietor <input type="checkbox"/> Business e-banking Primary User <input type="checkbox"/> Key Controllers
Nationality1		
Multiple Nationality	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Nationality2		
Nationality3		
Percentage Ownership	%	%
Current Residential Address	_____ _____ _____ _____ _____ Country _____ (Postal Code: _____)	_____ _____ _____ _____ _____ Country _____ (Postal Code: _____)
Date moved to Residential Address (MM/YYYY) (for Sole Proprietor only)		
Previous Address (Please specify if length of residence at current residential address is less than 3 years) (for Sole Proprietor only)	_____ _____ _____ _____ _____ Country _____ (Postal Code: _____)	_____ _____ _____ _____ _____ Country _____ (Postal Code: _____)
Permanent Residential Address	<input type="checkbox"/> Same as Current Residential Address _____ _____ _____ _____ _____ Country _____ (Postal Code: _____)	<input type="checkbox"/> Same as Current Residential Address _____ _____ _____ _____ _____ Country _____ (Postal Code: _____)

Example: For a foreigner, permanent residential address may be the address in his/ her home country, current residential address may be the address in Hong Kong; For a Hong Kong citizen, permanent residential address and current residential address may be the same.

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**A. Customer and Account Information (Cont.)**

**Part 4: Details of Connected Parties (Cont.)**

**Management Information (Cont.)**  
(Record of customer's personal account will also be updated accordingly except Home, Mobile and Office Telephone No.)

**Connected Party - Individuals (Cont.)**

	Relevant Person 1	Relevant Person 2
Source of Wealth (Select all that apply)	<input type="checkbox"/> Lottery Gaming Win <input type="checkbox"/> Inheritance <input type="checkbox"/> Sale of Assets or Property <input type="checkbox"/> Gift <input type="checkbox"/> Pension <input type="checkbox"/> Business Ownership <input type="checkbox"/> Real Estate Development / Investment <input type="checkbox"/> Artwork Investment <input type="checkbox"/> Loan - Student <input type="checkbox"/> Active Wealth / Investments <input type="checkbox"/> Income - Salary <input type="checkbox"/> Investment - shareholder <input type="checkbox"/> Parental Support <input type="checkbox"/> Claimant Benefits <input type="checkbox"/> Stipend <input type="checkbox"/> Allowance from Family Relations <input type="checkbox"/> Member of a Royal Family <input type="checkbox"/> Other Source of Wealth / Fund <input type="checkbox"/> Inheritance <input type="checkbox"/> Loan / bank funding <input type="checkbox"/> Money from Family Members, or Close Associates <input type="checkbox"/> Owner's personal savings <input type="checkbox"/> Sale of Business / Asset <input type="checkbox"/> Sale of Investments	<input type="checkbox"/> Lottery Gaming Win <input type="checkbox"/> Inheritance <input type="checkbox"/> Sale of Assets or Property <input type="checkbox"/> Gift <input type="checkbox"/> Pension <input type="checkbox"/> Business Ownership <input type="checkbox"/> Real Estate Development / Investment <input type="checkbox"/> Artwork Investment <input type="checkbox"/> Loan - Student <input type="checkbox"/> Active Wealth / Investments <input type="checkbox"/> Income - Salary <input type="checkbox"/> Investment - shareholder <input type="checkbox"/> Parental Support <input type="checkbox"/> Claimant Benefits <input type="checkbox"/> Stipend <input type="checkbox"/> Allowance from Family Relations <input type="checkbox"/> Member of a Royal Family <input type="checkbox"/> Other Source of Wealth / Fund <input type="checkbox"/> Inheritance <input type="checkbox"/> Loan / bank funding <input type="checkbox"/> Money from Family Members, or Close Associates <input type="checkbox"/> Owner's personal savings <input type="checkbox"/> Sale of Business / Asset <input type="checkbox"/> Sale of Investments
State the country(ies) in which the individual attained their initial Source of Wealth		
State the country(ies) in which the individual attained their ongoing Source of Wealth		

**(For Sole Proprietor and Partnership only) Opt-out from use of personal data in direct marketing**

Hang Seng may use your personal data in direct marketing, and may also provide your personal data to other members of the Hang Seng Bank Group (but not other third parties) for their use in direct marketing.

**Your choice below to check or not to check any of the box(es) represents your present choice whether or not to receive direct marketing contact or information which shall become effective from the date Hang Seng approves this application. This replaces any choice or request regarding direct marketing communicated by you to Hang Seng prior to this application, unless this application is withdrawn or rejected for whatever reason.**

Please note that your below choice applies to the direct marketing of the classes of products, services and/or subjects as set out in Hang Seng's Notice to Customers and Other Individuals relating to the Personal Data (Privacy) Ordinance attached to this form, including, for example, Hang Seng Credit Card promotions and special offers provided by merchants. Please also refer to the Notice on the kinds of personal data which may be used in direct marketing and the classes of persons to which your personal data may be provided for them to use in direct marketing.

**However, if you are a Private Banking customer of Hang Seng, your choice below does not apply to direct marketing contact or information in connection with Private Banking services of Hang Seng and any existing choice or request that you have communicated to Hang Seng in this regard shall prevail. If you wish to opt out from direct marketing contact or information in connection with Private Banking services of Hang Seng, please contact your Relationship Manager.**

	You should check ("√") this box if you do not wish Hang Seng to use your personal data in direct marketing	You should check ("√") this box if you do not wish Hang Seng to provide your personal data to any other members of the Hang Seng Bank Group for their use in direct marketing	Signature from Relevant Person
Relevant Person 1	<input type="checkbox"/>	<input type="checkbox"/>	<b>X</b> _____
Relevant Person 2	<input type="checkbox"/>	<input type="checkbox"/>	<b>X</b> _____

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<b>A. Customer and Account Information (Cont.)</b>	
Part 4: Details of Connected Parties (Cont.)	
Management Information (Cont.) (Record of customer's personal account will also be updated accordingly except Home, Mobile and Office Telephone No.)	
<b>Connected Party - Corporate Entity</b>	
Full Name of Legal Entity	
Company Name in Chinese	
Previous Name (if applicable)	
Trading As' Name (Only for Key Controller)	
Role (Select all that apply)	<input type="checkbox"/> Member with >10% voting right <input type="checkbox"/> Settlor <input type="checkbox"/> Trustee <input type="checkbox"/> Key Controllers <input type="checkbox"/> Corporate Director <input type="checkbox"/> Director <input type="checkbox"/> Protector
Registered Number <input type="checkbox"/> Certificate of Incorporation ("C"): _____ <input type="checkbox"/> Business Registration Certificate ("B"): _____ <input type="checkbox"/> Other Registration Certificate ("X"): _____	Country of Incorporation
Registered Office Address in the Country of Incorporation	
Flat / Apartment _____ Floor _____ Block _____ Building _____	
Street Name _____	
District _____ <input type="checkbox"/> HK <input type="checkbox"/> KLN <input type="checkbox"/> NT <input type="checkbox"/> Outlying Islands	
Overseas Address (if applicable) _____	
_____	
Country _____ (Postal Code: _____)	
Principal Business Address <input type="checkbox"/> Same as Registered Address <input type="checkbox"/> Address as specified below (if the address is not in Hong Kong, please provide postal code _____)  Country _____	
Operating Address (Only for other related parties)	
_____	
Country _____ (Postal Code: _____)	
Date of Incorporation / Establishment (DD/MM/YY)	
Location of Business	Location of Headquarters
Is this entity regulated / listed? <input type="checkbox"/> Regulated <input type="checkbox"/> Listed <input type="checkbox"/> No	

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**B. Declaration**

1. I / We acknowledge and confirm that information given above is complete, accurate and up-to-date and authorise Hang Seng to communicate and to exchange such information with whatever sources Hang Seng may consider appropriate for the purpose of verifying the same. I/We further undertake to notify Hang Seng promptly in writing whenever there are any changes to any of such information.

2. I / We hereby confirm and warrant that I / We have obtained (and will obtain) the express consent of every Connected Person to the provision of their information to the Bank or a member of the HSBC Group for the Purposes and to the disclosure to the persons as provided in the Account Rules or the Business Integrated Account Terms and Conditions (as applicable) and the Notice to Customers and Other Individuals relating to the Personal Data (Privacy) Ordinance from time to time. The terms "Connected Persons", "Purposes" and "HSBC Group" shall have the meaning ascribed to them in the Account Rules or the Business Integrated Account Terms and Conditions (as applicable). The Account Rules, the Business Integrated Account Terms and Conditions and the Notice to Customers and Other Individuals relating to the Personal Data (Privacy) Ordinance are available for download at  
[https://www.hangseng.com/content/dam/hase/config/bde/pws/common/pdfs/notice\\_e.pdf](https://www.hangseng.com/content/dam/hase/config/bde/pws/common/pdfs/notice_e.pdf)  
[https://www.hangseng.com/content/dam/hase/zh\\_hk/personal/banking-services/pdf/account\\_rules.pdf](https://www.hangseng.com/content/dam/hase/zh_hk/personal/banking-services/pdf/account_rules.pdf)  
[https://www.hangseng.com/content/dam/hase/en\\_hk/business/bank-accounts/PDF/ibs\\_tnc.pdf](https://www.hangseng.com/content/dam/hase/en_hk/business/bank-accounts/PDF/ibs_tnc.pdf)

Note: This Declaration should be signed by the Sole Proprietor if the Applicant is a sole-proprietorship, all Partners if the Applicant is a partnership or the Sole Director or the number of Directors who would constituted a quorum for a directors meeting in accordance with the articles of association or the constitutional documents of the Applicant if the Applicant is a limited company.

<p>In the capacity(ies) of a Sole Proprietor / Partner / Sole Director / Chairman of the Meeting (must be a director)*</p> <p><b>X</b></p> <p>Name: _____</p> <p>Date(DD/MM/YY): _____</p>	<p>In the capacity(ies) of a Partner / Director*</p> <p><b>X</b></p> <p>Name: _____</p> <p>Date(DD/MM/YY): _____</p>
<p>In the capacity(ies) of a Partner / Director*</p> <p><b>X</b></p> <p>Name: _____</p> <p>Date(DD/MM/YY): _____</p>	<p>In the capacity(ies) of a Partner / Director*</p> <p><b>X</b></p> <p>Name: _____</p> <p>Date(DD/MM/YY): _____</p>

\*Please delete inappropriate identity.

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