

Documents for Account Opening in Macau – Non-Profit Organization established in Macau (Association; Foundation)

Note:

- a. Copies of all documents submitted should be **true copies certified** by a certified public accountant / lawyer / banker / notary public in a Financial Action Task Force (FATF) member / comparable jurisdiction acceptable to HSBC or by a member of the Hong Kong Institute of Chartered Secretaries (HKICS) or by an officer of any HSBC Branch. If original documents are not in Portuguese or Chinese or English language, an English translation of the same should also be provided. (Certification format: Certifier's signature with Certifier's position, registration number (if any) and official stamp should be placed on the first page of the copy document. Certifier must state that it is "True Copy of Original Document" (or words to similar effect) with date and the number of pages to be recorded.
- b. The number of members of the management body or Authorized Signatories as appointed under the resolution (item 6 below) or as appointed under the Mandate (item 10 below) or the number of members of the management body as needed to bind the organization according to its By-laws (item 1 below) need to be present for the account opening.

- 1. Registration certificate issued by the Identification Service Bureau (DSI) within 1 month of application, with By-laws and including an updated list of members of the management body; Deed of Incorporation (if applicable)
- 2. Copy of publication on the official Gazette (*Boletim Oficial de Macau*) of the Deed of Incorporation, the By-laws, and any amendments thereto and of the government authorization if applicable;
- 3. Organization structure chart;
- 4. **Document required from two Members of Management Bodies, ALL Authorized Signatories,, two Key Controllers and ALL Direct Appointees:**
 - Identification Document
 - Former Name/Alias Proof (If there is a former name/alias)
 - Nationality Proof e.g. Passport copies (if the individual is not a Macau or Hong Kong permanent Identity Card holder)
 - Residential Address Proof (e.g. Utility bill issued within 3 months, bank statement issued within 3 months by Financial Institutions in a FATF member / comparable jurisdiction acceptable to HSBC, valid driving license, National identity card with address, and other proof acceptable to HSBC)
 - Permanent Address Proof (If the individual is not a Macau or Hong Kong Permanent Identity Card holder and have a permanent address different from residential address)
- 5. **Information required from ALL Directors, ALL Authorised Signatories, ALL Beneficial Owners and All Key Controllers and ALL Direct Appointees:**
 - Full name
 - ID type and Number
 - Date of Birth
- 6. A resolution of the management body or the Mandate (item 10 below) approving to open account(s) and determining the rules of operation of the newly opened account(s)
- 7. Latest 3 months Bank Statement / Letter of introduction from a bank or introducer (if applicable);
- 8. Latest 3 years Financial Report (if applicable);

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- 9. a) FATCA Declaration for Active Non-Financial Foreign Entities; or
b) W-series Form
(For further information, please refer to our website www.fatca.hsbc.com.)
- 10. Mandate, Business Customer Account Opening Form, Business Account Opening Form - Supplementary Information and Signature Cards
- 11. Initial Deposit (Each account must maintain a monthly balance of MOP/HKD 200,000 or equivalent)
For details of our Tariff, please send an inquiry to: ibc@hsbc.com.mo

Important Note:

- a) Apart from documents listed above, the bank may require submission of updated/additional information from time to time before or after the account is opened. In case of regulatory / legislation and related requirements, the Bank may require submission of documents such as Business Plan, Business Proof (e.g. invoice/sales contract etc.) and Bank Reference Letter etc. Failure to do so may result in the Bank's inability to provide the requested banking service.
- b) **Documents submitted will be subject to the review and approval of the Bank. The Bank has the sole and absolute discretion in deciding whether to accept our account opening application and reserves the right to decline any account opening request without providing any reason. Documents submitted will not be returned irrespective of whether the account is eventually opened.**

Definition:

Beneficial Owner:

In relation to a person other than corporation, partnership or trust (if fulfils any of the following criteria): means an individual who,

- ultimately owns or controls the persons; or
- if the person is acting on behalf of another person, mean the other person.

Key Controller:

Key Controller is an individual appointed to exercise direct control over the entity, by participating in the governance or senior / executive activities of the business. Key Controller typically sets the strategic direction of the entity and exercises control jointly with other directors or senior executives. It can be a corporate entity. Key Controllers include:

- Chief Executive Officer (CEO) / Managing Director
- Chief Financial Officer (CFO) / Head of Finance
- Chief Operating Officer (COO) / Head of Operations
- Managing Partner
- Chairman / Deputy Chairman of the Board
- Chairman of the Audit / Remuneration / Risk Committee
- Authorised Signatory with sole signing authority
- Nominee
- Powers of Attorney

Authorized Signatory or Direct Appointee:

Authorized Signatory or Direct Appointee is an individual authorized under an executed instrument of the entity to act on its behalf with respect to the banking relationship, and to appoint authorized signatories or delegate authority to others to represent the business in limited circumstances. Authorized Signatory or Direct Appointee is typically appointed by a resolution of the management body. It can be a corporate entity.

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澳門開戶文件 - 在澳門成立之非牟利組織(社團；財團)

注意：

- a. 所有提交本行的文件副本必須經在由本行認可的「打擊清洗黑錢財務行動特別組織」成員或相應國家的執業會計師／律師／往來銀行／公證人或香港特許秘書公會會員或任何滙豐分行主管**簽證為真確的副本**。如文件正本乃非葡文或中文或英文語言，須另外提交英文翻譯文本。(簽證格式：簽證人應在文件副本首頁填寫簽證人職位，登記號碼(如有)，簽署及蓋上正式印章，並標明頁數和日期及註明：「附上文件為真確的副本」或相近意思的句子)。
 - b. 辦理開戶手續時，按決議委任(第 6 項)或委託書委派(第 10 項)之管理機關成員或授權簽署人或按其章程對組織具約束之管理機關成員(第 1 項)須出席。
1. 由身份證明局發出最近一個月內的社團證明書，連同組織章程，且包括最新之管理機關成員名單；設立協議(如適用)
 2. 刊登於官方公報(澳門特別行政區公報)之組織設立協議、章程和其任何修正本且政府批准之文件(如適用)之副本²
 3. 組織架構圖
 4. 由兩名管理機關成員、所有授權簽署人、兩名主要管理人和所有受任人提供下列文件：
 - 身份證明文件
 - 前用姓名／別名證明 (如有前用姓名／別名)
 - 國籍證明，例如護照副本(如該人士非持有澳門或香港永久性居民身份證)
 - 常居地址證明(例如：最近三個月的公用事業帳單、由本行認可的打擊清洗黑錢財務行動特別組織成員或相應國家的財務機構發出最近三個月的銀行月結單、在效的駕駛執照、國民身份證連地址及其他本行認可文件)
 - 永久住址證明(如該人士非持有澳門/香港永久性居民身份證及擁有永久住址但與住宅地址不同)
 5. 由所有理事、授權簽署人、實益擁有人及主要管理人和受任人提供之資料：
 - 全名
 - 證件類型及編號
 - 出生日期
 6. 管理機關或委託書(第 10 項)批准開設帳戶，並確定新開賬戶的操作規則
 7. 最近三個月之銀行月結單／銀行或其他介紹人之介紹信(如適用)
 8. 最近三年的財務報告(如適用)
 9. a) 活躍非金融外國實體FATCA聲明；或
b) W-series Form
(如需更詳細資料，請參閱本行的網頁：www.fatca.hsbc.com.)
 10. 委託書、商業客戶開戶表格、商業開戶表格 - 補充客戶資料附頁及印鑑卡
 11. 開戶存款(每帳戶每月平均結餘澳門幣/港幣 200,000 元 或其等值的外幣)

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如需本行收費表的詳細資料，請電郵諮詢：ibc@hsbc.com.mo

重要通知：

- a) 除下列文件外，本行有權在戶口開立前或開立後要求客戶更新資料。如因監管/法規要求，本行在需要時可要求下列文件：有關之業務計劃，業務證明(如發票，買賣合同等)，銀行證明書等。如戶口持有人未能向本行提供有關資料，可能會導致本行無法繼續提供該等服務。
- b) 所提交之文件將受本行審查及核准。對閣下開戶申請之接受與否，本行具專有及絕對之自由裁量權，且保留不接受開戶申請的權利並毋須提供任何理由。無論賬戶成功開立與否，所提交之文件將不被退還。

定義：

實益擁有人：

就不屬法團、合夥或信託所指的人而言指符合以下任何一項說明的個人：

- 最終擁有或控制該人的任何人或
- (如該人是代表另一人行事)指該另一人

主要管理人：

主要管理人是指被委任參與公司的管理或高級行政架構，對業務行使直接決策權的人士。主要管理人一般會制定公司的策略方針，並與其他董事或高級行政人員共同管理及決策公司的營運。主要管理人可為一間法人團體。主要管理人包括：

- 行政總裁 / 總經理
- 財務總監
- 營運總監
- 執行合夥人
- 董事會主席/ 副主席
- 審核/ 薪酬/ 風險委員會主席
- 可發出單一簽署指示的授權簽署人
- 代理人
- 受權人

授權簽署人或受任人：

授權簽署人或受任人據公司簽立的文書獲授權處理銀行事項的人士，並有權委任授權簽署人。受任人也可在附加限制下，授予權限予其他人。授權簽署人或受任人主要為管理機關決議所委派。其可為法人團體。

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