

**CHECKLIST OF DOCUMENTATION FOR OPENING  
CORRESPONDENT BANKING ACCOUNT****开立代理银行账户的文件清单**

*For the reference of customers to open accounts with HSBC Bank (China) Company Limited*  
供于汇丰银行(中国)有限公司开立账户的客户参考

1. Incorporation Certificate and Registration Documents issued by competent authority(original)  
在其本国或本地区的登记注册文件及其国家/地区监管部门批准其成立的证明(原件)  
  
Chinese translation of such document should it be in another language (if necessary for regulatory approval/ filing purpose)  
若此文件为非中文的文本, 还须提供相应的中文翻译(视法规批准/备案需要)  
  
Financial License (only for Financial Institution registered in Mainland China) (original)  
金融许可证(只适用于注册在中国大陆地区的金融机构)(原件)  
  
Business scope approval (original)  
经营范围批准件(原件)
2. Enterprise Code Certificate issued by the State Bureau for Technology Supervision (only for Financial Institution registered in Mainland China) , or Code for Special Entity issued by SAFE (original)  
国家技术监督局颁发的企业组织机构代码证(只适用于注册在中国大陆地区的金融机构)(原件), 或按外汇管理局规定申领的特殊机构代码(适用于注册在中国大陆地区以外的境外金融机构)(原件)
3. State and Local Tax Registration Certificate (only for Financial Institution registered in Mainland China) (original)  
国税及地税税务登记证(只适用于注册在中国大陆地区的金融机构)(原件)
4. Identification Documents of legal representative (if any) and authorized signatory(ies) (original)  
法定代表人(若有)及指定授权签字人的有效身份证件(原件)
5. Board Resolution or Service agreement (if necessary for service purpose or regulatory requirement)  
董事会决议或代理服务协议(视代理服务需要或法规要求而定)
6. Specimen signatures and chops (if any) (original)  
预留印鉴(若有)(原件)
7. Information on the business background, management, nature of services offered, state of registry, anti-money laundering and counter-terrorist financing policy and purpose of account/banking relationship  
银行的背景、管理层、主要业务、所在地、反洗钱及反恐融资的措施和业务/账户用途等信

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8. Certificate of Institution Credit Code ( original )  
机构信用代码证 ( 原件 )
9. When opening a FI settlement account, written authorization letter issued by its legal representative of the first-tier bank is required (Original) (Where the bank has a great number of subsidiaries, a written authorization letter issued by its legal representative of the first-tier branch is also acceptable)  
开立同业结算账户应提供一级法人书面授权 ( 原件 ) ( 因分支机构数量较多等特殊情况直接授权确有困难的, 可以授权一级分行授权。 )

When opening a FI investment account, written authorization letter issued by its legal representative of the first-tier bank is required(Original), and this authorization cannot be re – delegated to first-tier branch.

开立同业投融资账户应提供一级法人书面授权 ( 原件 ) , 不得转由一级分行授权。

**Note:**

请注意：

- Please note that while the above documentary requirements are applicable in general, under certain circumstances, the Bank may request additional and/or different documents to satisfy regulatory and/or due diligence requirements.  
请注意以上所列文件在一般情况下适用，在具体处理各开户申请时，本行可能提出额外和/或不同的文件要求以满足法律法规和/或尽职调查要求。
- Where update of the subsequent changes to the above information and/or relevant document proof have not been provided within a reasonable period without a reasonable reason, the Bank may suspend the conduct of business for the account holder.  
若账户持有人没有在合理期限内提交上述信息的更改和/或相应证明文件且没有提出合理理由，我行可能中止对账户持有人的服务。
- Two of HSBC staff shall witness signing of the Account Opening Form when collecting the documents for account opening.  
客户开立帐户表格上的签字须在提交开户文件时由我行两名以上工作人员见证。
- The Account Opening Form shall be signed and relevant account opening documents should be submitted at the designated premises of the Deposit Bank.  
客户须于开户行指定的办公场所签署开立帐户表格及提交相关的开户文件。