



SWISS INTERNATIONAL CO. LTD.

Checklist for Customer's Documents

The Customer's name: _____ Date: _____

1) The Customer is:-

- ☐ a company incorporated in Hong Kong (Go to 2a)
- ☐ a partnership, trust or other unincorporated body established in Hong Kong (Go to 2b)
- ☐ a legal person (such as company) or other entity incorporated/established in the another jurisdiction outside Hong Kong (Go to 2c)

2) Documents required	Customer:	Checker:
a) Company incorporated in Hong Kong		
- Certificate of Incorporation	☐	☐
- Business Registration Certificate	☐	☐
- Memorandum and Articles of Association	☐	☐
- Licensing certificate by the regulator: Customs and Excise Department:-	☐	☐
☐ Cat. A Registrant		
☐ Cat. B Registrant		
☐ Others: _____		
- Latest Annual Returns	☐	☐
- Board resolution authorizing the account opening with Swiss International Co. Ltd (" SWISS ") and appointing a person to sign or act on behalf of the Company	☐	☐
- Address proof of the Company	☐	☐
- Documents of shareholder(s) /beneficial owner(s), director(s), authorized signor(s) and other manager(s) which include:		
i) Hong Kong Identity Card or other national identity card; or	☐	☐



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- | | | | |
|------|--|--------------------------|--------------------------|
| ii) | Valid travel document (e.g. unexpired passport); | ☐ | ☐ |
| iii) | Address proof(s) of above individuals | ☐ | ☐ |
- b) Partnership, Trust etc. established in Hong Kong
- | | | | |
|------|---|--------------------------|--------------------------|
| - | Certificate of Incorporation | ☐ | ☐ |
| - | Business Registration Certificate | ☐ | ☐ |
| - | Partnership Agreement, Trust Deed or other constitutional document | ☐ | ☐ |
| - | Licensing certificate by the regulator: Customs and Excise Department:- | ☐ | ☐ |
| | ☐ Cat. A Registrant | | |
| | ☐ Cat. B Registrant | | |
| | ☐ Others: _____ | | |
| - | Latest Annual Returns or documents certifying the good standing | ☐ | ☐ |
| - | Board resolution or documents authorizing the account opening with Swiss and appointing a person to sign or act on behalf of the entity | ☐ | ☐ |
| - | Address proof of the Partnership, Trust | ☐ | ☐ |
| - | Documents of partners, trustees, settlors, beneficial owners and other manager(s) which include: | | |
| i) | Hong Kong Identity Card or other national identity card; or | ☐ | ☐ |
| ii) | Valid travel document (e.g. unexpired passport); | ☐ | ☐ |
| iii) | Address proof(s) of above individuals | ☐ | ☐ |
| - | written confirmation from lawyer, trust company or related professionals who revised the documents or facilitate the registration of partnership/trust (if any) | ☐ | ☐ |



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c) Legal Person incorporated/established overseas

- | | | |
|--|--------------------------|--------------------------|
| - Certificate of Incorporation | ☐ | ☐ |
| - Memorandum and Articles of Association or constitutional document | ☐ | ☐ |
| - License granted by or registration with the regulatory authority:
Type _____
License/Registration No.: _____
Name of regulator: _____ | ☐ | ☐ |
| - Certificates of Incumbency or Good Standing within 6 months | ☐ | ☐ |
| - Board resolution authorizing the account opening with Swiss and appointing a person to sign or act on behalf of the Legal Person | ☐ | ☐ |
| - Address proof of the Legal Person | ☐ | ☐ |
| - Documents of shareholder(s)/beneficial owner(s), director(s), authorized signor(s) and other manager(s) which include: | | |
| i) national identity card; or | ☐ | ☐ |
| ii) Valid travel document (e.g. unexpired passport); | ☐ | ☐ |
| iii) Address proof(s) of above individuals | ☐ | ☐ |
| - The documents have been certified by qualified certifier | ☐ | ☐ |



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Notes:

General Applications

- 1) Swiss International Co. Ltd ("**SWISS**") must identify the customer and verify the customer's identity by reference to documents, data or information provided by a reliable and independent source such as:
 - a) a governmental body;
 - b) The Customs and Excise Department ("**CUSTOMS**") or any other relevant authority ("**RA**") such as Hong Kong Monetary Authority;
 - c) an authority in a place outside Hong Kong that performs functions similar to those of the Customs or any other RA;
 - d) a digital identification system recognized by the Customs; or
 - e) any other reliable and independent source that is recognized by the Customs.
- 2) Address proof should be dated which is not longer than 3 months. It should be issued by government body (such as water bills) or licensed/registered financial institutions (such as banks, insurance companies or securities brokers)

The Customer is a Company incorporated in Hong Kong

- 3) Swiss should identify the customer by obtaining at least the following identification information:
 - a) full name;
 - b) date of incorporation, establishment or registration;
 - c) place of incorporation, establishment or registration (including address of registered office);
 - d) the unique identification number (e.g. incorporation number or business registration number) and document type; and
 - e) principal place of business (if different from the address of registered office).
- 4) The Anti-Money Laundering and Counter-Terrorist Financing Ordinance ("**AMLO**") (Cap. 615, Laws of Hong Kong) defines beneficial owner in relation to a corporation as:

An INDIVIDUAL who –

 - a) owns or controls, directly or indirectly, including through a trust or bearer share holding, more than 25% of the issued share capital of the corporation;
 - b) is, directly or indirectly, entitled to exercise or control the exercise of more



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- than 25% of the voting rights at general meetings of the corporation; or
- c) exercises ultimate control over the management of the corporation; or
- if the corporation is acting on behalf of another person, means the OTHER PERSON

The Customer is a Partnership, Trust etc. incorporated/established in Hong Kong

- 5) For customer who is a partnership, provisions under the section **The Customer is a Company Incorporated in Hong Kong** are applicable in identifying the customer;
- 6) For customer who is a trust, Swiss should identify the customer by obtaining at least the following identification information:
- a) name of the trust or legal arrangement;
 - b) date of establishment or settlement;
 - c) the jurisdiction whose laws govern the trust or legal arrangement;
 - d) the unique identification number (if any) granted by any applicable official bodies and document type (e.g. tax identification number or registered charity or non-profit organization number); and
 - e) the address of registered office (if applicable).
- 7) The confirmation of the customer's membership of a relevant professional or trade association is likely to be sufficient to verify the identity of the customer as required in paragraph provided that:
- a) the customer is a well-known, reputable organization;
 - b) the customer has a long history in its industry; and
 - c) there is substantial public information about the customer, its partners and controllers.
- 8) The AMLO defines beneficial owner, in relation to a partnership as:
- an INDIVIDUAL who –
- a) is entitled to or controls, directly or indirectly, more than a 25% share of the capital or profits of the partnership;
 - b) is, directly or indirectly, entitled to exercise or control the exercise of more than 25% of the voting rights in the partnership; or
 - c) exercises ultimate control over the management of the partnership; or
- if the partnership is acting on behalf of another person, means the OTHER PERSON.



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- 9) The AMLO defines the beneficial owner, in relation to a trust as:
- a) a beneficiary or a class of beneficiaries of the trust entitled to a vested interest in the trust property, whether the interest is in possession or in remainder or reversion and whether it is defeasible or not;
 - b) the settlor of the trust;
 - c) the trustee of the trust;
 - d) the protector or enforcer of the trust; or (e) an individual who has ultimate control over the trust.

Qualified Certifiers

- 10) For customer who is a person (individual or legal person) operating overseas or opening an account with Swiss in a non-face-to-face manner, their documents should be certified by the qualified certifiers to ensure its authenticity;
- 11) Qualified Certifiers include:-
- a) an accountant;
 - b) a legal professional;
 - c) a notary public;
 - d) a chartered secretary;
 - e) a member of the judiciary in Hong Kong or in a jurisdiction which is one of the members of the Financial Action Task Force;
 - f) an officer of an embassy, consulate or high commission of the country of issue of documentary verification of identity; and
 - g) a Justice of the Peace
- 12) The certifier will need to have seen the original documentation. He should sign and date the copy document (printing his name clearly in capitals underneath) and clearly indicate his position or capacity on it. The certifier should state that it is a true copy of the original (or words to similar effect).