Instructions

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HSBC

Commercial Banking
Company Identification Form – Addendum

Thank you for choosing HSBC, we look forward to welcoming you as a customer.

This addendum forms part of the Customer Identification Form and needs to be completed and returned together with all other documents to HSBC.

This form has been designed to meet HSBC's obligations under Australian and Hong Kong Anti-Money Laundering and Counter Terrorism Financial Legislation to identify our customers. In addition, HSBC observes any sanctions laws where it operates. In this regard, HSBC endeavours to understand the extent of its clients' activities with sanctioned countries.

See the Glossary of Terms on pages 8 and 9 for definitions.

GENERAL COMPANY DETAILS

1 Full Legal Name/Registered Business Name

2 Establishment date

DD / MM / YY

3 Date of registration/incorporation *(if different from establishment)*

DD / MM / YY

4 Type of business – *Refer to the Glossary of Terms on page 8 for definitions*

Commercial operating business ☐

Holding company ☐ ▶ What is the company's economic purpose?

5 Does the business have an audit or accounting firm?

No ☐ ▶ *Go to next question*

Yes ☐ ▶ What is the name of the audit or accounting firm?

Date of last audit

DD / MM / YY

6 Is the business listed on any stock exchange?

No ☐ ▶ *Go to next question*

Yes ☐ ▶ Specify the stock exchange(s) that the business/partner is listed on

7 Is the business a regulated financial institution? – *Refer to the Glossary of Terms on page 8 for definitions*

No ☐ ▶ *Go to next question*

Yes ☐ ▶ *Give details below*

Name of the regulatory body	Country	Regulatory ref. no.

8 Country or countries where the business is subject to tax residence

9 Is the business a non-resident of Australia?

No ☐ ▶ *Go to next question*

Yes ☐ ▶ What is the reason for opening the account in this country?

10 Give details of the parent company *(if applicable)*

Name of parent company

Is the business part of a group of companies?

No ☐ Yes ☐

Name of ultimate parent company *(nominate one lead parent if it is a joint venture)*

Country of incorporation/registration of Ultimate Parent Company

Year of incorporation/registration of Ultimate Parent Company

11 Does the business hold any other accounts with the HSBC Group e.g. business accounts, Global Private Bank accounts?

No ☐ ▶ *Go to next question*

Yes ☐ ▶ Give details of your existing relationship with HSBC

Country	Primary HSBC account number	Initial source of wealth	Ongoing source of wealth

12 Was the business introduced or recommended to HSBC?

No ☐ ▶ *Go to next question*

Yes ☐ ▶ Who introduced or recommended HSBC?

FINANCIAL INFORMATION

13 What is the approximate amount to be transferred into the HSBC account(s)?

14 How are the funds going to be transferred to HSBC?

Cash ☐ International Wire Transfer ☐ Domestic Wire Transfer ☐ Cheque ☐

15 What is the source of the funds being transferred into the account?

Intra-Group Financing ☐ Business Income (accumulated profit/retained earnings) ☐ Sale of Property ☐

External Investment ☐ Investment by Ultimate Beneficial Owner/Partner ☐ Business Loan ☐

Transfer from other Financial Institution ☐ Transfer from other HSBC account ☐

Other ☐ ▶ *Specify*

BUSINESS DETAILS

16 Country of primary business operations

17 List your principal business activities

Business activity	% of revenue
	%
	%
	%
	%

18 Have there been any material changes to the nature of the business in the last 5 years?
A material change is a substantial and continuing change to the business – See the Glossary of Terms on page 8 for definitions

No ☐ ▶ *Go to next question*

Yes ☐ ▶ Give details of material changes to the nature of the business

19 Give details of countries where the business is physically present (including all subsidiaries and branches)

Subsidiaries	Branches

20 Give details of all countries where purchases, revenues and assets held

Country	Percentage of revenue/ intended revenue *(incoming activities)*	Percentage of purchases/ intended purchases *(outgoing activities)*	Percentage of assets held	Relationship of business to country
	%	%	%	
	%	%	%	
	%	%	%	
	%	%	%	
	%	%	%	
	%	%	%	
	%	%	%	

21 What is the nature of your customer base? *(Select all that apply)*

The public/individual consumers ☐ Banks and other financial institutions ☐

Government/Public sector bodies ☐ Other businesses ☐

22 Does the business rely on one customer for more than 50% of sales revenue?

No ☐ ▶ *Go to next question*

Yes ☐ ▶ Give details of the key customer

Registered name of key customer

Trading name *(if different from registered name)*

Percentage of sales revenue

%

Nature of business/industry

23 Is the business or any of its customers or suppliers involved in the gaming industry, e.g. online gambling, casinos?

No ☐ ▶ *Go to next question*

Yes – Business ☐

Yes – Suppliers ☐

Yes – Customers ☐

Give details of their involvement

24 Will the current principal source of wealth continue to be the principal source of wealth for the business in the future?

Yes ☐ ▶ *Go to next question*

No ☐ ▶ Give details of the principal source of wealth for the future

25 Select the most relevant key financial data option for the business and give details
Refer to the Glossary of Terms on page 8 for full definitions

Key Financial Data		Amount	Currency
☐ Assets Under Management *The market value of assets that a company manages on behalf of clients*			
☐ Annual Revenue *(from last financial year)* *Approximate total annual revenue of the Company (gross revenue)* *If your company is a start-up business, please advise based on business plan*			
☐ Asset Size	Approximate total value of assets		
	Approximate total asset size		
☐ Other – Describe the key financial data and its approximate total size			

KEY CONTROLLERS / DIRECT APPOINTEES / DIRECTORS / POWER OF ATTORNEY

26 Give details of the Key Controllers / Direct Appointees / Power of Attorney / Directors for the account(s) of the business
Key Controllers can be anyone elected or appointed to exercise direct control over the Company.
See the Glossary of Terms on page 8 for definitions.

	1	2	3
Full name *(including middle names)*			
Passport/Identification Number			
Designation/Occupation			
Former/Other name			
Country of citizenship			
Country of source of wealth *Refer to Glossary of terms for definition*			
Permanent address *(if different to residential address)*			
Management role	Key Controllers ☐ Direct Appointees ☐ Power of Attorney ☐ Executive Director ☐ Director ☐ Other Related Parties ☐	Key Controllers ☐ Direct Appointees ☐ Power of Attorney ☐ Executive Director ☐ Director ☐ Other Related Parties ☐	Key Controllers ☐ Direct Appointees ☐ Power of Attorney ☐ Executive Director ☐ Director ☐ Other Related Parties ☐
Nominate two Key Controllers to be verified	No ☐ Yes ☐	No ☐ Yes ☐	No ☐ Yes ☐
Is this Individual Key Controller solely by virtue of being a sole signatory, i.e. not a Director	No ☐ Yes ☐	No ☐ Yes ☐	No ☐ Yes ☐

	4	5	6
Full name *(including middle names)*			
Passport/Identification Number			
Designation/Occupation			
Former/Other name			
Country of citizenship			
Country of source of wealth *Refer to Glossary of terms for definition*			
Permanent address *(if different to residential address)*			
Management role	Key Controllers ☐ Direct Appointees ☐ Power of Attorney ☐ Executive Director ☐ Director ☐ Other Related Parties ☐	Key Controllers ☐ Direct Appointees ☐ Power of Attorney ☐ Executive Director ☐ Director ☐ Other Related Parties ☐	Key Controllers ☐ Direct Appointees ☐ Power of Attorney ☐ Executive Director ☐ Director ☐ Other Related Parties ☐
Nominate two Key Controllers to be verified	No ☐ Yes ☐	No ☐ Yes ☐	No ☐ Yes ☐
Is this Individual Key Controller solely by virtue of being a sole signatory, i.e. not a Director	No ☐ Yes ☐	No ☐ Yes ☐	No ☐ Yes ☐

INTERMEDIATE OWNERS/PRINCIPAL SHAREHOLDERS

This section can be completed using the details within your ownership structure chart
A copy of the ownership structure chart will need to be provided

27 Give details of the intermediate owners/principal shareholders (as per trade licence/company register) of the business with a shareholding of 10% or more

Mark this box if there are no intermediate owners/principal shareholders that own 10% or more ☐

Full legal name	Percentage of ownership	Percentage of voting rights *(if different)*	City and Country of incorporation	Type of intermediate owner
	%	%		Listed ☐ Regulated ☐ Neither ☐
	%	%		Listed ☐ Regulated ☐ Neither ☐
	%	%		Listed ☐ Regulated ☐ Neither ☐
	%	%		Listed ☐ Regulated ☐ Neither ☐
	%	%		Listed ☐ Regulated ☐ Neither ☐
	%	%		Listed ☐ Regulated ☐ Neither ☐
	%	%		Listed ☐ Regulated ☐ Neither ☐
	%	%		Listed ☐ Regulated ☐ Neither ☐
	%	%		Listed ☐ Regulated ☐ Neither ☐
	%	%		Listed ☐ Regulated ☐ Neither ☐

ULTIMATE BENEFICIAL OWNERS

28 Give details of the entities/individuals who are Ultimate Beneficial Owners (UBO), through one or more shareholders, either directly or indirectly, who own 10% or more of the entity opening/holding account with HSBC
Only applicable if corporate entities are shown as owners/shareholders under Intermediate Owners
See the Glossary of Terms on page 8 for definitions

Mark this box if no UBO owns 10% or more ☐

	1	2	3
Full name *(including middle names)*			
Percentage of voting rights *(if different)*	%	%	%
Permanent address *(if different to residential address)*			
Previous residential address *(if less than 3 years at current address)*			
Passport / Identification Number			
Country of citizenship			
Country of source of wealth			
Is the Ultimate Beneficial Owner a family group member?	No ☐ Yes ☐	No ☐ Yes ☐	No ☐ Yes ☐

TRUSTS/FOUNDATION

29 Is there a Trust/Foundation who owns 10% or more of the entity opening/holding account with HSBC?

No ☐ ▶ *Go to next question*

Yes ☐ ▶ Give details below

Type	1 Trust ☐ Foundation ☐	2 Trust ☐ Foundation ☐	3 Trust ☐ Foundation ☐
Full name of the Trust/Foundation			
Percent ownership	%	%	%
Country of incorporation of Trust/Foundation			
Registered address of Trust/Foundation			
Is the customer listed or regulated?	Listed ☐ Regulated ☐ Neither ☐	Listed ☐ Regulated ☐ Neither ☐	Listed ☐ Regulated ☐ Neither ☐
Name of regulator *(if applicable)*			
What is the nature or purpose of the Trust/ Foundation?			

GOVERNMENT AND STATE OWNED BODY

30 Give details of any Government State Body who owns 10% or more of the entity opening/holding account with HSBC

Mark this box if no government owns 10% or more ▶ ☐

Full name of government	Percentage of ownership	Percentage of voting rights *(if different)*	Country of incorporation/ establishment	Permanent address *(including country)*
	%	%		
	%	%		

31 Are any of the Ultimate Beneficial Owners, Key Controllers, Directors and other connected parties considered to be influential politically, politically exposed or holding any position in the Executive, Legislative, Military or Judicial sectors of a Government?

No ☐ ▶ *Go to next question*

Yes ☐ ▶ Give details below

Full name	Current/Previous position held	Country position held in	Date position held	
			From	To
			DD/MM/YY	DD/MM/YY
			DD/MM/YY	DD/MM/YY

32 Are any of the individuals identified in the above sections, close associates or immediate family members of a person considered to be influential politically?

No ☐ ▶ *Go to next question*

Yes ☐ ▶ Give details below

Full name of associates or family member	Relationship to influential person	Current/Previous position held by influential person	Country position held in	Date position held		Full name of influential person
				From	To	
				DD/MM/YY	DD/MM/YY	
				DD/MM/YY	DD/MM/YY	

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GLOSSARY OF TERMS

Assets Under Management	Assets under Management is the market value of assets that a company manages on behalf of clients.
Beneficial Owner (BO)	A Beneficial Owner is an individual or an entity who owns or exercises control over the business arising from their shareholding or other ownership interest in the Customer; or from control over the voting rights; or from 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.
Commercial Operating Business	A commercial operating business is an incorporated entity established for commercial trading operating activity with the objective of generating profits. Registered corporations may take a variety of legal forms, including partnerships. They commonly have limited liability, and can be owned by shareholders who can transfer their shares to others, and can be controlled by a board of directors who are normally elected or appointed by the shareholders.
Connected Parties	A Connected Party is a term used to describe a party (can be a natural person or legal entity) who has the power to direct or influence the activities of the Customer through the management or ownership structure and/or is a Beneficial Owner of the Customer. Connected Parties may include Beneficial Owners, Key Controllers, Trustees, Settlors/Grantors/Founders, Protectors, or other defined beneficiaries of a legal arrangement.
Direct Appointee	A Direct Appointee is a person authorised under an executed instrument of the business to act on its behalf with respect to the banking relationship and also to delegate authority to others to represent the business in more limited circumstances, e.g. the Company Secretary. The Direct Appointees may appoint Authorised Signatories. Direct Appointees may not themselves be Key Controllers but are typically appointed by Key Controllers or the Board of Directors. They may or may not themselves be Authorised Signatories.
Director	A Director is an appointed member of the Board of Directors for the business and may either be an executive or non-executive. The roles and responsibilities of a Board of Directors will vary according to the type of entity. A Director may or may not be a Key Controller. 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.
Holding Company	A Holding Company is a parent corporation that owns enough voting stock in their subsidiaries to control its board of directors. This customer type is not an operating company, thus does not have third party customers. Revenues are derived from intragroup transactions and the flow of dividends.
Intermediate Owner (IO)	An Intermediate Owner is an Entity or legal arrangement e.g. structure such as a Trust or Foundation, identified as existing within the corporate structure that sits between the Customer and the Ultimate Beneficial Owner (UBO).
Key Controller (KC)	A Key Controller is someone who is elected or appointed to exercise more direct control over the entity by participating in the governance or senior executive activities of the business. Key Controllers typically set the strategy direction of the entity. The title given to Key Controllers varies according to the type of entity, country of operation, and country of incorporation/registration/formation. It is common for a Key Controller to 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.
Material change to business	A material change may be defined as a substantial and continuing change to the business such as, but not limited to: – Change in nature of the business – Change in Senior Principal Officers – Change in Share ownership of the Company – Mergers – Change in Legal name of the Company – New business areas/ markets entered into – Change in the nature of business – Expansion into high risk/ emerging markets – Change in the product mix or business activities
Other Related Parties	Other Related Parties are those parties who may support or provide advice to the Customer, but who sit outside of the management or ownership structure. Other Related Parties may include lenders in Syndicated Lending deals, Arranger in SPVs, Insurance Manger in Captive Insurance.

Principal Shareholder (PS)	Principal Shareholder is an individual or an entity who owns the greatest percentage of a company's shares.
Power of Attorney (PA)	An individual who has authority to act on behalf of the business.
Regulated Financial Institution	A regulated financial institution is any natural or legal person who conducts as a business in one or more of the following activities or operations for or on behalf of a customer: – Acceptance of deposits and other repayable funds from the public – Lending – Financial leasing – Issuing and managing means of payment (e.g. credit and debit cards, cheques, traveller's cheques, money orders and bankers' drafts, electronic money) – Financial guarantees and commitments – Trading in: a) money market instruments (cheques, bills, certificates of deposit, derivatives etc.) b) foreign exchange c) exchange, interest rate and index instruments d) transferable securities e) commodity futures trading – Participation in securities issues and the provision of financial services related to such issues – Individual and collective portfolio management – Safekeeping and administration of cash or liquid securities on behalf of other persons – Otherwise investing, administering or managing funds or money on behalf of other persons
Source of Funds (SoF)	Source of Funds refers to the source of the initial funds used at account opening, namely: – What location the funds came from – What entity; and – How were the funds remitted
Source of Wealth (SoW)	Initial Source of Wealth is the origin of initial capital injected to start the business / establish company assets. Ongoing Source of Wealth is the on-going activities or future events that will generate the company's accumulated capital to be deposited into the bank account.
Ultimate Beneficial Owner (UBO)	UBO is an Individual who ultimately owns a legal entity and/or the person on whose behalf a transaction is being conducted. The UBO is any natural person 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.