

The Hongkong and Shanghai Banking Corporation Limited

香港上海滙豐銀行有限公司

Document for MPF/ORSO Scheme Opening 強積金／公積金計劃開戶文件

Note 注意：

- This Checklist is for reference only. Apart from documents listed below, Trustee/Scheme Administrator may request clients to provide further scheme opening details and documents for different types of institutions.
本列表只供參考。除下列文件外，信託人／計劃管理人會因應不同機構類別要求客戶提供其他計劃開戶資料及文件。
- If documents provided are not in English or Chinese, an English translation of the same should be provided.
如提供的文件乃非英文或中文語言，須另外提交相同的英文翻譯文本。

Applicable to Limited Companies 適用於有限公司：

1. Valid Business Registration Certificate (BR) and Certificate of Incorporation (CI)
有效的商業登記證及公司註冊證書
2. The company's Memorandum and Articles of Association (M&A)
公司組織章程大綱及細則
3. Certified full list of ALL key controllers
認可的所有主要管理人列表
4. The identification proof of ALL beneficial owners and at least two key controllers
所有實益擁有人及最少兩名主要管理人的身分證明文件
5. The identification proof of ALL authorised personnel who operate(s) MPF/ORSO account(s)
所有從事強積金／公積金賬戶運作的授權人的身分證明文件
6. Certified true copy of certificate of Incumbency issued within last 6 months (for overseas incorporated companies)
六個月內發出的「董事在職證明」的經認證副本(只適用於海外註冊公司)
7. Ownership structure chart showing the company name, % shareholding, the country/region of incorporation, the country/region of business address of each Intermediate Owner up to Beneficial Owners of the company, certified by Director/Company Secretary/Legal
由董事／公司秘書／律師認證的股權架構圖顯示每家中介控股公司以及實益擁有人的公司的公司名稱、其擁有公司股份的股權份數、註冊國家／地區、營業地址的國家／地區

Applicable to Sole Proprietorship 適用於獨資經營：

1. Valid Business Registration Certificate (BR) or Form (1a) 'Application by a body corporate for registration' from Inland Revenue Department, if applicable
有效的商業登記證或由香港稅務局發出的表格1(a)「個人在香港經營業務的商業登記申請書」，如適用
2. Certified full list of ALL key controllers
認可的所有主要管理人列表
3. The identification proof of ALL beneficial owners and at least two key controllers, if any
所有實益擁有人及最少兩名主要管理人(如有)的身分證明文件
4. The identification proof of sole proprietor (if BR is not available)
獨資經營商號持有人的身分證明文件(如未能提供商業登記證)
5. Residential address (and permanent address, if different) proof of sole proprietor (if BR is not available)
獨資經營商號持有人的住宅地址(及永久地址，如不同)證明文件(如未能提供商業登記證)
6. The identification proof of ALL authorised personnel who operate(s) MPF account(s)
所有從事強積金賬戶運作之授權人的身分證明文件

Applicable to Partnership 適用於合夥經營：

1. Valid Business Registration Certificate (BR)
有效的商業登記證
2. Certified full list of ALL key controllers
認可的所有主要管理人列表
3. The identification proof of ALL beneficial owners and at least two key controllers
所有實益擁有人及最少兩名主要管理人的身分證明文件
4. Evidence of Membership of professional or trade association (e.g. partnership name as a member on the website of accounting association). If not available, please provide the partnership deed or Form 1(c) 'Application by partnership or by other body unincorporate for registration of business carried on by such body in Hong Kong' from Inland Revenue Department
專業或行業協會會員身分的證明(例如會計師公會的網頁顯示合夥人姓名為其會員)如未能提供，請提供合夥契約或由香港稅務局發出的表格1(c)「合夥或其他非屬法團的團體在香港經營業務的商業登記申請書」
5. The identification proof of ALL authorised personnel who operate(s) MPF/ORSO account(s)
所有從事強積金／公積金賬戶運作的授權人的身分證明文件

Applicable to Other Institutions 適用於其他機構：

1. Valid Business Registration Certificate (BR) OR relevant company registration documents. If not available, please provide Copy of Constitution Document/By-Law/Rules & Regulations/Statutes
有效的商業登記證或相關公司註冊文件。如未能提供，請提供憲法文件／條例／規則與條例／法規
2. Certified full list of ALL key controllers
認可的所有主要管理人列表
3. The identification proof of ALL beneficial owners and at least two key controllers
所有實益擁有人及最少兩名主要管理人的身分證明文件
4. The identification proof of ALL authorised personnel who operate(s) MPF/ORSO account(s)
所有從事強積金／公積金賬戶運作的授權人的身分證明文件
5. Address proof of business address (if BR is not available)
營業地址的地址證明(如未能提供商業登記證)
6. A letter from Inland Revenue Department as a proof of tax exemption and charitable institution status, if applicable
一封由香港稅務局發出的信件，作為免稅和慈善機構的地位的證明文件，如適用
7. Ownership structure chart showing the company name, % shareholding, the country/region of incorporation, the country/region of business address of each Intermediate Owner up to Beneficial Owners of the company, certified by Director/Company Secretary/Legal
由董事／公司秘書／律師認證的股權架構圖顯示每家中介控股公司以及實益擁有人的公司的公司名稱、其擁有公司股份的股權份數、註冊國家／地區、營業地址的國家／地區

Definition 定義：

Beneficial Owner 實益擁有人：

- a. In relation to a corporation (if fulfils any of the following criteria): means an individual who, 就法團而言指符合以下任何一項說明的個人：
- owns or controls, directly or indirectly, including through a trust or bearer share holding, 25% or more of the issued share capital of the corporation; or 直接或間接地擁有或控制(包括透過信託或持票人股份持有)該法團已發行股本的25%或以上；或
 - is directly or indirectly, entitled to exercise or control the exercise of 25% or more of the voting rights at general meetings of the corporation; or 直接或間接地有權行使在該法團的成員大會上的投票權的25%或以上；或支配該比重的投票權的行使；或
 - exercises ultimate control over the management of the corporation; or 行使對該法團的管理最終的控制權；或
 - if the corporation is acting on behalf of another person, means the other person. (如該法團是代表另一人行事)指該另一人。
- b. In relation to a partnership (if fulfils any of the following criteria): means an individual who, 就合夥而言指符合以下任何一項說明的個人：
- is entitled to or controls, directly or indirectly, 25% or more share of the capital or profits of the partnership; or 直接或間接地有權攤分或控制該合夥的資本或利潤的25%或以上；或
 - is directly or indirectly, entitled to exercise or control the exercise of 25% or more of the voting rights in the partnership; or 直接或間接地有權行使在該合夥的投票權的25%或以上；或支配該比重的投票權的行使；或
 - exercises ultimate control over the management of the partnership; or 行使對該合夥的管理最終的控制權；或
 - if the partnership is acting on behalf of another person, means the other person. (如該合夥是代表另一人行事)指該另一人。
- c. In relation to a trust (if fulfils any of the following criteria): means an individual who, 就信託而言指符合以下任何一項說明的個人：
- is entitled to a vested interest in 25% or more of the capital of the trust property, whether the interest is in possession or in the remainder or reversion and whether it is defeasible or not; or 有權享有信託財產的資本的既得權益的25%或以上的任何人，而不論該人是享有該權益的管有權、剩餘權或復歸權，亦不論該權益是否可予廢除；或
 - the settlor of the trust; or 該信託的財產授予人；或
 - a protector or enforcer of the trust; or 該信託的保護人或執行人；或
 - an individual who has ultimate control over the trust. 對該信託擁有最終的控制權的個人。
- d. In relation to a person other than (a) to (c) (if fulfils any of the following criteria): means an individual who, 就不屬(a)至(c)段所指的人而言指符合以下任何一項說明的個人：
- ultimately owns or controls the persons; or 最終擁有或控制該人的任何人；或
 - if the person is acting on behalf of another person, mean the other person. (如該人是代表另一人行事)指該另一人。

Intermediate Owner 中介控股公司：

Intermediate Owner is an entity or legal arrangement (e.g. Trust, Foundation etc.) that sits between the entity and the Ultimate Beneficial Owner in the ownership structure. 中介控股公司是指在股權架構中，處於公司和最終實益擁有人之間的控股公司或法律安排(如信託基金、基金會等)。

Key Controller 主要管理人：

Key Controller is an individual who is elected or 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. It can be a corporate entity. Key Controllers include: 主要管理人是指被選舉或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。主要管理人可為一間法人團體。主要管理人包括：

- Executive Director 執行董事
- Chairman of the Board 董事會主席
- Chief Executive Officer (CEO) 行政總裁
- Chief Financial Officer (CFO) 財務總監
- Sole Authorised Signatory per account 戶口唯一授權簽署人
- Managing Partner 執行合夥人
- Powers of Attorney 受權人