

**Identification Requirements Checklist**  
**Investor Version April 2022**

**鑑定要求核對清單**  
**2022 年 4 月投資者版**

**Investors are required to provide an original or original certified true copy\* of all documents outlined under the applicable category and the Tax forms\* (if applicable):**

投資者須提供適用類別下概列的所有文件的正本或經核證真實副本\*及報稅表\*(如適用)：

**For all individual investors, go to part A**

對於所有個人投資者，請參閱 A 部分

**If investor is rated as high risk or identified as Politically Exposed Person (PEP), go to part D (EDD\*)**

若投資者被評定為高風險投資者或被認為政治敏感人物，請參閱 D 部分 (加強盡職審查)

<b>A – Mandatory operating document the for individual investor</b>	
A – 個人投資者開設戶口的必需文件	
<b>Investor Category – Individual</b>	
投資者類別–個人	
1.	Valid passport* with photograph, name, date of birth and nationality (and name change document if applicable). 附有照片、姓名、出生日期及國籍的有效護照* (及更名文件 (如適用))
2.	Residential and permanent (if different) address proof e.g. copy of utility bill or bank statement issued within the last three months and displays name as per registration. E-statements and P.O. Box mailing addresses are not acceptable. 住址及永久地址 (倘不同) 證明，例如於過去三個月內發出並按登記顯示姓名的公用設施賬單或銀行結單副本。概不接納電子賬單及郵政信箱郵寄地址。
3.	Information on occupation (a declaration on the account opening form will suffice) 職業資料 (在開戶表格上作出聲明即可)
4.	Explanation of the proposed transaction (e.g. volume, value and frequency as per guidelines) (provide an attestation [Appendix B] or a declaration on the subscription form or signed letter will suffice) 擬議交易的說明 (例如指引所述的交易量、交易金額及交易頻率) (提供一份證明[附錄 B]或在認購表格或經簽署函件上作出聲明即可)
5.	Explanation of source of funds <sup>#</sup> for investment (e.g. salary, business, inheritance or others with details as per guidelines) (provide an attestation [Appendix B] or a declaration on the subscription form or signed letter will suffice) 投資資金來源 <sup>#</sup> 的說明 (例如指引所述的薪資、經商所得、財產繼承或其他來源) (提供一份證明[附錄 B]或在認購表格或經簽署函件上作出聲明即可)
6.	FATCA W Form(s) and CRS Self-Certification FATCA W-表格和共同匯報標準自我證明
7.	Reference letter (where applicable*, e.g. some PEPs or for high risk investors). Reference letter should only be acceptable from a "respected professional" i.e., lawyer, accountant, director or manager of a regulated institution, priest, minister or teacher someone who knows the applicant. 證明信 (如適用*，例如被認為政治敏感人物或高風險投資者) 僅接納「下列專業人士」(例如了解申請人的律師、會計師、受規管機構的董事或經理、神父、牧師或教師) 出具的證明信

For all non-individual investors, go to part B and C

對於所有非個人投資者，請參閱 B 部分和 C 部分

If investor is rated as high risk or identified as Politically Exposed Person (PEP), go to part D (EDD\*)

若投資者被評定為高風險投資者或被認為政治敏感人物，請參閱 D 部分（加強盡職審查）

<b>B – Mandatory operating document for all non-individual investors</b>	
B – 所有非個人投資者開設戶口的必需文件	
1.	Signed mandate/ deed/ board resolution authorising the investment and conferring authority on those giving instructions 授權投資及向發出指示者授權的簽署授權書/契據/董事會決議案
2.	Authorised signature list with specimen signatures 附有簽名樣本的獲授權簽名列表
3.	Valid passport* with photograph, name, date of birth and nationality (and name change document if applicable) of all authorised signers who are persons purporting to act on the investment account or 所有獲授權看似代表客戶行事該投資戶口的簽署人之附有照片、姓名、出生日期及國籍的有效護照*（及更名文件（如適用）或  Written representation from an independent department within the company (e.g. compliance, audit, human resources) confirming the authorised signers have the authority to act and their identities are verified. <b>(only applicable to investor which is listed or regulated in an approved country*)</b> 公司內部的獨立部門（例如：合規部、審計部、人力資源部）所發出的書面陳述，確認獲授權簽署人擁有行動授權且其身分已被核實。（僅適用於在認可國家或地區*上市或受到規管的投資者）
4.	Explanation of source of funds# for investment (provide an attestation [Appendix B] or a declaration on the subscription form or a signed letter will suffice) 投資資金來源#的說明（提供一份證明[附錄 B]或在認購表格或經簽署函件上作出聲明即可） <b>(投資資金來源#的說明不適用於在認可國家或地區*上市或受到規管的投資者)</b>
5.	FATCA W Form(s) and CRS Self-Certification FATCA W-表格和共同匯報標準自我證明

<b>C – Provide documents of the applicable category based on the legal structure of the investor</b>	
C - 根據該投資者的法律架構提供適用類別的文件	
<b>Investor Category – Corporation invests for its own account</b> 投資者類別–企業為自身利益投資	
<b>Corporation is listed or regulated in an approved country*</b> 企業在認可國家或地區*上市或受到規管	
1.	Certificate of incorporation or equivalent (and certificate on change of name if applicable) 註冊證書或等效文件（以及更名證書（如適用））
2.	Evidence of listing or regulated in an approved country* (e.g. extract from Bloomberg / Reuters / stock exchange / regulator website) 在認可國家或地區*上市或受到規管的證據（例如：摘錄自彭博 / 路透社 / 證券交易所 / 規管機構網站的內容）
3.	List of directors 董事名單
4.	Confirmation that the investment is made for the company's own account and not on behalf of any other party (a declaration on the subscription form or a signed letter will suffice) 有關該公司為自身利益而非代表任何其他方作出投資的確認（在認購表格或經簽署函件上作出聲明即可）

**Investor Category – Corporation invests for its own account**

投資者類別–企業為自身利益投資

**Corporation is NOT listed or regulated in an approved country\***

企業並非在認可國家或地區\*上市或受到規管

1.	<p>Certificate of incorporation or equivalent (and certificate on change of name if applicable) 註冊證書或等效文件 ( 以及更名證書 ( 如適用 ) )</p>
2.	<p>Memorandum &amp; articles of association 組織章程大綱及細則</p>
3.	<p>Company search report issued within the last six months 過去六個月內發出的公司查冊報告</p> <p>For companies incorporated in Hong Kong, provide full company search report issued by Hong Kong Company Registry 就在香港註冊成立的公司而言，提供由香港公司註冊處發出的完整公司查冊報告</p> <p>For companies incorporated outside of Hong Kong, provide company search report issued by the company registry in the place of incorporation or certificate of incumbency issued by lawyer/accountant/the registered agent of the company in the place of incorporation (within 6 months if the document is provided by the investor). In any case, the document must include the following details: 就在香港境外註冊成立的公司而言，提供由註冊成立地點的公司註冊處所發出的公司查冊報告或由該公司於註冊成立地點的律師 / 會計師 / 經註冊代理所出具的在職證明 ( 倘文件由投資者出具，須在六個月內提供 )。在任何情況下，有關文件必須載有以下詳情：</p> <ul style="list-style-type: none"> <li>• Names of the directors 董事姓名</li> <li>• Name of shareholders with percentage ownership 股東名稱 / 姓名及其擁有權百分比</li> <li>• Registered office address in the place of incorporation 位於註冊成立地點的註冊辦事處地址</li> <li>• The company is still registered and has not been dissolved, wound up or struck off 該公司仍然在冊，且並未被解散、清盤或除名</li> </ul>
4.	<p>Valid passport* with photograph, name, date of birth and nationality (and name change document if applicable) of the following individuals 以下個人附有照片、姓名、出生日期及國籍的有效護照* ( 及更名文件 ( 如適用 ) )</p> <ul style="list-style-type: none"> <li>• At least 2 directors (including the managing/ executive director) 至少兩名董事 ( 包括董事總經理 / 執行董事 )</li> <li>• Each beneficial owner owning or controlling 10% or more of the company 每名擁有或控制該公司 10%或以上權益的實益擁有人</li> </ul>
5.	<p>Residential and permanent (if different) address proof e.g. copy of utility bill or bank statement issued within the last three months and displays name as per registration. E-statements and P.O. Box mailing addresses are not acceptable. 以下個人的住址及永久地址 ( 倘不同 ) 證明，例如於過去三個月內發出並按登記顯示姓名的公用設施賬單或銀行結單副本。 概不接納電子賬單及郵政信箱郵寄地址。</p> <ul style="list-style-type: none"> <li>• At least 2 directors (including the managing/ executive director) 至少兩名董事 ( 包括董事總經理 / 執行董事 )</li> <li>• Each beneficial owner owning or controlling 10% or more of the company 每名擁有或控制該公司 10%或以上權益的實益擁有人</li> </ul>

6.	<p>Explanation of nature and purpose of company's business (a declaration on the subscription form or signed letter will suffice)          公司業務性質及目的的解釋 ( 在認購表格或經簽署函件上作出聲明即可 )</p>
7.	<p>Certified or notarised copy of audited statements (where applicable*)          經核證或公證的經審核報表副本 ( 如適用* )</p>
8.	<p>Proof of business/ principle operating address (if different from registered address and corporate is not an investment vehicle or invest in the capacity of a nominee)          營業 / 主要營運地址的證明 ( 倘與註冊地址不同且企業並非投資工具或以名義持有人身分投資 )</p>
9.	<p>Confirmation that the investment is made for the company's own account and not on behalf of any other party (a declaration on the subscription form or a signed letter will suffice)          有關該公司為自身利益而非代表任何其他方作出投資的確認 ( 在認購表格或經簽署函件上作出聲明即可 )</p>
10.	<p>Organisation chart certified by a lawyer/ accountant/ company secretary to be correct and accurate. Where a company has ownership structure which is made up of several layers, the organisation chart should include the following details of each intermediate company:          經律師 / 會計師 / 公司秘書核證為正確及準確的組織架構圖。倘公司的擁有權架構由若干層級組成，則組織架構圖應載有各中間公司的以下詳情：</p> <ul style="list-style-type: none"> <li>• Name of companies/ individuals 公司名稱 / 個人姓名</li> <li>• Ownership percentage 擁有權百分比</li> <li>• Place of incorporation 註冊成立地點</li> <li>• Country of business address 營業地址所在國家或地區</li> </ul>
<p><b>Additional requirements:</b>  <b>額外規定：</b></p>	
<p>If 倘</p> <p>(i) the company does not incorporate in a country which issuance of bearer share is prohibited by law and          該公司註冊地的法律並不禁止發行不記名股票及</p> <p>(ii) issuance of share in bearer form is allowed as specified on Memorandum &amp; Articles of Association:          組織章程大綱及細則載明允許以不記名方式發行股票：</p> <ul style="list-style-type: none"> <li>• Proof that the company is majority owned by an entity listed in approved country; or          該公司多數權益歸於認可國家或地區上市的實體所有的證明；或</li> <li>• Bearer share declaration          不記名股票聲明</li> </ul>	
<p><b>Note:</b>  <b>附註：</b></p> <p>Where investor(s) is/are importers / exporters, shipping agents, brokers and freight forwarders that export to countries and ports near the border of sanctioned countries# per the explanation of nature and purpose of company's business provided, go to part D (EDD*)          如果投資者是出口至受制裁國家/地區邊境附近國家/地區和港口 # 的進出口商，船務代理人，經紀人和貨運理人，則應根據所提供的公司業務性質和目的說明，請參閱 D 部分 ( 加強盡職審查 )</p>	

<b>Investor Category – Partnership</b>	
投資者類別–合夥企業	
1.	Certificate of partnership/ business registration (and name change document if applicable) 合夥證書 / 商業登記證 ( 以及更名文件 ( 如適用 ) )
2.	Executed partnership agreement 已簽立的合夥協議
3.	Written representation on the following information: 有關以下資料的書面陳述 : <ul style="list-style-type: none"> <li>• Full name of all partners and individuals who exercise control over the management of the partnership. 對該合夥企業的管理事務擁有控制權的所有合夥人及個人的全稱及全名</li> <li>• Full name of all partners who are empowered to give instructions (or the GP in the context of a limited partnership) 獲授權發出指示的所有合夥人 ( 或普通合夥人 ( 倘為有限合夥人 ) ) 的全稱</li> <li>• Number of individuals owning or controlling 10% or more of the partnership’s capital or profit or voting rights. 擁有或控制該合夥企業 10%或以上資本或利潤或投票權的個人人數</li> <li>• Full name of individuals owning or controlling 10% or more of the partnership’s capital or profits or voting rights 擁有或控制該合夥企業 10%或以上資本或利潤或投票權的個人全名</li> </ul>
4.	Valid passport* with photograph, name, date of birth and nationality (and name change document if applicable) of the following individuals 以下個人附有照片、姓名、出生日期及國籍的有效護照* ( 及更名文件 ( 如適用 ) ) <ul style="list-style-type: none"> <li>• All partners who are empowered to give instructions or exercise control over the management of the partnership (or the GP in the context of a limited partnership) 獲授權發出指示或對該合夥企業的管理事務擁有控制權的所有合夥人 ( 或普通合夥人 ( 倘為有限合夥 ) )</li> <li>• Each beneficial owner owning or controlling 10% or more of the partnership 每名擁有或控制該合夥企業 10%或以上權益的實益擁有人</li> </ul>
5.	Residential and permanent (if different) address proof e.g. copy of utility bill or bank statement issued within the last three months and displays name as per registration. E-statements and P.O. Box mailing addresses are not acceptable. 以下個人的住址及永久地址 ( 倘不同 ) 證明，例如於過去三個月內發出並按登記顯示姓名的公用設施賬單或銀行結單副本。 概不接納電子賬單及郵政信箱郵寄地址。 <ul style="list-style-type: none"> <li>• All partners who are empowered to give instructions or exercise control over the management of the partnership (or the GP in the context of a limited partnership) 獲授權發出指示或對該合夥企業的管理事務擁有控制權的所有合夥人 ( 或普通合夥人 ( 倘為有限合夥 ) )</li> <li>• Each beneficial owner owning or controlling 10% or more of the partnership 每名擁有或控制該合夥企業 10%或以上權益的實益擁有人</li> </ul>
6.	Explanation of nature and purpose of partnership’s business 公司業務性質及目的的解釋 ( 在認購表格或經簽署函件上作出聲明即可 )
7.	Certified or notarised copy of audited statements (where applicable*) 經核證或公證的經審核報表副本 ( 如適用* )
	<b>Additional requirements:</b> <b>額外規定：</b>
	If the partnership is an investment vehicle: 倘該合夥企業為投資工具： <ul style="list-style-type: none"> <li>• Extract from commercial register 摘錄自商業登記冊的內容</li> <li>• Provide additional documents as outlined under the “Investment Vehicle” section</li> </ul>

	<p>提供「投資工具」一節所概列的其他文件</p> <p>If the partnership is not an investment vehicle: 倘該合夥企業並非投資工具：</p> <ul style="list-style-type: none"> <li>• Proof of business/ principle operating address 營業 / 主要營運地址的證明</li> </ul> <p>Note: Where the partners are entities, e.g. the partner is a limited liability company, please provide the identification documents as required under the “Corporation” section. For entities that are made up of several layers, please follow the chain of ownership and provide identification documents of the individuals who are the ultimate beneficial owners in line with the requirements under the “Individual” section. In the context of a limited liability company, documents required of the directors refer to that of the managing members.</p> <p>附註：倘合夥人為實體（例如：合夥人為有限公司），請提供「企業」一節所規定的身分證明文件。就由若干層級組成的實體而言，請根據所有權鏈並按照「個人」一節的規定，提供身為最終實益擁有人的個人的身分證明文件。倘為有限公司，則所規定的董事文件指管理成員的文件。</p>
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<p><b>Investor Category – Trust</b> 投資者類別–信託</p> <p><b>Trustee is a regulated financial institution in an approved country*</b> 受託人為認可國家或地區*的受規管金融機構</p>	
1.	Trust deed 信託契據
2.	Certificate of incorporation or equivalent of the trustee (and certificate on change of name if applicable) 受託人的註冊證書或等效文件（以及更名證書（如適用））
3.	List of directors of the trustee 受託人的董事名單
4.	Extract of authorisation from the relevant regulator confirming that the trustee is regulated in an approved country* 摘錄自相關規管機構有關確認受託人在認可國家或地區*受到規管的授權書的內容
5.	Written confirmation that the trustee has undertaken identity and anti-money laundering checks on settlors and main beneficiaries to FATF* standards (Please request a standard letter template from the Administrator’s Delegate for this purpose – see Appendix C - Written Assurance or AML Undertaking Letter 有關該受託人已經按照 FATF*標準對財產授予人及主要受益人進行身分及反洗錢檢查的書面確認（請就此向行政管理人代表索取標準函件模板 – 參見附錄 C）
<p><b>Additional requirements:</b> 額外規定：</p>	
	<p>If the trust is an investment vehicle: 倘該信託為投資工具：</p> <ul style="list-style-type: none"> <li>• Extract from commercial register 摘錄自商業登記冊的內容</li> <li>• Provide additional documents as outlined under the “Investment Vehicle” section 提供「投資工具」一節所概列的其他文件</li> </ul>

**Investor Category – Trust**

投資者類別–信託

**Trustee is NOT a regulated financial institution in an approved country\***

受託人並非認可國家或地區\*的受規管金融機構

1.	Trust deed 信託契據
2.	Identification evidence of all trustees in line with the requirements of the applicable category, i.e. corporation, individual etc. 所有受託人之符合適用類別 ( 即：企業、個人等 ) 規定的鑑定證據
3.	General nature and purpose of the trust, e.g. family trust, pension trust, charitable trust etc. 信託的一般性質及目的 · 例如：家族信託、退休金信託、慈善信託等
4.	Certified or notarised copy of audited statements (where applicable*) 經核證或公證的經審核報表副本 ( 如適用* )
	<b>Additional requirements:</b> <b>額外規定：</b>
	If the trust is an investment vehicle: 倘該信託為投資工具： <ul style="list-style-type: none"> <li>• Extract from commercial register 摘錄自商業登記冊的內容</li> <li>• Provide additional documents as outlined under the “Investment Vehicle” section 提供「投資工具」一節所概列的其他文件</li> </ul>
	If the trust is not an investment vehicle: 倘該信託並非投資工具： <ul style="list-style-type: none"> <li>• identification evidence of all settlors, protectors/enforcers, beneficial owners who entitled to a vested interest in not less than 10% of the capital of the trust property in line with the requirements of the applicable category, i.e. corporation, trust, partnership, etc. 所有財產授予人、保護人 / 執行人及有權享有信託財產的資本中至少 10% 既得權益的實益擁有人符合適用類別 ( 即：企業、信託、合夥企業等 ) 規定的鑑定證據</li> </ul>

<b>Investor Category – Government Body</b>	
投資者類別–政府機構	
<b>That are not in an approved country*</b>	
並非在認可國家或地區*	
1.	Certified or notarised copy of constitutional documents 經核證或公證的章程文件
2.	Certified or notarised copy of register of directors/ shareholders (if applicable) 經核證或公證的董事 / 股東名冊副本 ( 如適用 )
3.	Structure chart showing beneficial owners and percentage held (if applicable) 顯示實益擁有人及擁有百分比的組織架構圖 ( 如適用 )
4.	Documents as per individual will be required for (Refer to items 1-2 of category “Individual”): 必要的個人文件 ( 參見「個人」類別的第 1-2 項 ) : <ul style="list-style-type: none"> <li>At least 2 controlling persons/ directors and shareholders with over 10% interest (whichever is applicable) 至少兩名持有 10%以上權益的控制人 / 董事及股東 ( 以適用者為準 )</li> </ul>
5.	Explanation of nature and purpose of the government body 政府機構性質及目的的解釋
6.	Certified or notarised copy of audited statements (where applicable*) 經核證或公證的經審核報表副本 ( 如適用* )

<b>Investor Category – Pension Scheme</b>	
投資者類別–退休金計劃	
1.	Certified or notarised copy of constitutional documents 經核證或公證的章程文件
2.	Certified or notarised copy of register of directors/ shareholders (if applicable) 經核證或公證的董事 / 股東名冊副本 ( 如適用 )
3.	Structure chart showing beneficial owners and percentage held (if applicable) 顯示實益擁有人及擁有百分比的組織架構圖 ( 如適用 )
4.	Documents as per individual will be required for (Refer to items 1-2 of category “Individual”): 必要的個人文件 ( 參見「個人」類別的第 1-2 項 ) : <ul style="list-style-type: none"> <li>At least 2 controlling persons/ directors and shareholders with over 10% interest (whichever is applicable) 至少兩名持有 10%以上權益的控制人 / 董事及股東 ( 以適用者為準 )</li> </ul>
5.	Explanation of nature and purpose of the Pension Scheme 退休金計劃性質及目的的解釋
6.	Certified or notarised copy of audited statements (where applicable*) 經核證或公證的經審核報表副本 ( 如適用* )

### Investor Category – Investment Vehicle (Category A)

投資者類別–投資工具 (A類)

**Entity appointed to carry out due diligence on underlying investors is a regulated financial institution in an approved country\***

獲委任對相關投資者作出盡職審查的實體為認可國家或地區\*的受規管金融機構

1.	Provide documents of the applicable category based on the legal structure of the investment vehicle, i.e. corporation, partnership or trust 根據該投資工具的法律架構 (即：企業、合夥企業或信託) 提供適用類別的文件
2.	Prospectus (offering document) or equivalent 招股章程 (發售文件) 或等效文件
3.	Written confirmation that underlying investors have been identified and anti-money laundering checks on the underlying investors in the investment vehicle have been carried out to FATF* standards (Please request a standard letter template from the Administrator's Delegate for this purpose – see Appendix C - Written Assurance or AML Undertaking Letter) 有關已確定相關投資者身分，並已按照 FATF*標準對投資工具中的相關投資者進行反洗錢檢查的書面確認 (請就此向行政管理人代表索取標準函件模板 – 參見附錄 C)

### Investor Category – Investment Vehicle (Category B)

投資者類別–投資工具 (B類)

**Entity appointed to carry out due diligence on underlying investors is not a regulated financial institution in an approved country\***

獲委任對相關投資者作出盡職審查的實體並非認可國家或地區\*的受規管金融機構

1.	Provide documents of the applicable category based on the legal structure of the investment vehicle, i.e. corporation, partnership or trust 根據該投資工具的法律架構 (即：企業、合夥企業或信託) 提供適用類別的文件
2.	Prospectus (offering document) or equivalent 招股章程 (發售文件) 或等效文件
3.	Written representation on the following information: 有關以下資料的書面陳述： <ul style="list-style-type: none"> <li>Total number of investors 投資者總數</li> <li>Full name of investors holding 10% or more of the investment vehicle 於該投資工具持有 10%或以上權益的投資者全稱</li> <li>Full name of beneficial owners owning or controlling 10% or more of the investment vehicle 於該投資工具擁有或控制 10%或以上權益的實益擁有人全稱</li> </ul>
4.	Valid passport* with photograph, name, date of birth and nationality (and name change document if applicable) of the following individuals: 以下個人附有照片、姓名、出生日期及國籍的有效護照* (及更名文件 (如適用))： <ul style="list-style-type: none"> <li>Each beneficial owner owning or controlling 10% or more of the investment vehicle 每名擁有或控制該投資工具 10%或以上權益的實益擁有人</li> </ul>
5.	Residential and permanent (if different) address proof e.g. copy of utility bill or bank statement issued within the last three months and displays name as per registration. E-statements and P.O. Box mailing addresses are not acceptable. 以下個人的住址及永久地址 (倘不同) 證明，例如於過去三個月內發出並按登記顯示姓名的公用設施賬單或銀行結單副本。 概不接納電子賬單及郵政信箱郵寄地址。

	<ul style="list-style-type: none"> <li>Each beneficial owner owning or controlling 10% or more of the investment vehicle 每名擁有或控制該投資工具 10%或以上權益的實益擁有人</li> </ul>
	<p><b>Note:</b> 附註：</p> <p>For institutional investors, please follow the chain of ownership and provide details and documentation of the individuals who are the ultimate beneficial owners. 就機構投資者而言，請根據所有權鏈提供身為最終實益擁有人的個人詳情及文件。</p>

<p><b>Investor Category – Un-Incorporated body</b> 投資者類別–非法團組織</p> <p><b>e.g. Associations, Foundation, clubs and societies</b> 例如協會、基金會、會社及社團</p>	
1.	<p>Copy of certificate of registration/ Application for Charges of Particulars of Registered and Exempted Societies/ Constitution/ By-Laws or equivalent documents 註冊證書 / 註冊社團及豁免註冊社團更改資料申請表 / 組織章程 / 公司細則或等效文件的副本</p>
2.	<p>Written representation on the following information: 有關以下資料的書面陳述：</p> <ul style="list-style-type: none"> <li>Full name of organization 組織全稱</li> <li>Business address 營業地址</li> <li>Full name of all individuals who exercise ultimate control over the management of the organization 對該組織的管理事務擁有最終控制權的所有個人的全名</li> <li>Full name of all beneficial owners (if any) that own or control not less than 10% of its capital or profits or of its voting rights 擁有或控制其不少於 10%資本或利潤或投票權的所有實益擁有人 (如有) 的全名</li> </ul>
3.	<p>Certification letter issued by a professional independent third party (i.e. lawyer, accountant, notary public in a FATF member jurisdiction) to confirm the information on the above written representation is correct and accurate 專業獨立第三方 (即：FATF 成員司法管轄區的律師、會計師、公證人) 就確認以上書面陳述所載資料為正確及準確而發出的核證函</p>
4.	<p>Proof of business/ principle operating address (if it is not an investment vehicle) 營業 / 主要營運地址的證明 (倘其並非投資工具)</p>
5.	<p>Valid passport* with photograph, name, date of birth and nationality of following individuals: 以下個人附有照片、姓名、出生日期及國籍的有效護照*：</p> <ul style="list-style-type: none"> <li>At least 2 individuals who exercise ultimate control over the management of the organization 至少兩名對該組織的管理事務有最終控制權的個人</li> <li>Beneficial owners (if any) that own or control not less than 10% of its capital or profits or of its voting right 擁有或控制其不少於 10%資本或利潤或投票權的實益擁有人 (如有)</li> </ul>
6.	<p>Residential and permanent (if different) address proof e.g. copy of utility bill or bank statement issued within the last three months and displays name as per registration. E-statements and P.O. Box mailing addresses are not acceptable. 以下個人的住址及永久地址 (倘不同) 證明，例如於過去三個月內發出並按登記顯示姓名的公用設施賬單或銀行結單副本。概不接納電子賬單及郵政信箱郵寄地址。</p> <ul style="list-style-type: none"> <li>At least 2 Individuals who exercise ultimate control over the management of the organization 至少兩名對該組織的管理事務有最終控制權的個人</li> </ul>

	<ul style="list-style-type: none"> <li>Beneficial owners (if any) that own or control not less than 10% of its capital or profits or of its voting rights 擁有或控制其不少於 10%資本或利潤或投票權的實益擁有人 (如有)</li> </ul>
7.	Explanation of nature and purpose of the entity/association 實體 / 組織性質及目的的解釋
8.	Certified or notarised copy of audited statements (where applicable*) 經核證或公證的經審核報表副本 (如適用*)
	<b>Additional requirements for charitable organization:</b> <b>慈善組織的額外規定：</b>
	<p>For charitable institution or trust exempt from tax under section 88 of the Inland Revenue Ordinance in Hong Kong or registered with regulated by a governing body in a FATF member jurisdiction: 就根據稅務條例第 88 條於香港獲豁免繳稅或已向 FATF 成員司法管轄區的監管機構登記並受其規管的慈善機構或信託而言：</p> <p>Letter from Hong Kong Inland Revenue Department as a proof of tax exemption and charitable institution status, or 作為豁免繳稅及慈善機構身分證明的香港稅務局函件 · 或</p> <p>Search for Tax-Exempt Charities in Hong Kong Inland Revenue Department, or equivalent documents to proof registration status of the organization. 香港稅務局「搜尋獲豁免繳稅的慈善團體」查冊資料或等效文件以茲證明組織註冊狀態</p>
	<p>For charitable organization that not registered with and regulated by a governing body in a FATF member jurisdiction, please obtain the following information for further review. 就無向 FATF 成員司法管轄區的監管機構登記且非受其規管的慈善機構而言 · 請提供以下資料以供進一步審閱。</p> <ul style="list-style-type: none"> <li>legitimate purpose 合法目的</li> <li>Years of providing charitable services 提供慈善服務的年資</li> <li>Countries where significant portion of funds are raised and disbursed 籌集及發放大部分資金的國家或地區</li> <li>Any affiliation with other charitable/ non-profitable/ non-governmental organization, government or state bod 與其他慈善 / 非牟利 / 非政府組織、政府或國家機構的任何關係</li> </ul>

<b>Investor Category – Nominee (Category A)</b>	
投資者類別—名義持有人 (A 類)	
<b>Private Bank, Investment Adviser or Nominee Company</b>	
私人銀行、投資顧問或名義持有人公司	
<b>Nominee is a regulated financial institution in an approved country*, or</b>	
名義持有人為認可國家或地區*的受規管金融機構 · 或	
<b>Nominee acts as agent and nominee of a regulated financial institution in an approved country* for the purpose of registering securities beneficially owned by the customers of this regulated financial institution</b>	
名義持有人就登記認可國家或地區*受規管金融機構的客戶所實益擁有的證券而擔任該受規管金融機構的代理及名義持有人	
1.	Provide documents of the applicable category based on the legal structure of the nominee, i.e. corporation, partnership or trust 根據該名義持有人的法律架構 (即：企業、合夥企業或信託) 提供適用類別的文件
2.	Written confirmation that the nominee has undertaken identity and anti-money laundering checks on the underlying investors to FATF* standards (Please request a standard letter template from the Administrator’s Delegate for this purpose – see Appendix C - Written Assurance or AML Undertaking Letter) 有關該名義持有人已經按照 FATF*標準對相關投資者進行身分集反洗錢檢查的書面確認 (請就此向行政管理人代表索取標準函件模板 – 參見附錄 C –)

<b>Investor Category – Nominee (Category B)</b>	
投資者類別—名義持有人 ( B 類 )	
<b>Private Bank, Investment Adviser or Nominee Company</b>	
私人銀行、投資顧問或名義持有人公司	
<b>Nominees not in Category A</b>	
A 類中並未包括的名義持有人	
1.	Provide documents of the applicable category based on the legal structure of the nominee, i.e. corporation, partnership or trust 根據該投資工具的法律架構 ( 即：企業、合夥企業或信託 ) 提供適用類別的文件
2.	List of all named underlying investors (10% or more of fund interest in the investment) 所有獲提名相關投資者的名單 (於該投資擁有 10%或以上權益的相關實益擁有人)
3.	Identification documentation for all named underlying investors above in line with the requirements of the applicable investor category 按照適用投資者類別的要求，提供以上所有獲提名相關投資者的身分證明文件

<b>Investor Category – NGOs / Charitable organizations</b>	
投資者類別—非政府組織/慈善團體	
1.	Nature and purpose of the charitable organization 該公慈善團體的業務性質和目的說明
2.	Registered office address 註冊辦事處地址
3.	List of controllers: (Principals/Trustees/Directors/Board Members or equivalent) 擁有控制權的名單：(校長/ 信託人/ 董事/ 股東或其他 )
4.	Details of any beneficiaries that may be entitled to 10% or more of the foundation property (how will donations be made and will due diligence be completed prior to future distributions) 有機會權獲得 10% 或更多基金會財產的任何受益人的詳細信息 ( 如何進行捐贈以及如何未來分配之前完成盡職審查 )
5.	Valid passport and residential and permanent address of: 以下人士之有效護照*以及住址及永久地址： <ul style="list-style-type: none"> <li>• 2 Key Controllers or one Controller and one Signatory to the appropriate standard (e.g. Individual, Company, etc.) 2 名關鍵控制人或一名控制人和一名適當簽署人 ( 例如個人、公司等 )</li> <li>• Individual Partners/signatory 個人合作夥伴/簽署人</li> <li>• Beneficiaries that may be entitled to 10% or more of the foundation property 有可能獲得基金會財產 10% 或更多的受益人</li> <li>• All members who own more than 10% of the share capital, profit or voting rights or otherwise exercise control over the management of the entity 擁有超過 10% 的股本、利潤或投票權或以其他方式控制實體管理的所有成員</li> </ul>
6.	Source of Funds/Source of Wealth including evidence: 投資資金來源及財富來源#的證明: <ul style="list-style-type: none"> <li>• Audited financial accounts 經審計的財務賬目</li> <li>• Completed Source of Wealth/Source of Funds declaration 完成投資資金來源及財富來源#的聲明</li> </ul>

### D–Enhanced Due Diligence (EDD)\*

D–加強盡職審查\*

**Investors who are:**

符合以下說明的投資者：

**Flagged as high risk in administrator’s risk rating process**

在行政管理人風險評級過程中被標記為高風險

**Approved by fund manager or administrator to continue the business relationship**

經基金經理人或行政管理人批准延續業務關係

1.	<p>Additional information with evidence/ proof (for example, bank reference letter, employment proof, tax bill, etc. for individuals; audited financial statement, tax bill, etc. for corporates) on: 有關以下方面的額外證據 / 證明 (例如銀行推薦信、工作證明、稅單等 (適用於個人) ; 經審核財務報表、稅單等 (適用於企業) ) :</p> <ul style="list-style-type: none"> <li>• Occupation 職</li> <li>• Volume of assets 資產數額</li> <li>• Explanation of source of funds for investment and source of wealth# (provide an attestation [Appendix B] or a declaration 投資資金來源及財富來源#的說明 (提供一份證明[附錄 B]或聲明)</li> </ul>
2.	<p>Additional information on: 有關以下方面的額外資料 :</p> <ul style="list-style-type: none"> <li>• Intended nature of the business relationship 預期的業務關係性質</li> <li>• Reasons for intended or performed transactions (for example, investment objective, risk appetite, etc.) 擬進行或已進行交易的原因 (如 · 投資目標、承受風險水平等)</li> </ul>
3.	<p>Two address proofs issued within the last three months for beneficial owners or controlling 10% or more of the applicable category based on the legal structure of the investor, i.e. corporation, partnership or trust 兩份於過去三個月內發出實益擁有人或根據該名義持有人的法律架構 (即 : 企業、合夥企業或信託) 擁有 10%或以上權益的控制人的地址證明</p>
4.	<p>Two Address proof in the last three months for those with Signing Powers<sup>1</sup> including third parties 於過去三個月內發出所有獲授權看似代表客戶行事該投資戶口的簽署人的地址證明</p>
5.	<p>Where an investor is importing or exporting goods, the investor is required to provide valid export licences or letter from official sources stating that a license is not required or other proof that a license is not required (Note: This is a Cayman Islands regulatory requirement relating to Proliferation Financing legislation)  投資者如從事貨物進出口業務 · 須提供有效的出口許可證或說明無需許可證的官方信函或其他證明 (附註 : 這是開曼群島對於資助武器擴散法規的監管要求)</p>
6.	<p>Identify payments or payment instructions which connect to importers / exporters, shipping agents, brokers and freight forwarders that export to countries and ports near the border of sanctioned countries 識別與出口至受制裁國家 / 地區邊境附近國家 / 地區和港口的進出口商 · 船務代理人 · 經紀人和貨運代理人有關的付款或付款指示</p>

<sup>1</sup> Signing power means authorized signatories

獲授權看似代表客戶行事該投資戶口的簽署人指授權簽署人

7.	Signoff from Board of Directors of Fund or Delegate (via email or written) 基金董事會或其代表的簽署同意書 (經電子郵件或書面)
8.	Approval of administrator's senior management to commence or continue the business relationship 行政管理人高級管理層有關開展或延續業務關係的批核

The Fund, Investment Manager, Manager or the Administrator (including its delegate or agent) source require other documentation in addition to the items in the above checklist.

本基金、投資經理、基金經理人或行政管理人 (包括其代表或代理) 或會要求提供除上述清單所列項目以外的其他文件。

In accordance with the anti-money laundering (AML) obligations applicable to the Fund, requests for transfer or payment of redemption proceeds will not be effected until receipt of all outstanding identification documents and information pertaining to AML obligations. None of the Fund, the Investment Manager, the Investment Advisor, the Administrator or their agents or affiliates accepts any responsibility for any loss caused as a result of any such delay or refusal to process transfer requests or effect payment of redemption proceeds (as the case may be) and claims for payment of interest due to such delays will not be accepted.

根據本基金適用的反洗錢責任，直至接獲所有尚未提供的有關反洗錢責任的身分證明文件及資料為止，轉移或支付贖回所得款項的請求將不會生效。本基金、投資經理、投資顧問、行政管理人、行政管理人代表或彼等的代理或聯屬人士概不會對因任何有關延遲或拒絕處理轉賬請求或使支付贖回所得款項生效 (視乎情況而定) 而造成的任何損失承擔任何責任，且不會接受因有關延遲而引致的付息索償。

**“Acceptable Client” categories where Simplified Due Diligence may be applied**

Note: With the designation of Cayman Islands as a High Risk Third Country under the United Kingdom’s Money Laundering and Terrorist Financing (Amendment) (High Risk Countries) Regulations 2021, Simplified Due Diligence cannot be applied to any investors who in the case of an individual are resident in the Cayman Islands but not merely having been born in that country, in the case of a legal person being incorporated in or have their principal place of business in the Cayman Islands or in the case of a financial institution, having its principal regulatory authority in the Cayman Islands.

**可能適用簡化盡職調查的「可接受客戶」類別**

注意：根據英國政府發佈的修訂版《2021年反洗錢和反恐怖主義融資(高風險國家/地區)條例》，開曼群島被指定為高風險第三國。如果投資者不只是在該國出生而且在開曼群島居住、法人在開曼群島註冊成立或主要營業地點設在開曼群島，或金融機構的主要監管機構是在開曼群島，則簡化盡職調查不適用。

## General Instructions

### 一般說明

**\*1 – Approved Country** Approved country/ non-high risk country refers to a country which is a member jurisdictions of FATF\*, a country that is not deemed to be high risk on the HSBC FCCRM or a country that is not classified as an EU High Risk Third Country and is deemed to be a non-high risk country (subject to change from time to time)

認可國家/非高風險國家是指屬於 FATF\* 成員司法管轄區的國家、在匯豐 FCCRM 列表中不被視為高風險的國家或未被歸類為歐盟高風險第三國的國家和被視為非高風險國家 (可能隨時修改)

### \*2 – FATF

FATF – Financial Action Task Force ([www.fatf-gafi.org](http://www.fatf-gafi.org))

FATF – 金融行動特別工作組 ([www.fatf-gafi.org](http://www.fatf-gafi.org))

### \*3 – Certified True Copy

Certified true copy is accepted from an independent suitable certifier, such as director or officer of an intermediary (an authorized institution or licensed corporation) or other professional person such as certified public accountant, lawyer, notary public or chartered secretary. The certifier should sign and date the copy document (printing his/her name clearly in capitals underneath) and clearly indicate his/her position or capacity. The certifier must indicate that the document is a true copy of the original and that the photo is a true likeness of the individual. Where documents are not in English, a notarised translation is required.

由獨立適合核證人 (如金融機構的董事或經理、專業人士如專業會計人員、律師、公證人、或特許秘書) 出具的經核證真實副本可獲接納。核證人應簽署文件副本 (將其姓名以大寫字母清晰地列印於下方) 及註明日期, 並註明其職位或身份。核證人須表明該文件為正本的真实副本, 且所提供照片為有關個人的真實肖像。倘文件並非以英文編製, 則須提供經公證譯本。

### \*4 – Valid Passport

Acceptable photo identification must contain an individual's name, date of birth and nationality. If an investor submits a photo identification that does not contain all of his/her name, date of birth and nationality e.g. driver's license, the investor is required to provide additional government-issued identification documents, e.g. certified true copy of birth certificate, citizenship card, etc. For Hong Kong Permanent Residents, Hong Kong Identity Card will be accepted. Please note that photocopy of identification document must be plainly legible.

可接納的附有照片的身分證明必須包含個人的姓名、出生日期及國籍。倘投資者提交並無包含其姓名、出生日期及國籍等全部資料的附有照片的身分證明 (例如: 駕駛證), 則投資者須提供額外由政府頒發的身分證明文件 (例如: 出生證明、公民證等的經核證真實副本)。就香港永久居民而言, 香港身分證將可獲接納。

### \*5 – Enhanced Due Diligence (EDD)

Enhanced Due diligence is applicable to high risk investors as well as all Cayman Islands domiciled Funds and investors and Fund Managers that are resident / domiciled in the Cayman Islands.

加強盡職審查適用於高風險投資者, 也適用於開曼群島註冊的基金或在開曼群島註冊/居住的投資者和基金經理人。

### \*6 – Tax Forms

FATCA W-form(s) and CRS Self-Certification shall be collected alongside with the identification documents upon onboarding of the investors who have contracted with HSBC in relation to the Tax Classification Assistance Service. Non-receipt of FATCA W-form(s) or CRS Self-Certification may delay the account opening process.

FATCA W-表格和共同匯報標準自我證明應在與匯豐簽訂稅務分類協助服務相關合約的投資者開戶時連同身分證明文件一併收集。如未收到 FATCA W-表格或共同匯報標準自我證明, 開戶流程可能會延遲。

### \*7 – Documentation required where applicable

Additional documentation listed above may be necessary if there is an adverse information on the client, if the client operates in a country deemed by the Cayman Islands or the FCCRM\* as high risk or if the client is engaged in any activities that may be deemed high risk as per the AML/CTF/ Sanctions regulations/ AML Guidance Note, such as oil and gas, forestry and precious metals trading or mining, etc. The Cayman AML Regulations & AML Guidance Notes which are retrievable from the CIMA website ([www.cima.ky](http://www.cima.ky)) and Cayman Islands Sanctions measures which is accessible on the Financial Reporting Authority website ([www.fra.gov.ky](http://www.fra.gov.ky)) should be consulted where necessary to clarify the Cayman Islands requirements

如存在有關客戶的負面資料，或客戶在被 FCCRM\*或開曼群島視為高風險的國家 / 地區經營業務，或客戶從事被打擊洗錢/ 恐怖分子資金籌集/ 被制裁或防制洗錢指引說明的法例視為高風險的活動（例如涉足石油燃氣行業、林業和貴金屬貿易及采礦業等等），則可能須提供以上列示的額外文件。有關開曼群島防制洗錢規範及指引說明可瀏覽開曼群島網頁([www.cima.ky](http://www.cima.ky))；而有關開曼群島制裁措施可瀏覽網頁([www.fra.gov.ky](http://www.fra.gov.ky))。必要時應諮詢以確認開曼群島的要求。

#### **\*8 – Documents in Foreign Language**

All documents in foreign language must be certified in English irrespective of risk rating.

不論客戶的風險等級為何，非英文文件一律須提供英文版本並經核證。

#### **#1 – Source of Wealth**

“Source of wealth” refers to the activities generated investor’s total net worth, for example inheritance payment, selling of properties.

「財富來源」指產生投資者淨值總額的活動，如繼承款項、出售財產。

#### **#2 – Explanation of Source of Funds**

Explanation on source of funds for investment is required for initial and subsequent investments of investors rated as medium and high risk without risk based approach.

#2 對於被評定為中高風險且未採用以風險為本方法的投資者進行的初始及後續投資，須說明投資資金來源。

#### **#3 – Explanation of Source of Funds for Initial and Subsequent Investments**

Explanation on source of funds for investment is required for initial and subsequent investments of investors rated as medium and high risk without risk based approach.

#3 對於高風險投資者或政治敏感人物進行的初始及後續投資，須說明資金來源，並按照加強盡職審查清單提供證據。

#### **#4 – Explanation of Source of Wealth**

Explanation on source of wealth is required for high risk investors or PEP with evidence per EDD checklist.

#4 高風險投資者或政治敏感人物須說明財富來源，並按照加強盡職審查清單提供證據。

#### **#5 – Countries and ports near the border of sanctioned countries**

Refer to places near sanctioned countries. Current list of sanctioned countries of HSBC includes Iran, North Korea, Syria, Crimea Region, Cuba, For example, shipments of prohibited goods to the Democratic People’s Republic of Korea (North Korea) are often marked as destined to Dangdong, China, and other nearby ports.

#5 受制裁國家/地區邊境附近國家/地區和港口是指受制裁國家/地區附近的地點。匯豐現有的受制裁國家/地區清單包括伊朗、朝鮮、敘利亞、克里米亞地區、古巴。例如，運往朝鮮民主主義人民共和國（朝鮮）的違禁品通常被標記為運往中國丹東港和其他附近港口。

**Guidelines on explanation of SOF/ SOW and the Proposed Transaction**

**資金來源 / 財富來源及擬議交易的說明指引**

SOF/ SOW Type 資金來源/財富來源類型		Details may Include 詳情可能包括	
1	Company Own Asset/ Capital/ Business Dealings (provide details):  公司擁有的資產 / 資金 / 商業交易 ( 提供詳情 ) :	<ol style="list-style-type: none"> <li>Where is the place of incorporation? 公司在何地註冊成立?</li> <li>What is the nature of the business? 公司的業務性質是甚麼?</li> <li>What is the average sales revenue? (approx. amount) 平均銷售收入是多少 ( 約數 ) ?</li> <li>Provide the source of wealth of the ultimate beneficial owners. 提供最終實益擁有人的財富來源。</li> </ol>	
2	Sale of Existing Assets (provide details):  出售現有資產 ( 提供詳情 ) :	<ol style="list-style-type: none"> <li>Please describe the related transaction. 請對相關交易進行詳述。</li> <li>When did the transaction take place? 交易於何時進行?</li> <li>How much was the sales proceed? (approx. amount) 出售所得款項是多少 ( 約數 ) ?</li> </ol>	
3	Inheritance (provide details):  財產繼承 ( 提供詳情 ) :	<ol style="list-style-type: none"> <li>Who did you inherit the money from? 您繼承的財產來自何人?</li> <li>When did the money come into your inheritance? 您何時繼承有關財產?</li> <li>How much was the inherited money? (approx. amount) 您繼承財產的金額是多少? ( 約數 )</li> </ol>	
4	Salary/Bonus (provide details):  薪資 / 花紅 ( 提供詳情 ) :	<ol style="list-style-type: none"> <li>What is the full name of the employer? 僱主全稱是甚麼?</li> <li>What is the nature of the business of the employer? 僱主的業務性質是甚麼?</li> <li>What is your job title/ occupation? 您的職銜 / 職業是甚麼?</li> <li>What is your average annual salary? (approx. amount) 您的平均年薪是多少 ( 約數 ) ?</li> <li>What is the approximate amount in bonus (if applicable)? 花紅大約有多少 ( 如適用 ) ?</li> </ol>	
5	Other than above (provide details):  除上述外的其他 ( 提供詳情 ) :	<ol style="list-style-type: none"> <li>What is the origin of wealth and source of funds for this investment? 本次投資的財富來源及資金來源是甚麼?</li> </ol>	

Guideline for Explanation of the Proposed Transaction 擬議交易說明指引		Details may Include 詳情可能包括	
1	Purpose of Transaction (please provide details): 交易目的 ( 提供詳情 ) :	For example: Capital preservation Stable return Long term capital appreciation Saving Retirement, etc.	例如: - 資本保值 - 獲取穩定回報 - 長期資本增值 - 儲蓄 - 退休等
2	Volume of Transaction (provide details): 交易量 ( 提供詳情 ) :	Number of trades in a given period 在特定期間內的交易次數	
3	Frequency (provide details): 交易頻率 ( 提供詳情 ) :	For example: Daily, Weekly, Bi-weekly, Monthly, Quarterly, Annually, etc. 例如: 每日、每周、每兩周、每月、每季度及每年等	

**Appendix B – Attestation**  
**附錄 B – 證明**

Under HSBC AML Measures, we are required to take reasonable steps to establish source funds and source of wealth for investors' subscription (i.e. initial and subsequent investments) into the fund. Source of Wealth pertains to how the investor amassed their total net worth/wealth, while Source of Funds relates to the monies used to fund this investment.

根據匯豐反洗錢措施，我們需要採取合理步驟為投資者認購（即初始和後續投資）基金建立資金來源和財富來源。財富來源與投資者如何積累他們的總淨資產/財富有關，而資金來源與用於為這項投資提供資金的資金有關。

Client ID/Holder ID 客戶編號/持有人編號: \_\_\_\_\_

Client/Holder Name 客戶/持有人名稱: \_\_\_\_\_

I/We undersigned hereby attest that below information is true. The explanation of source of funds for investment herewith will apply to subsequent investments, otherwise new source of funds will be provided on a new attestation.

本人/吾等在下方簽名，特此證明以下信息是真實的。此處對投資資金來源的說明將適用於後續投資，否則將在新的證明中提供新的資金來源。

\*\* Please tick whichever box is relevant. 請勾選相關方框。

Section 部份	Requirements 要求
<b>Section A 甲部:</b> <b>Individuals 個人投資者</b>	<p>Source of fund for investment / Source of Wealth 投資資金來源 / 財富來源:**</p> <p>A) <input type="checkbox"/> total net assets including 資產淨值總額包括</p> <p><input type="checkbox"/> savings 儲蓄    <input type="checkbox"/> salary, commission &amp; bonus 薪金、佣金及花紅</p> <p><input type="checkbox"/> property investments 物業投資    <input type="checkbox"/> securities 證券    <input type="checkbox"/> retirement funds 退休基金</p> <p><input type="checkbox"/> Below US\$10,000                      <input type="checkbox"/> US\$10,001 to US\$100,000  10,000 美元以下                      10,001 美元至 100,000 美元</p> <p><input type="checkbox"/> US\$100,001 to US\$500,000    <input type="checkbox"/> Over US\$500,000  100,001 美元至 500,000 美元    500,000 美元以上</p> <p>B) <input type="checkbox"/> investment returns 投資回報</p> <p><input type="checkbox"/> Below US\$10,000                      <input type="checkbox"/> US\$10,001 to US\$100,000  10,000 美元以下                      10,001 美元至 100,000 美元</p> <p><input type="checkbox"/> US\$100,001 to US\$500,000    <input type="checkbox"/> Over US\$500,000  100,001 美元至 500,000 美元    500,000 美元以上</p> <p>C) <input type="checkbox"/> inheritance 遺產</p> <p>From 由 <input type="checkbox"/> Parents 父母            <input type="checkbox"/> Grandparents 祖父母</p> <p><input type="checkbox"/> Siblings 兄弟姐妹    <input type="checkbox"/> Others 其他 _____</p> <p>When did the money come into your inheritance? 您何時繼承有關財產?</p> <p><input type="checkbox"/> &lt; 3 months    <input type="checkbox"/> 3 to 6 months    <input type="checkbox"/> 6 months or above  &lt;3 個月                      3 至 6 個月                      6 個月或以上</p> <p>D) <input type="checkbox"/> sale of assets/ business , approx. amount. 出售資產/業務，大概金額</p> <p>_____</p>



	<p>When did the transaction take place? 交易於何時進行？</p> <p><input type="checkbox"/> &lt; 3 months    <input type="checkbox"/> 3 to 6 months    <input type="checkbox"/> 6 months or above          &lt;3 個月                  3 至 6 個月                  6 個月或以上</p> <p>How much was the sales proceed? 銷售收益是多少？</p> <p><input type="checkbox"/> Below US\$100,000                          <input type="checkbox"/> US\$100,001 to US\$1,000,000          100,000 美元以下                          100,001 美元至 1,000,000 美元</p> <p><input type="checkbox"/> US\$1,000,001 – US\$5,000,000    <input type="checkbox"/> Over US\$5,000,000          1,000,001 美元至 5,000,000 美元    5,000,000 美元以上</p> <p>D) Others: please specify below 其他：請在下方說明</p> <p>_____</p>
<p><b>Section C 丙部:</b></p> <p><b>This section is required where it is applicable</b></p> <p>本部份在適用的地方是必需的</p>	<p>A) Occupation for individual with supporting: please specify below          個人投資者的職業證明: 請在下方說明</p> <p>_____</p> <p>B) Volume of assets with supporting 資產規模證明:</p> <p><input type="checkbox"/> Below US\$100,000                          <input type="checkbox"/> US\$100,001 to US\$1,000,000          100,000 美元以下                          100,001 美元至 1,000,000 美元</p> <p><input type="checkbox"/> US\$1,000,001 to US\$5,000,000    <input type="checkbox"/> Over US\$5,000,000          1,000,001 美元至 5,000,000 美元    5,000,000 美元以上</p> <p>C) Nature of the business relationship and reason for intended or performed transactions          業務關係的性質和預期或執行交易的原因:</p> <p><input type="checkbox"/> Capital preservation 保本    <input type="checkbox"/> Stable return 穩定回報</p> <p><input type="checkbox"/> Long term capital appreciation 長期資本增值</p> <p><input type="checkbox"/> Savings 儲蓄    <input type="checkbox"/> Retirement 退休    <input type="checkbox"/> Others 其他: _____</p>

Signature(s) 簽名:

\_\_\_\_\_

Name(s) 姓名:

\_\_\_\_\_

Date 日期:

\_\_\_\_\_

Appendix C – Written Assurance or AML Undertaking Letter

**[TO BE DRAFTED ON LETTERHEAD]**

[Name of Fund or Administrator]

[Address]

[Address]

[Address]

[Address]

Attention: [Name of contact]

[Insert date] 202[.]

Dear Sir / Madam

1. We act as [nominee][agent] on behalf of the Principal and provide the following confirmations pursuant to regulation 24 of the Cayman Islands Anti-Money Laundering Regulations (as amended) (the "**AML Regulations**").
2. We confirm that we are [DELETE AS APPROPRIATE] :
  - a. [a central or local government, statutory body or agency of government in [insert country].]
  - b. [subject to the AML Regulations.]
  - c. [based in, or formed under, the laws of [insert country] and acting in the course of business in relation to which [insert regulatory authority] exercises regulatory functions.]
  - d. [a company quoted, fund listed on, or broker member of the Cayman Islands Stock Exchange OR listed on [insert recognised stock exchange].]
  - e. [a majority-owned direct or indirect subsidiary of [insert details of an entity as described in a, c or d above]].
  - f. [a pension fund for a professional association or trade union OR for employees of [insert details of an entity as described in a, c d or e above]].
3. We confirm that:
  - (i) the Principal has been risk rated with understanding of the purpose and intended nature of the business relationship which is [insert the nature and intended purpose of the business relationship, for example "to invest in [insert name of investment fund]], and where required its proxies, controlling persons and underlying beneficial owners, have been identified and verified in compliance with the AML Regulations.
  - (ii) we have identified the source of funds of the Principal

- (iii) We conduct enhanced due diligence, including establishing the source of wealth and enhanced ongoing monitoring on Politically Exposed Persons (as that term is defined in AML Regulations) (“PEP”) and other high risk Principal or any beneficial owners.
- (iv) We have in place ongoing monitoring process and system where required on the underlying investors and transactions, to detect, investigate and, as required, report any suspicious activities to the relevant authorities.
- (v) The Principal, and where required its underlying beneficial owners, are screened against the list of specially designated nationals and blocked persons applicable to Cayman Islands as amended from time to time and if the Principal and/or any of its beneficial owner is included in such list then we will notify you

We acknowledge that you are placing reliance on us for the purpose of meeting your due diligence obligations in respect of the Principal, and where applicable the beneficial owners. We agree to provide, without delay, upon your reasonable request or in the event of an inquiry from a regulator or a competent law enforcement agency, with related customer due diligence documents and information, relating to the identity of the Principal and beneficial owner(s).

Yours faithfully

*[Name and signature of agent or nominee]*