

This form has been designed to meet HSBC's obligations under Australian and Hong Kong Anti-Money Laundering and Counter-Terrorism Financing legislation to identify our customers.

GUIDE TO COMPLETION

- Complete all applicable sections in BLOCK LETTERS
- Use black ink and mark boxes with an (X)

1. GENERAL COMPANY DETAILS

Full legal name as registered by ASIC or relevant foreign registration body Registration or Identification number

Trading name – write 'as above' if same as legal name – *If multiple, provide all.* Tax Identification Number(s)

Registered office address (cannot be a PO Box)

Principal place of business – if different to registered office address (cannot be a PO Box)

Postal Address - if different to registered office address

Customer Type Country of Incorporation

Proprietary/Private
 Public
 Trust
 Other

Establishment Date Type of Business

Commercial Operating Business
 Holding Company

What is the company's economic purpose?

Date of Registration/Incorporation

What is the approximate number of employees?

Does the business have an audit or accounting firm?

No *Go to next question*

Yes What is the name of the audit/accounting firm?

Date of last audit

Country(ies) where the business is subject to tax residence

If the business is a non-resident of Australia, what is the reason for maintaining a relationship with HSBC Australia?

Is the business or majority shareholder listed on a stock exchange?

No *Go to next question*

Yes What is the name of the stock exchange?

Country

Exchange reference (Ticker)

Is the business a regulated financial institution?

No *Go to next question*

Yes What is the name of the regulatory body?

Country

Regulatory reference no.

Country of primary business operations

2. ADDITIONAL COMPANY DETAILS

Industry/Nature of business (incl. sources of income, products/services offered & how the business fits in the group structure)

Source of wealth (i.e. ongoing revenues) - Refer to Glossary of Terms on page 8

All Countries of operation

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

The Public/Individual Consumers <input type="checkbox"/>	Banks/Financial Institutions <input type="checkbox"/>
Government/Public Sector Bodies <input type="checkbox"/>	Other Businesses <input type="checkbox"/>

Does the business rely on one counterparty for more than 50% of income

No <input type="checkbox"/>	Go to next question
Yes <input type="checkbox"/>	Registered name of the key customer
<input type="text"/>	
Trading name (if different)	
<input type="text"/>	
Percentage of income from this counterparty	
<input type="text"/>	%
Nature of business/industry of this counterparty	
<input type="text"/>	
<input type="text"/>	

Is the business or, are any of it's connected parties, involved in the gambling industry (eg. Online gambling, casinos etc.)?

No <input type="checkbox"/>	Go to next question
Yes <input type="checkbox"/>	Give details of the party's relation to the business
<input type="text"/>	
<input type="text"/>	

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

Yes <input type="checkbox"/>	Go to next question
No <input type="checkbox"/>	What will be the ongoing source of wealth?
<input type="text"/>	
<input type="text"/>	
<input type="text"/>	

Select the most relevant key financial data option for the business and provide details - Refer Glossary of Terms on page 8

<input type="checkbox"/>	Assets Under Management (held on behalf of clients)	Most recently reported	Currency	Date Reported
<input type="checkbox"/>	Asset Size	<input type="text"/>	<input type="text"/>	DD / MM / YY
<input type="checkbox"/>	Group Annual Revenue (from last financial year)			
<input type="checkbox"/>	Annual Revenue (from last financial year) - If the company is a start up, please provide estimates based on business plan			
<input type="checkbox"/>	Other - Describe the key financial data and it's approximate total size	<input type="text"/>		

List the principal business activities of the business maintaining a relationship with HSBC

Business Activity	% of Revenue
	%
	%
	%
	%

Have there been any material changes to the business in the past 5 years?

A Material change is a substantial continuing change to the business - See the Glossary of Terms on page 8

No <input type="checkbox"/>	Go to next question
Yes <input type="checkbox"/>	Give details of the material change(s) to the business
<input type="text"/>	

3. BANKING PRODUCTS AND SERVICES

What banking services do you currently utilise or intend to utilise with HSBC?

Global Liquidity & Cash Management (GLCM) Global Trade & Receivables Finance (GTRF) Custody Global Markets Lending
 Other please specify

If you plan to utilise GLCM products (inc. savings & transaction accounts), please complete the next three questions

Does the business intend on making/receiving significant payments?
 No Yes Please provide details below
 What is the purpose of these significant payments?

 What is the expected value and frequency of these payments?

 Is the counterparty Domestic or international?

Does the business intend to make/receive cross border payments?
 No Yes Please provide details below
 What is the purpose of the cross border activity?

 What is the expected value and frequency of these transactions?

 Please provide the top 10 countries you expect to transact with using HSBC Accounts

Does the business intend on making physical deposits/withdrawals?
 No Yes Please provide details below
 What is the business purpose of using physical cash?

 What is the expected value and frequency of this activity?

4. COUNTRIES OF TRADE

Give details of all countries where revenues or expenses are incurred and assets are held as well as where the business has local offices, subsidiaries, branches (including the number of each)

Country	Percentage of			Number of		
	Revenues or Intended Revenues	Expenses or intended expenses	Assets Held	Subsidiaries	Branches	Local Offices
	%	%	%			
	%	%	%			
	%	%	%			
	%	%	%			
	%	%	%			
	%	%	%			
	%	%	%			
	%	%	%			

5. GOVERNMENT OR POLITICAL EXPOSURE

Give details of any Government State Body which owns 10% or more of the entity maintaining a relationship with HSBC

Mark this box if there are no Government or State Owned Bodies that own 10% or more of the business

Full Name of Government	Country	Percentage of Ownership	Percentage of Voting Rights	Permanent Address (Inc. Country)
		%	%	

Give details of any of the Connected Parties (Ultimate Owners, Key Controllers, Directors, etc.) considered to be influential politically, politically exposed or holding a position in the Executive Legislative, Military or Judicial sectors of government.

Also include the details of any connected parties who are known associates of someone considered influential politically or politically exposed.

Full Name of Connected Party	Country of Political Exposure	Position of Political Exposure	Dates position held		If political exposure is by association	
			From	To	Name of influential person	Relationship to influential person

6. KEY CONTROLLERS / DIRECT APPOINTEES / DIRECTORS / POWER OF ATTORNEY

Give Details of the Key Controllers / Direct Appointees / Power of Attorney / Directors for the Account(s) of the business
A Key Controller can be anyone elected or appointed to exercise direct control over the company - See Glossary of Terms on page

Full Name* <i>(Including middle names)</i>	1	2	3
Date of Birth*	DD / MM / YY	DD / MM / YY	DD / MM / YY
Passport/Identification No.			
Designation/Occupation*			
Country of Citizenship			
Country of Source of Wealth			
Residential Address*			
Permanent Address <i>(If different to Residential)</i>			
Management Role* <i>(Select all that apply)</i>	Key Controller <input type="checkbox"/> Direct Appointee <input type="checkbox"/> Power of Attorney <input type="checkbox"/> Executive Director <input type="checkbox"/> Director <input type="checkbox"/> Other Related Party <input type="checkbox"/>	Key Controller <input type="checkbox"/> Direct Appointee <input type="checkbox"/> Power of Attorney <input type="checkbox"/> Executive Director <input type="checkbox"/> Director <input type="checkbox"/> Other Related Party <input type="checkbox"/>	Key Controller <input type="checkbox"/> Direct Appointee <input type="checkbox"/> Power of Attorney <input type="checkbox"/> Executive Director <input type="checkbox"/> Director <input type="checkbox"/> Other Related Party <input type="checkbox"/>
Have this person's ID documents been provided to HSBC?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
Is this person a Key Controller solely by virtue of being a sole signatory? <i>(i.e. not a director)</i>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>

Full Name* <i>(Including middle names)</i>	4	5	6
Date of Birth*	DD / MM / YY	DD / MM / YY	DD / MM / YY
Passport/Identification No.			
Designation/Occupation*			
Country of Citizenship			
Country of Source of Wealth			
Residential Address*			
Permanent Address <i>(If different to Residential)</i>			
Management Role* <i>(Select all that apply)</i>	Key Controller <input type="checkbox"/> Direct Appointee <input type="checkbox"/> Power of Attorney <input type="checkbox"/> Executive Director <input type="checkbox"/> Director <input type="checkbox"/> Other Related Party <input type="checkbox"/>	Key Controller <input type="checkbox"/> Direct Appointee <input type="checkbox"/> Power of Attorney <input type="checkbox"/> Executive Director <input type="checkbox"/> Director <input type="checkbox"/> Other Related Party <input type="checkbox"/>	Key Controller <input type="checkbox"/> Direct Appointee <input type="checkbox"/> Power of Attorney <input type="checkbox"/> Executive Director <input type="checkbox"/> Director <input type="checkbox"/> Other Related Party <input type="checkbox"/>
Have this person's ID documents been provided to HSBC?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
Is this person a Key Controller solely by virtue of being a sole signatory? <i>(i.e. not a director)</i>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>

* Denotes Mandatory information for all connected parties

7. INTERMEDIATE OWNERS / PRINCIPLE SHAREHOLDERS / ULTIMATE PARENT

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

Mark this box if there are no intermediate owners/principle shareholders that own 10% or more of the business

Full Name of Intermediate Owner	Percentage of Ownership	Percentage of Voting Rights	City & Country of Incorporation	Country of Primary Business Operation	Listed	Regulated	Neither
	%	%			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	%	%			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	%	%			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	%	%			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	%	%			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	%	%			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	%	%			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	%	%			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	%	%			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	%	%			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	%	%			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Give details of the parent company (if applicable)

Name of parent company <input type="text"/>	Is the business part of a corporate group No <input type="checkbox"/> Yes <input type="checkbox"/>	Name of the corporate group <input type="text"/>
Name of Ultimate Parent Company <input type="text"/>	Ultimate Parent's Year of Incorporation <input type="text"/>	Ultimate Parent's Country of Incorporation <input type="text"/>

8. TRUSTS AND FOUNDATIONS

Is there a Trust or Foundation which owns 10% or more of the company banking with HSBC?

No Go to next question

Yes Give details below

Trust/Foundation	1	Foundation <input type="checkbox"/>	Trust <input type="checkbox"/>	2	Foundation <input type="checkbox"/>	Trust <input type="checkbox"/>	3	Foundation <input type="checkbox"/>	Trust <input type="checkbox"/>
Name of Trust/Foundation									
Percentage of Ownership		%		%		%			%
Country of Establishment									
Registered Address									
Is the Trust/Foundation listed or regulated?	Regulated <input type="checkbox"/>	Listed <input type="checkbox"/>	N/A <input type="checkbox"/>	Regulated <input type="checkbox"/>	Listed <input type="checkbox"/>	N/A <input type="checkbox"/>	Regulated <input type="checkbox"/>	Listed <input type="checkbox"/>	N/A <input type="checkbox"/>
Name of Exchange/Regulator									
What is the nature/purpose of the trust/foundation?									
Who is the appointor?									
Who contributed the major assets to the trust/foundation?									

9. ULTIMATE BENEFICIAL OWNERS (NATURAL PERSONS ONLY)

Give Details of any individuals (natural persons only) who, directly or indirectly, own 10% or more of the share capital of the business banking with HSBC, or who control the voting rights of 10% or more of the issued share capital.

Full Name (Including middle names)	1	2	3
Date of Birth	DD / MM / YY	DD / MM / YY	DD / MM / YY
Passport/Identification No.			
Nationality			
Country of Citizenship (if different)			
Residential Address			
Has this person had another address in the past 3 years?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
If Yes, what was the previous address			
Country of Source of Wealth			
Source of Wealth Description			
Percentage of Ownership	%	%	%
Percentage of Voting Rights (if different)	%	%	%

Full Name* (Including middle names)	4	5	6
Date of Birth	DD / MM / YY	DD / MM / YY	DD / MM / YY
Passport/Identification No.			
Nationality			
Country of Citizenship (if different)			
Residential Address			
Has this person had another address in the past 3 years?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
If Yes, what was the previous address			
Country of Source of Wealth			
Source of Wealth Description			
Percentage of Ownership	%	%	%
Percentage of Voting Rights (if different)	%	%	%

10. ADDITIONAL DOCUMENTATION TO BE PROVIDED

In addition to completing this form, please provide a certified copy, of the following documents for verification purposes

- Constitution (Memorandum and Articles of Association)²
- Certificate of Registration
- A document showing the chain of ownership (e.g. organisation chart or comparable document signed by a Director or Company Secretary) to the individuals whose ownership equals 10% or more (Ultimate Beneficial Owners).

For each intermediate Company in the chain this must include:

- Full legal name
- Ownership percentage
- City and Country of incorporation
- Country of operations (if applicable)

Note: There will be circumstances where the Bank will need to obtain additional information and documentation, as well as identify and verify additional parties, in particular Key Controllers and Beneficial Owners of 10% or more. Your Relationship Manager will advise accordingly.

- ¹ A certified copy is a copy of the original documentation which has been signed as a true and correct copy by an authorised person. The authorised person should also print their name, date and position and if possible affix an official stamp. Authorised persons include financial advisers, judges, magistrates, justices of the peace, lawyers/solicitors, police officers and chartered accountants, persons authorised as a notary public in a foreign country, and certain other persons prescribed under the Statutory Declarations Regulations 1993 (Australia)
- ² For Companies that have adopted the replaceable rules in lieu of a Constitution please provide a declaration to that effect.

11. DECLARATION

I hereby declare that:

1. I am authorised to complete this form on behalf of the Customer
2. The details included on this form are true and correct as at the date of signing
3. All documents provided by the Customer to verify information provided by the Customer are true and correct as at the date of signing
4. I acknowledge that the Bank will rely on the information provided in this form to determine whether to provide services to the Customer in compliance with the law.

Signature

Date

Name

Position

If this declaration is completed by a HSBC staff member on behalf of the customer, please confirm who at the company has been contacted to obtain the information, their position in the company, the date on which this was obtained and by what means? *i.e. Call/meeting in person/e-mail/written correspondence*

Bank Use Only

Important: this form is designed for the preliminary collection of information from the customer and is used prior to the completion of the account opening documentation.

Required Documents Collected (Constitution/Declaration, Certificate of Registration and Ownership Chart)	<input type="checkbox"/>
Risk Assessment Complete	<input type="checkbox"/>

Bank Officer's Name		Signature		Date Received
Position		HSBC Office		<input type="text" value="/ /"/>

12. 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, Settlers/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)	<p>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.</p> <p>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.</p>
Material change to business	<p>A material change may be defined as a substantial and continuing change to the business such as, but not limited to:</p> <ul style="list-style-type: none"> – 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.P

GLOSSARY OF TERMS *continued*

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	<p>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:</p> <ul style="list-style-type: none"> – 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: <ul style="list-style-type: none"> 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)	<p>Source of Funds refers to the source of the initial funds used at account opening, namely:</p> <ul style="list-style-type: none"> – What location the funds came from – What entity; and – How were the funds remitted
Source of Wealth (SoW)	<p>Initial Source of Wealth is the origin of initial capital injected to start the business / establish company assets.</p> <p>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.</p>
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.P