

Documentation Required by The AML Guideline
《打擊洗錢及恐怖分子資金籌集指引》要求文件

2014年5月1日起生效
Effective on 1 May 2014

Type 類別 A – Unlimited Company 無限公司	A1	A2
Required Documents 要求文件	Sole Proprietor 獨資公司	General Partner 合夥人公司
Application Form 申請表	✓	✓
Letter of Authorisation 授權書 (GP-AML1)	✓	✓
Copy of proof of Registered Office Address in place of incorporation (and proof of Business Address if different from Registered Address) (Financial planner/broker is required to obtain this record if it is not available in company search report or other submitted document) 公司成立地點之註冊地址(及公司營運地址如與註冊地址不同)證明文件副本(如未能於公司查冊報告或其他遞交之文件取得此項文件,財務策劃顧問/經紀需額外提供)	✓	✓
Copy of Business Registration ^{##} (BR) 商業登記證副本 ^{##}	✓	✓
For Sole Proprietor / Partners owning or controlling 10% or more of the voting rights, provide below information (Financial planner /broker is required to obtain these information if they are not available in other submitted document) 獨資公司持有人/持有或控制 10%或以上之投票權的合夥人的以下資料(如未能於其他遞交之文件取得此項資料,財務策劃顧問/經紀需額外提供): - Name, date of birth, nationality, ID* type and ID* number 姓名、出生日期、國籍、身份證*類別及身份證*號碼 - Residential address (and permanent address if different) 居住地址(及永久地址如與居住地址不相同)	✓	✓
ID* copies of 以下人士之身份證明文件*副本: - Sole Proprietor 獨資公司持有人 - Partners owning or controlling 10% or more of the voting rights 持有或控制 10% 或以上之投票權的合夥人 - Authorised Persons to represent the insured company to handle all insurance related matter with AIA Hong Kong 獲授權與友邦香港處理所有有關保險事宜的人士	✓	✓

Type 類別 B : Limited Companies 有限公司	B1	B2	B3	B4	B5
Required Documents 要求文件	HK Registered Company (Non-listed) 香港註冊有限公司 (非上市公司)	Overseas Company (Non-listed) 海外註冊公司 (非上市)	HK Company (Listed) ^(Note 1) 香港上市公司 ^(註 1)	Overseas Company (Listed) ^(Note 1) 海外上市公司 ^(註 1)	Financial Institution ^(Note 2) 金融機構 ^(註 2)
Application Form 申請表	✓	✓	✓	✓	✓
Letter of Authorisation 授權書 (GP-AML1)	✓	✓	✓	✓	✓
Copy of Business Registration ^{###} (BR) 商業登記證副本 ^{###}	✓	✓ (if applicable 如適用)	N/A	N/A	N/A
Beneficial Owner Data Form (GP-AML2) & Organisation Chart of the Corporate Applicant ^(Note 3) (if any of the shareholder is a Corporate) 實益擁有人資料表 (GP-AML2) 及以公司名義的組織架構圖 ^(註 3) (如任何股東身份為法團)	✓	✓	N/A	N/A	N/A
For individual shareholders with 10% or more issued share capital / voting right, provide below information (Financial planner/broker is required to obtain these information if they are not available in other submitted document): 個人股東如持有或控制 10%或以上已發行之股權/投票權的以下資料 (如未能於其他遞交之文件取得此項資料, 財務策劃顧問/經紀需額外提供):	✓	✓	N/A	N/A	N/A
- Name, date of birth, nationality, ID* type and ID* number 姓名、出生日期、國籍、身份證*類別及身份證*號碼					
- Residential address (and permanent address if different) 居住地址 (及永久地址如與居住地址不相同)					
ID* copies of 以下人士之身份證明文件*副本: - Individual shareholder with 25% or more issued share capital / voting right 個人股東如持有 25%或以上已發行之股權/投票權	✓	✓	N/A	N/A	N/A
ID* copies of 以下人士之身份證明文件*副本: - Authorised Persons to represent the insured company to handle all insurance related matter with AIA Hong Kong 獲授權與友邦香港處理所有有關保險事宜的人士	✓	✓	✓	✓	✓
Copy of Certificate of Incorporation (CI) 公司註冊證書副本	AIA HK	✓(Note 4) ^(註 4)	N/A	N/A	N/A
Copy of Memorandum & Articles of Association (M&A) 公司組織章程大綱及細則副本	AIA HK	✓(Note 4) ^(註 4)	N/A	N/A	N/A
Copy of proof of Registered Office Address in place of incorporation (and proof of Business Address if different from Registered Address) (Financial planner/broker is required to obtain this record if it is not available in other submitted document) 公司成立地點之註冊地址 (及公司營運地址如與註冊地址不同) 證明文件副本 (如未能於其他遞交之文件取得此項文件, 財務策劃顧問/經紀需額外提供)	AIA HK	✓(Note 4) ^(註 4)	N/A	N/A	N/A
Name of ALL Directors (Financial planner/broker is required to obtain these information if they are not available in company search report or other submitted document) 所有董事之姓名 (如未能於公司查冊報告或其他遞交之文件取得此項文件, 財務策劃顧問/經紀需額外提供)	AIA HK	✓	N/A	N/A	N/A

Type 類別 C – Others 其他	C1	C2	C3	C4	C5	C6	C7
Required Documents 要求文件	Government and Public Bodies 政府及公共機構	Societies 社團	Charitable Organisation 慈善機構	Trade Union 工會	School 學校	Religious Group 宗教團體	Joint Venture 合夥聯營商號
Application Form 申請表	✓	✓	✓	✓	✓	✓	✓
Letter of Authorisation 授權書 (GP-AML1)	✓	✓	✓	✓	✓	✓	✓
Copy of proof of Registered Office Address in place of incorporation (and proof of Business Address if different from Registered Address) (Financial planner/broker is required to obtain this record if it is not available in other submitted document) 公司成立地點之註冊地址 (及公司營運地址如與註冊地址不同) 證明文件副本 (如未能於其他遞交之文件取得此項文件, 財務策劃顧問/經紀需額外提供)	N/A	✓	✓	✓	✓	✓	✓
Copy of Certificate of Incorporation (CI) 公司註冊證書副本	N/A	N/A	✓	N/A	✓	N/A	✓
Copy of Business Registration ^{##} (BR) 商業登記證副本 ^{##}	N/A	✓	✓	✓	✓	✓	✓
Copy of Memorandum & Articles of Association (M&A) 組織章程大綱及細則副本	N/A	N/A	✓	N/A	✓	N/A	✓
Beneficial Owner Data Form (GP-AML2) & Organisation Chart of the Corporate Applicant (Note 3) (if any of the shareholder is a Corporate) 實益擁有人資料表(GP-AML2)及以公司名義的組織架構圖 ^(註3) (如任何股東身份為法團)	N/A	N/A	✓	N/A	✓	N/A	✓
Financial planner/broker should sight the Constitution and declare in the Letter of Authorisation 財務策劃顧問/經紀需閱覽該組織章程及於授權書上聲明	N/A	✓	✓	✓	✓	✓	Joint Venture Agreement 合夥聯營商號同意書
For individual shareholders with 10% or more issued share capital / voting right, provide below information (Financial planner/broker is required to obtain these information if they are not available in other submitted document) 個人股東如持有 10%或以上已發行之股權/投票權的以下資料 (如未能於其他遞交之文件取得此項資料, 財務策劃顧問/經紀需額外提供): - Name, date of birth, nationality, ID* type and ID* number 姓名、出生日期、國籍、身份證*類別及身份證*號碼 - Residential address (and permanent address if different) 居住地址 (及永久地址如與居住地址不相同)	N/A	N/A	✓	N/A	✓	N/A	✓
Names of ALL Directors (Financial planner/broker is required to obtain these information they are not available in other submitted document) 所有董事之姓名 (如未能於其他遞交之文件取得此項資料, 財務策劃顧問/經紀需額外提供)	N/A	N/A	✓	N/A	✓	N/A	✓
ID* copies of 以下人士之身份證明文件*副本: - Individual shareholder with 25% or more Issued share capital / voting right 個人股東如持有 25%或以上已發行之股權/投票權	N/A	N/A	✓	N/A	✓	N/A	✓
ID* copies of 以下人士之身份證明文件*副本: - Chairman / Supervisor 主席/主任	N/A	✓	✓	✓	✓	✓	N/A
ID* copies of 以下人士之身份證明文件*副本: - Authorised Persons to represent the insured company to handle all insurance related matter with AIA Hong Kong 獲授權與友邦香港處理所有有關保險事宜的人士	✓	✓	✓	✓	✓	✓	✓

C8 Owners as corporation 以持有人為企業: Documentation Requirement follows the legal form of the entity 所需文件將根據法定方式

- Note 註 1: Please ensure that the corporate applicant is a listed company in any stock exchange. Proof should be retained and documented with application form.
請確保投保企業乃於任何證券交易所上市之公司。有關證明應保留及妥存於申請書中。
- 註 2: Financial institution means authorised institutions regulated under HKMA, licensed corporation regulated under SFC, authorised insurer regulated under OCI, appointed insurance agent, authorised insurance broker, licensed money service operator or Postmaster General.
金融機構是指受香港金融管理局規管的認可機構，受證監會規管的持牌法團，受保險業監理處規管的認可保險公司，獲委任的保險經紀，認可保險中介人，持牌金錢服務經營者或郵政總長。
- 註 3: Organisation chart need to indicate (1) Name of company (2) Ownership Percentage (3) Place of Incorporation.
組織架構圖需顯示 (1) 公司名稱 (2) 擁有權百分比 (3) 公司註冊地。
- 註 4: The document should be certified by a professional third party including an Financial Institution, a lawyer, a notary public, an auditor, a professional accountant, a tax advisor, a trust or company service provider.
該文件應由專業第三者認證，包括金融機構、律師、公證人、核數師、專業會計師、稅務顧問、信託或公司服務提供者。

* HKID/ Macau ID, passport 香港/澳門身份證或護照

All submitted documents are valid for one year only 所遞交之文件的有效期為一年

"AIA HK" and "AIA Hong Kong" as used herein refers to AIA International Limited (Incorporated in Bermuda with limited liability).
「友邦香港」是指友邦保險(國際)有限公司(於百慕達註冊成立之有限公司)。