

Documentation Required by The Guidelines on Prevention and Combating Money Laundering and Financing of Terrorism in Insurance

2015 年 4 月 1 日 起生效
Effective on 1 April 2015

《預防及打擊透過保險活動清洗黑錢及資助恐怖主義的操作指引》要求文件

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-M-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)	✓	✓
Original of Informação por escrito do registo comercial (effective within three months from issue date) and its documents archived 商業登記書面報告之正本(發出日期起三個月內有效)及其存檔文件 OR 或 Copy of Declaração de Início de Actividade/Alterações da Contribuição Industrial (M/1) ^{##} if Informação por escrito do registo comercial is not available 如未能提供商業登記書面報告,則需提供營業稅開業/更改申報表(M/1)之副本 ^{##}	✓	✓
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: - Authorised Persons to represent the insured company to handle all insurance related matter with AIA Macau 獲授權與友邦澳門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
Required Documents 要求文件	Macau Registered Company 澳門註冊公司	Overseas Company (Non-listed) 海外註冊公司 (非上市)	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-M-AML1)	✓	✓	✓	✓
Original of Informação por escrito do registo comercial (effective within three months from issue date) and its documents archived 商業登記書面報告之正本(發出日期起三個月內有效)及其存檔文件 OR 或 Copy of Declaração de Início de Actividade/Alterações da Contribuição Industrial (M/1) ^{###} if Informação por escrito do registo comercial is not available 如未能提供商業登記書面報告, 則需提供營業稅開業/更改申報表 (M/1) 之副本 ^{###}	✓	Copy of BR ^{##} , CI ^(Note3) & company search report or comparable document if applicable 商業登記證副本 ^{##} , 公司註冊證書副本 ^(註3) 及公司查冊報告或類似文件(如適用)	Copy of BR ^{##} , CI ^(Note 3) & company search report or comparable document if applicable 商業登記證副本 ^{##} , 公司註冊證書副本 ^(註3) 及公司查冊報告或類似文件(如適用)	✓
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 Macau 獲授權與友邦澳門處理所有有關保險事宜的人士	✓	✓	✓	✓
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)	✓	✓(Note 3) ^(註3)	✓	✓
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)	✓	✓	✓	✓

Type 類別 C – Others 其他	C1	C2	C3	C4	C5	C6	C7
Required Documents 要求文件	Government and Public Bodies (Note 4) 政府及公共機構 (註 4)	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-M-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	✓	✓	✓	✓	✓	✓
Original of Informação por escrito do registo comercial (effective within three months from issue date) and its documents archived 商業登記書面報告之正本 (發出日期起三個月內有效) 及其存檔文件 OR 或 If Informação por escrito do registo comercial is not available, please provide 如未能提供商業登記書面報告, 則需提供: - Copy of Declaração de Início de Actividade / Alterações da Contribuição Industrial (M/1) ## 營業稅開業/更改申報表 (M/1) 之副本 ## OR 或 - Copy of Certificado ## 證明書副本 ## OR 或 - Copy of Alvará ## 執照副本 ##	✓	✓	✓	✓	✓	✓	✓ (Certificados or Alvará Not Applicable for this type of business) (證明書或執照並不適用於此類別)
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	Certificado de Associação 社團證明書	✓	✓	✓	✓	Joint Venture Agreement 合夥聯營商號同意書
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	✓ (if applicable) (如適用)	✓ (if applicable) (如適用)	✓ (if applicable) (如適用)	✓ (if applicable) (如適用)	✓ (if applicable) (如適用)	✓
For Chairman / Supervisor, provide below information (Financial planner/ broker is required to obtain these information if they are not available in other submitted document) 主席/主任的以下資料 (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
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 Macau 獲授權與友邦澳門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 insurers and banks regulated under AMCM in Macau. Proof should be retained and documented with application form.
金融機構是指受澳門金融管理局規管的保險公司及銀行。有關證明應保留及妥存於申請書中。
- 註 3: 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。
- 註 4: Proof should be retained and documented with application form.
有關證明應保留及妥存於申請書中。

* HK/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 Macau" as used herein refers to AIA International Limited (Incorporated in Bermuda with limited liability).
「友邦澳門」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)。