

Account Opening Document Checklist

Notes: This checklist is applicable to customers opening Business Checking Account and Business Savings Account (including Certificate of Deposit) with New York Branch

Please complete the following documents:

- **Account Opening Form (with all required Specimen Signatures)**

- **IRS Form: W-9 or W-8BEN-E or W-8BEN or W-8ECI**

Note: W-9: for use by a U.S. entity or U.S. citizen or resident
W-8BEN-E: for use by a foreign entity
W-8BEN: for use by a foreign individual
W-8ECI: for use by a foreign individual or entity claiming that income is effectively connected with the conduct of trade or business within the U.S. (unless claiming treaty benefits)

- **Bank Resolution by Corporation/Company**

Note: All authorized signatures and specimens have to be notarized or sign before China Merchants Bank officers. (If the customer cannot be present at the New York Branch to sign these forms in front of the account officer, they can have them notarized at their local notary.)

Please submit the following documents:

- **A signed and dated copy of Corporate Organizational Ownership Structure Chart**

Any company owned by a sole owner, the CV of the sole owner MUST be provided.

- **A copy of Certificate/Articles of Incorporation, or any other government-issued document evidencing the legal formation of the Company**

- **A copy of Annual Report or third-party independently audited financial statements for the past one year**

Note: For newly-established companies (less than 1 year old), if its financials are not available but its financial information is included in its related companies, please provide financials of the related company.

- **Copies of driver's license, passport or any other government-issued identification document for any individual owners having a 10% or greater stake in the corporation (in color or very clear black and white format)**

- **Copies of driver's license, passport or any other government-issued identification document of any authorized signatory (in color or very clear black and white format)**

- **One bank reference letter**

Note: For newly-established companies (less than 1 year old), if it does not hold an account with other banks but has related companies, please provide one bank reference letter of the related company.

Also, please make sure to read and acknowledge the following five documents in our Account Opening Package:

- 1) Customer Account Agreement
- 2) RMB Denominated Account Disclosure
- 3) UIGEA Notice
- 4) AML Notice
- 5) U.S. Consumer Privacy Notice

Miscellaneous:

- ❖ **Please email us the PDF version for review prior to mailing the original documents.**
- ❖ If the customer needs to order checks, please fill out the attached “Check Order Form”.
- ❖ If the customer needs to change/update their address, contact person, telephone number, etc., please fill out the attached “Change of Business Name, Address, Telephone or Fax Number Form”.
- ❖ If the customer needs to change their designated telephone verification designee(s), please fill out the attached “DESIGNATED TELEPHONE VERIFICATION DESIGNEE(S) (Change Form)”. (If the customer cannot be present at the New York Branch to sign these forms in front of the account officer, they can have them notarized at their local notary.) (Please email us the PDF version for review prior to mailing the original documents.)
- ❖ If the customer needs to change their authorized signatories, please resubmit a Bank Resolution by Corporation/Company and fill out the attached “SPECIMEN SIGNATURE SHEET (for Change of Authorized Signatory)”. (If the customer cannot be present at the New York Branch to sign these forms in front of the account officer, they can have them notarized at their local notary.) (Please email us the PDF version for review prior to mailing the original documents.)