

客户申请和尽职调查表

Application and KYC Form

日期 Date

PART I 申请公司信息 COMPANY INFORMATION

* 英文注册名称 English Registration Name

中文注册名称 Chinese Registration Name

其他商业名称 Tradenames / Doing Business As (DBAs) if Applicable

* 注册国家 Country of Incorporation

* 注册日期 Date of Incorporation

* 公司注册号码 Certificate No. of Incorporation

商业登记证号 Business Registration Certificate No

纳税人识别号 Tax ID

* 公司类别 Type of Business

☐ 信托类企业 Trust or Other Legal Arrangement

☐ 个人独资/个体户 Sole Proprietor /Sole Trader

☐ 合伙类企业 Partnership Company

☐ 有限责任公司 Private Company /Limited Liability Company

☐ 上市公司 Public Company

☐ 国有企业 State Owned Enterprise

☐ 其它 Others:

* 申请公司是否有其他银行账户? Does the applicant has any other bank account?

☐ 是 YES, 请输入开户银行 Please enter the Bank of deposit

☐ 否 NO

* 是否有关联公司在CBI开户? Is there any related company opening an account in CBI?

☐ 是 YES, 请输入公司名称 Please enter company name

☐ 否 NO

公司地址 Company Address

* 注册地址 Registered Address

注册地邮编 Registered Address Postal Code

* 经营地址 Operation Address <input type="checkbox"/> 同注册地址 Same With R.A <input type="checkbox"/> 其他地址 Other Address
经营地邮编 Operation Address Postal Code _____
* 通讯地址 Correspondent Address <input type="checkbox"/> 同经营地址 Same With Operation Address <input type="checkbox"/> 其他地址 Other Address
通讯地邮编 Correspondent Address Postal Code _____

PART II 商业信息 BUSINESS INFORMATION			
* 公司的经营时长 Years of Operation _____ 始于 Since _____			
* 员工人数 Number of Employees	注册地的员工人数 Number of Employees in Registration place <input type="checkbox"/> 1-10 <input type="checkbox"/> 10-50 <input type="checkbox"/> 50-100 <input type="checkbox"/> 100-500 <input type="checkbox"/> 500以上		
	经营地员工数 Number of Employees in Operation place <input type="checkbox"/> 1-10 <input type="checkbox"/> 10-50 <input type="checkbox"/> 50-100 <input type="checkbox"/> 100-500 <input type="checkbox"/> 500以上		
	如果贵公司隶属于集团, 请提供所属集团的员工人数 If your company is part of a group, please provide the number of employees of the group <input type="checkbox"/> 1-10 <input type="checkbox"/> 10-50 <input type="checkbox"/> 50-100 <input type="checkbox"/> 100-500 <input type="checkbox"/> 500以上		
公司是否有官方网址 Does the company has an official website <input type="checkbox"/> 是 YES, 请输入网址 Please enter the web address <input type="checkbox"/> 否 NO, 请说明原因 Please give the reason			
* 公司业务所属类别 Industry Code(可多选 Support multi-choice)			
<table style="width: 100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> 控股公司 Holding companies <input type="checkbox"/> 零售 Retail (如鞋子, 化妆品, 电子产品等) <input type="checkbox"/> 批发 Wholesale (如鞋子, 化妆品, 电子产品等) <input type="checkbox"/> 运输&物流 Transportation & Logistics <input type="checkbox"/> 教育服务 Educational services <input type="checkbox"/> 医疗服务 Medical services <input type="checkbox"/> 旅游、住宿和娱乐 Travel, Accommodation, & Entertainment <input type="checkbox"/> 电信及互联网服务 Telecom & Internet Utilities <input type="checkbox"/> 公用事业服务(如电力、煤气、暖气、供水等) Utility Services (such as Electric, Gas, Heating, Water services) <input type="checkbox"/> 制造 Manufacture <input type="checkbox"/> 金融与投资 Finance & Investment <input type="checkbox"/> 其他 (请说明) Others (Please specify) </td> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> 商务服务(如咨询、广告、承包服务) Business services (such as Consulting, Advertising, Contracted services) <input type="checkbox"/> 连锁经营 Chain business <input type="checkbox"/> 专业服务提供者(例如: 律师、会计师、医生或房地产经纪人) Professional service providers (for example: Lawyer, Accountant, Doctor or Real Estate Brokers) <input type="checkbox"/> 商店 Stores <input type="checkbox"/> 餐馆 Restaurants <input type="checkbox"/> 烟酒经销商 Cigarette & liquor distributors <input type="checkbox"/> 自动售货机运营商 Vending machine operators <input type="checkbox"/> 汽车经销商 Car dealers <input type="checkbox"/> 车库 Garages <input type="checkbox"/> 电商平台 E-commerce merchants </td> </tr> </table>		<input type="checkbox"/> 控股公司 Holding companies <input type="checkbox"/> 零售 Retail (如鞋子, 化妆品, 电子产品等) <input type="checkbox"/> 批发 Wholesale (如鞋子, 化妆品, 电子产品等) <input type="checkbox"/> 运输&物流 Transportation & Logistics <input type="checkbox"/> 教育服务 Educational services <input type="checkbox"/> 医疗服务 Medical services <input type="checkbox"/> 旅游、住宿和娱乐 Travel, Accommodation, & Entertainment <input type="checkbox"/> 电信及互联网服务 Telecom & Internet Utilities <input type="checkbox"/> 公用事业服务(如电力、煤气、暖气、供水等) Utility Services (such as Electric, Gas, Heating, Water services) <input type="checkbox"/> 制造 Manufacture <input type="checkbox"/> 金融与投资 Finance & Investment <input type="checkbox"/> 其他 (请说明) Others (Please specify)	<input type="checkbox"/> 商务服务(如咨询、广告、承包服务) Business services (such as Consulting, Advertising, Contracted services) <input type="checkbox"/> 连锁经营 Chain business <input type="checkbox"/> 专业服务提供者(例如: 律师、会计师、医生或房地产经纪人) Professional service providers (for example: Lawyer, Accountant, Doctor or Real Estate Brokers) <input type="checkbox"/> 商店 Stores <input type="checkbox"/> 餐馆 Restaurants <input type="checkbox"/> 烟酒经销商 Cigarette & liquor distributors <input type="checkbox"/> 自动售货机运营商 Vending machine operators <input type="checkbox"/> 汽车经销商 Car dealers <input type="checkbox"/> 车库 Garages <input type="checkbox"/> 电商平台 E-commerce merchants
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如果选择了“控股公司”，请提供其控股的子公司的业务类型

If your company is a holding company, pls choose your subsidiary's business industrial code

如果选择了“专业服务提供者”，请提供填写相应的专业的许可证号码并提供相应的许可证书

If you choose "Professional service providers", pls provide corresponding professional license No. and corresponding professional license

如果您选择了“电商平台”，请提供相应的电商平台名称及店铺名称/链接，如暂时没有，请提供预期的店铺名称和开店时间

If you choose "E-commerce merchants ", pls provide E-commerce merchants name and shop name/store website in platform.

If not yet, please provide the expected store name and opening time

如果您从事的行业从属于下列范围，很抱歉我们会对您做额外的尽职调查，您的申请将有可能被驳回

If you engaged in the following industries, CBI regret that we will do additional due diligence on you and your application may be rejected

☐ 不涉及以下行业 The following industries are not involved

☐ 房地产公司 Real Estate companies

☐ 基金/投资公司 Funds/Investment companies

☐ 保释债券代理/经销商 Bail Bonds agent/dealer

☐ 自动售货机运营商 Bail Bonds agent/dealer

☐ 第三方支付处理机构 Third Party Payment Processors

☐ 赌场 Casinos

☐ 私人所有的自动取款机 Privately owned ATMs

☐ 政党竞选活动 Political party campaign
空壳银行或空壳公司 Shell banks or companies

☐ 非银行金融机构(例如:储蓄机构、保险、现金服务机构、按揭公司/经纪、贵金属/珠宝交易商、证券/期货、发卡机构)Non-bank financial institutions
(for example: Depository Institutions, Insurance, MSBs, Mortgage Co/Broker, Precious metals/jewelry dealers, Securities/Futures, Card Issuer)

请列举贵公司业务经营的主要交易对手方（请分别列举前三位的汇入方和汇出方）

Please list the main counterparties in your business. (Pls separately list out top3 inward&outward remittance company)

* 汇入方公司名称 Inward Remittance Company name	* 国家 Country	* 业务往来产品/服务 Business products/services	* 交易比重% Percentage%

* 汇出方公司名称 Outward Remittance Company name	* 国家 Country	* 业务往来产品/服务 Business products/services	* 交易比重% Percentage%
* 主营业务收入 (美元) Business Operation Sales (In \$)			
去年 Last Fiscal Year	<input type="checkbox"/> 0 <input type="checkbox"/> <500K <input type="checkbox"/> 500K≤--<1M <input type="checkbox"/> 1M ≤--<5M <input type="checkbox"/> 5M ≤--<10M <input type="checkbox"/> >10M	预计明年 Estimated Coming Year	<input type="checkbox"/> <500K <input type="checkbox"/> 500K≤--<1M <input type="checkbox"/> 1M ≤--<5M <input type="checkbox"/> 5M ≤--<10M <input type="checkbox"/> >10M
* 公司经营的资金来源 Source of Business funds 注：如果贵公司是新注册公司，请选择您的初始资金来源 Note: If your company is a newly registered company, please select your initial funding source		<input type="checkbox"/> 股东的投资 Shareholder(s)' investment <input type="checkbox"/> 外国母公司或控股公司 Foreign Parent company or holding company <input type="checkbox"/> 信托基金 Trust funds <input type="checkbox"/> 风险投资基金 Venture Capital funds <input type="checkbox"/> 银行贷款 Bank Loan <input type="checkbox"/> 抵押贷款(从CBI) Mortgages(from CBI) <input type="checkbox"/> 营业利润 Business Profits	
* 请列举您的资金来源国家 Pls list out country of Funding source			
* 如果您的资金来源是来自于母公司，请提供您母公司的名字、以及资金是从哪些国家转入 If your source of funds is from the parent company, please provide the name of your parent company, and countries which the funds are transferred from			

* 是否存在关联公司?

Do you have any related company?

☐ 是 YES

☐ 否 NO

* 关联公司名称, 注册国家和经营国家范围 Related companies' Name, Registered countries, Operations countries

PART III 产品和服务 Products and Services

* 账户用途 Purpose of opening account	<input type="checkbox"/> 对外投资 Investment <input type="checkbox"/> 货款结算 Sales settlement <input type="checkbox"/> 服务费用结算 Services fees settlement <input type="checkbox"/> 储蓄 Deposits												
* 请选择您申请开立的服务类型 Pls select the services you request	<input checked="" type="checkbox"/> 网上银行 Internet Banking <input checked="" type="checkbox"/> 电子转账(国际) Electornic funds transfer (International) <input checked="" type="checkbox"/> 电子转账(国内) Electornic funds transfer (Domestic)												
* 请选择您申请开立的账户币种 Pls select the currency type you request	<input checked="" type="checkbox"/> 美元 USD												
预计账户的使用情况 Expected Transactions													
	<table><thead><tr><th>币种 currency</th><th>金额/次 Amount per Transaction</th><th>转账次数/月 Frequency per Month</th><th>国家 Country</th></tr></thead><tbody><tr><td>* 汇入 Inward TT</td><td></td><td></td><td></td></tr><tr><td>* 汇出 Outward TT</td><td></td><td></td><td></td></tr></tbody></table>	币种 currency	金额/次 Amount per Transaction	转账次数/月 Frequency per Month	国家 Country	* 汇入 Inward TT				* 汇出 Outward TT			
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PART IV 受益所有人/董事/授权签字人 信息 Shareholder /Director /Authorized Signatory

1. 控制层面: 受益所有权是在控制范围和所有权范围两种情况下确定的。在控制范围内, 受益所有人是指控制管理法人实体并对该法人实体负有重大责任的个人。

Control Prong: Beneficial ownership is determined under both a control prong and an ownership prong. Under the control prong, the beneficial owner is a single individual with significant responsibility to control, manage or direct a legal entity customer.

在控制范围内, 受益所有人是对控制、管理或指导一个法人实体负有重大责任的个人。

例如: 首席执行官、首席财务官、首席运营官、总裁, 或任何其他经常执行类似职能的个人。每个法人实体必须在控制层面下确定一个受益所有人。This includes, an executive officer or senior manager (Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, President), or any other individual who regularly performs similar functions. One beneficial owner must be identified under the control prong for each legal entity customer.

PART IV 受益所有人/董事/授权签字人 信息 Shareholder /Director /Authorized signatory

2. 所有权层面：根据所有权规定，受益所有人是指通过合同，协议，关系或其他方式直接或间接拥有法人实体25%或更多的股权的个人

Ownership Prong: Under the ownership prong, a beneficial owner is each individual, if any, who, directly or indirectly, through any contract, arrangement, understanding, relationship or otherwise, owns 25% or more of the equity interests or voting power of a legal entity customer

如果信托直接拥有或通过任何合同，安排，关系或其他方式间接获得法人实体客户25%或更多的股权或投票权，则实益拥有人为受托人。

If a trust owns directly or indirectly, through any contract, arrangement, understanding, relationship or otherwise, 25 % or more of the equity interests or voting power of a legal entity customer, the beneficial owner is the trustee.

受益所有人 Beneficial Owner				
* 姓名 NAME	* 证件号码 ID/Passport No	* 国籍 Nationality	* 出生日期 Date of Birth	* 持股百分比 % of Shareholding

董事 Director				
* 姓名 NAME	* 证件号码/注册号码 ID/Passport No , Cert. of Incorporation No	* 国籍/注册地 Nationality/Place of Incorporation	* 出生日期/注册日期 Date of Birth /Date of Incorporation	* 开始任职时间 Date of Appointment

账户协议签署人为董事会决议中列明的授权签字人。
The account agreement signatories are considered to be the authorized signatories on the Board Resolution

账户签署人 Account Agreement Signatory				
* 姓名 NAME	* 职位 Position	* 国籍 Nationality	* 联系电话 Telephone No	* 邮箱地址 E-mail

账户协议签署人为董事会决议中列明的授权签字人。
The account agreement signatories are considered to be the authorized signatories on the Board Resolution

Part V 问卷调查 Questionnaire	
<p>* 贵公司是否从事的业务会跟古巴、伊朗、北韩、苏丹(包括南苏丹)、叙利亚、克里米亚、塞瓦斯托波尔、白俄罗斯、布隆迪、中非共和国、刚果民主共和国、伊拉克、黎巴嫩、利比亚、马里、索马里、委内瑞拉、也门、津巴布韦、乌克兰、俄罗斯等国有关联(包括与上述国家直接或间接销售或采购、直接或间接收取从上述国家汇出的款项或汇出款项到上述国家)</p> <p>Whether your company (or the parent company/group companies) is doing any business with or in Cuba Iran, North Korea, Sudan (including South Sudan), Syria, Crimea, Sevastopol, Belarus, Burundi, Central African Republic, Republic of Congo, Irap, Lebanon, Libya, Mali, Somalia, Venezuela, Yemen, Zimbabwe, Ukraine, Russia (including direct/indirect sales to or direct/indirect purchases from these countries; or remittance to/receipt of funds from these countries either directly or indirectly)?</p>	<input type="checkbox"/> 是 YES <input type="checkbox"/> 否 NO
<p>* 贵公司是否直接或间接从事/处理任何用品或商品涉及国防、国防装备、危险品、武器、军火、军事、警备及军事辅助用途</p> <p>Whether your company is directly or indirectly dealing with any defense goods, defense equipment, lethal, potentially lethal, weapons, munitions, military, police and paramilitary?</p>	<input type="checkbox"/> 是 YES <input type="checkbox"/> 否 NO
<p>* 贵公司是否直接或间接在缅甸从事下列任何一项业务活动:</p> <p>a. 军火或军用武器交易 b. 翡翠、红宝石等珠宝交易</p> <p>I Does your company engage in any direct/indirect business activity that relates to any of the following in Myanmar</p> <p>a. military activities or dealings in arms b. jadeite, rubies or any item which includes these goods (such as jewelry)</p>	<input type="checkbox"/> 是 YES <input type="checkbox"/> 否 NO

<p>* 贵公司是否有持有25%(含)以上股份的受益人在受制裁的国家/地区进行商业交易情况</p> <p>Is your company owned 25% or more by any person/entity that has any Dealings involving a Sanctioned Country/Territory or a Country Subject to an Extensive Sanctions Regime</p>	<input type="checkbox"/> 是 YES <input type="checkbox"/> 否 NO
<p>* 请问贵公司的受益所有人是否在政府机构或国际组织中担任重要的公职或职能。(如：政治敏感人物)</p> <p>Whether any beneficial owners ^[1] hold a prominent public position or function in a government body or an international organization (i.e. is a politically exposed person (PEP) ^[2]</p>	<input type="checkbox"/> 是 YES <input type="checkbox"/> 否 NO
<p>* 请问有任何实益拥有者是PEP的直系亲属或亲密伙伴吗?</p> <p>Are any beneficial owners an immediate family member ^[4] or close associate ^[5] of a PEP? Please write yes or no.</p>	<input type="checkbox"/> 是 YES <input type="checkbox"/> 否 NO
<p>* 贵公司是否有因任何洗钱和/或恐怖主义融资活动而被起诉。</p> <p>Whether your company has been prosecuted for any money laundering and/or terrorism financing activity.</p>	<input type="checkbox"/> 是 YES <input type="checkbox"/> 否 NO
<p>* 贵公司是否有不良的犯罪或监管违规历史</p> <p>Whether your company has adverse criminal or regulatory history</p>	<input type="checkbox"/> 是 YES <input type="checkbox"/> 否 NO
<p>* 贵公司是否有资质发行不记名股票。</p> <p>Whether your company is qualified to issue bearer shares?</p>	<input type="checkbox"/> 是 YES <input type="checkbox"/> 否 NO
<p>* 贵公司是否发行了不记名股票</p> <p>Whether your company issued bearer shares?</p>	<input type="checkbox"/> 是 YES <input type="checkbox"/> 否 NO
<p>* 贵公司是否有任何股东出现在"美国财政部海外资产控制办公室"的名单上。</p> <p>Whether any shareholder of your company appears on the OFAC7 list.</p>	<input type="checkbox"/> 是 YES <input type="checkbox"/> 否 NO
<p>* 贵公司是否直接或者间接从事裸钻类相关业务?</p> <p>Whether your company engaged in any direct/indirect business activity that relates Rough Diamond ?</p>	<input type="checkbox"/> 是 YES <input type="checkbox"/> 否 NO
<p>* 贵公司是否被裁定破产且尚未结算完成</p> <p>Whether your company has ever been adjudged bankrupt and not yet been discharged</p>	<input type="checkbox"/> 是 YES <input type="checkbox"/> 否 NO

如果您上述问题中有“是”的回答，请您在下栏中提供详情。（关于“政治敏感人物”相关问题的回答要求，请参考注释^[3]）
If your answers for any of the above questions is “Yes”, please provide details in the following column. (Please refer to note3 for answer requirement about questions related to "politically exposed persons")

客户签字区域 Customer Signature Part

* 以上资料均为真实及完整,并由本人提供予CB International Bank作开户所用,日后若有更改,需尽快通知银行。若因发生变更未及时通知银行产生的一切损失由我负责。

I/We confirm the information provided above is true and complete to my/our best knowledge, and further undertake to notify the Bank promptly in writing upon significant change. I understand those information is used for considering the opening of the new account only. If I do not notify the Bank promptly in writing upon significant change, I will responsible for all the losses.

授权签署人:Authorized Signatory:

签字时间:Date:

授权签署人:Authorized Signatory:

签字时间:Date:

*注： 以下是银行内部填写区域
*Note: the following area is for internal use only

客户经理填写 FOR CLIENT MANAGER ONLY			
见证人1 Witness1	签字: Signature:	日期: Date:	

银行专用栏 BANK USE ONLY			
初审人 KYC Maker	审核结果: Declaration:	签字: Signature:	日期 Date:
复核人 KYC Checker	审核结果: Declaration:	签字: Signature:	日期 Date:
合规官意见 Compliance Officer	审批意见: Declaration:	签字: Signature:	日期 Date:
银行负责人 Head of Bank	审批意见: Declaration:	签字: Signature:	日期 Date: