



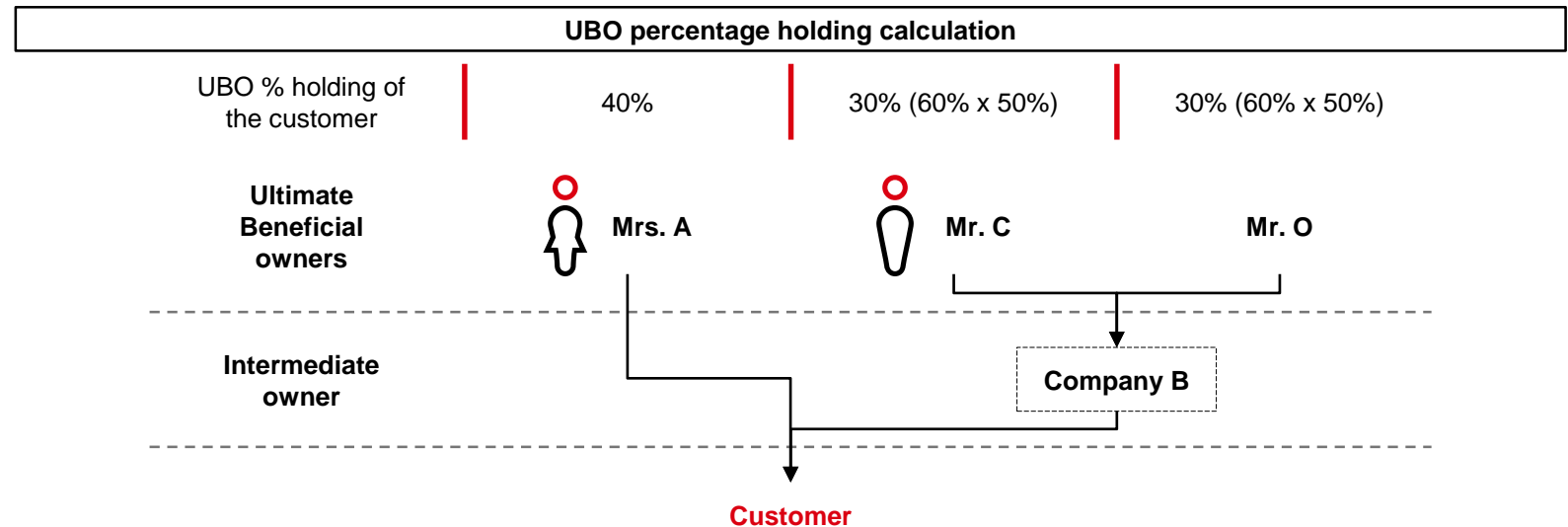


# Customer Documentation Guide

The following guide is intended to support HSBC UK Business customers who are participating in the HSBC Safeguard process. The guide provides information as to the documentation that may be required depending on the customer's type of business.

Customer Type	Documentation that may be required
 <b>Sole Traders</b>	 Identification Document which verifies – Full Name, Date of Birth and Residential Address. See ' <a href="#">Documents and certification</a> ' for details of the types of documentation that are accepted.
 <b>Corporate and Partnerships</b>	 <b>Ultimate Beneficial Owner</b> – Full Name, Date of Birth, Residential Address and Nationality. Identification Document which verifies Full Name & Date of Birth or Residential Address (Passport or Driving Licence). <b>A Ultimate Beneficial Owner is</b> Any individual who owns 25% of the shares (including through Bearer Share holdings or other means), voting rights, capital, profits, or property in an Entity

**Ownership Structure** – Details of Ultimate Beneficial Owners who own 25% or more of the business.



# Customer Documentation Guide (cont'd)

**Controller** – Full Name, Date of Birth, Residential Address and Nationality. Identification Document which verifies Full Name & Date of Birth or Residential Address (Passport, Full Driving Licence).

**A Controller is** – Any individual / individuals who holds the right directly or indirectly, to appoint or remove the majority of the board of directors or members of the equivalent management body of an Entity; or any individual/s who holds significant responsibility or ability to, directly or indirectly, conduct, manage or direct the affairs of the Entity.

**Senior Responsible Manager** – Full Name, Date of Birth, Residential Address and Nationality. Identification Document which verifies Full Name & Date of Birth or Residential Address (Passport, Full Driving Licence).

**Senior Responsible Manager is** – A Senior Responsible Manager is an individual treated as the beneficial owner of an Entity when all means of identifying the Ultimate Beneficial Owner have been exhausted. The Senior Responsible Manager is the senior person in an Entity responsible for managing its activities



**Trusts (including Charitable Trusts)**



**Trust Deed**

**Settlor(s)** – Full Name, Date of Birth, Residential Address and Nationality - Identification Document which verifies Full Name & Date of Birth or Residential Address (Passport or Full Driving Licence or National ID Card).

**Trustee(s)** – Full Name, Date of Birth, Residential Address and Nationality - Identification Document which verifies Full Name & Date of Birth or Residential Address (Passport, Driving Licence or National ID Card).

**Beneficiary(s)** – Full Name, Date of Birth, Residential Address and Nationality - Identification Document which verifies Full Name & Date of Birth or Residential Address (Passport, Driving Licence or National ID Card).



**Not for Profit Organisations**



**Trustee(s) & Managing Members** – Full Name, Date of Birth, Residential Address and Nationality. Identification Document which verifies Full Name & Date of Birth or Residential Address (Passport, Full Driving Licence or National ID Card).

**Note:** Identification of trustees/Managing Members is only required for those which are considered Key Controllers.



**Executor Accounts**



Copy of the Will (If no Will exists, obtain copy of the Letter of Administration) OR Grant of Probate

Copy of the death certificate (if not available, a government source can be used as evidence of death)