



For Office Use:

Date: _____

Customer CIF No: _____

Customer A/C No: _____

Account Opening Form (for Individuals Only)

Individual Applicant		☐ Sole	☐ Joint	☐ POA
☐ Dr. ☐ Mr. ☐ Ms. ☐ Mrs. ☐ Other				
Have you ever changed your name: ☐ Yes ☐ No (If yes, please provide all your previous names and supporting proof)				
Nationality:		If Dual Nationality (otherwise N/A):		
Mobile:		Email Address:		
Residential address:				
Business / Occupation:		Source of Income/Wealth/Fund:		
Please provide proof of latest residence				
Services Required ☐ E-Mail Alerts ☐ Account Statement ☐ Cheque Book ☐ ☐ ☐ Self pick-up ☐ Courier (office/residence)				
Please state if you or your Immediate family (spouse, domestic partners, parents, siblings, children (step, natural or adopted), in laws and grandparents or close business associations.) or your authorized signer(s) is/are currently or previously holding a senior position in any city government, local or central government, public bodies, military, legislature, judiciary, major political party, major non-governmental organization. ☐ No ☐ Yes, Please specify				
Do you have any family relative currently working as employees or directors of UCO Bank? ☐ No ☐ Yes, Please specify				
☐ I declare that I am not bankrupt and/or will inform UCO BANK HONG KONG if there is any bankruptcy pending against me initiated. I understand that the closure proceeds of my fixed deposit/s will be made in my own account. The opening and maintaining an account is subject to you to provide UCO BANK HONG KONG with correct and updated information, including but not limited to personal information, financial information, or other information related to you, family, business associates, connected parties, employment or business. You are obliged to keep the contact details such as mailing address, email and other information up-to-dated with the UCO BANK HONG KONG. The UCO General Terms and Conditions shall governing agreement together with relevant fees and charges, please read this document carefully before signing as it will be binding.				
Please find the enclosed Personal Information Collection Statement ("PICS") in compliance with the notification requirements of the Personal Data (Privacy) Ordinance (Cap.486) (the "PDPO"). You are advised to read it carefully as it sets out the policies and practices of the UCO BANK HONG KONG regarding your personal data (as defined in the PDPO), the purposes for which the UCO BANK HONG KONG may collect and use your personal data and the persons to whom your personal data may be transferred.				
You can lodge/register your complaint/feedback by calling branch and visiting branch. In writing (such as email) to branch. You may lodge your complaint to the Complaint Unit of HKMA. All complaints received will be recorded by the Bank in a register maintained by the Chief Operating Officer, who is the nodal officer for complaints handling at the branch. (For more information, please visit our bank website https://ucobankhongkong.com).				
Customer Signature:		Date:		



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Self-Certification Form - Automatic Exchange of Information (AEOI)-Individual

Important Notes:

- This is a self-certification form provided by an account holder to UCO BANK HONG KONG for the purpose of automatic exchange of financial account information. The data collected may be transmitted by UCO BANK HONG KONG to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- An account holder should report all changes in his/her tax residency status to UCO BANK HONG KONG.
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by UCO BANK HONG KONG to the Inland Revenue Department.

For joint or multiple account holders, complete a separate form for each individual account holder.

Part 1

Account Number / Customer Number :			
Full Name (as per HKID / Passport)*:			
HKID No.:		Passport: ☐ Yes ☐ No	(if yes, detail below)
Passport Number		Place of Issue	
Issue Date	D	Expiry Date	D
Date of Birth*	D		
Place of Birth / Country:	Town/City:	Province/State:	Country:
Current Residence Address*			
Mailing Address ☐ Same as above	(if different from above):		

Part 2

Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") *

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide the appropriate reason A, B or C:

Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

Reason B – The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

S/N	Jurisdiction of Residence	TIN	Enter Reason A, B or C if no TIN is available	Explain why the account holder is unable to obtain a TIN if you have selected Reason B
(1)				
(2)				
(3)				

Customer Signature:		Date:	
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For Office Use:

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Customer CIF No: _____

Customer A/C No: _____

Part 3

Declarations and Signature

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by UCO BANK HONG KONG for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by UCO BANK HONG KONG to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

I certify that I am the account holder / I am authorized to sign for the account holder # of all the account(s) to which this form relates.

I undertake to advise UCO BANK HONG KONG of any change in circumstances which affects the tax residency status or causes the information contained herein to become incorrect, and to provide UCO BANK HONG KONG with a suitably updated self- certification form within 30 days of such change in circumstances.

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

Customer Signature:

Date:

Full Name: _____

Capacity: _____

(Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attach a certified copy of the power of attorney.)

Delete as appropriate

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).



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Self-Certification Form (Individual) for FATCA

To comply with the US Foreign Account Tax Compliance Act ("FATCA") which is effective starting 1 July 2014, this certificate is to be used by new accounts applicants and account holders (individual) to declare whether the person is a U.S. person under the "FATCA" enacted in the United States on or after the effective date of FATCA.

Customer Name (Please complete in English Block Letter)

Identification Document Type ☐ HKID Card ☐ Passport ☐ Other Document No. _____

Place of Birth _____

Date of Birth _____

Declaration of Tax Residency

I hereby confirm that I am, for tax purposes, resident in the following countries (indicate the tax reference number type and number applicable in each country):

Country/countries of tax residency	Tax reference number type	Tax reference number

I am a U.S. person (including a U.S. Resident / U.S. Permanent Resident / U.S. Green Card Holder / U.S. Resident Alien)#

☐ Yes

☐ No

If you tick "Yes" to the Question, please provide your U.S. Taxpayer Identification No. (TIN):

U.S. Taxpayer Identification No.

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If you were born in U.S. but in this form you declare that you are not a U.S. person, please also provide us with a Certification of Loss of Nationality of the United States.

Declaration

I hereby confirm the information provided above is true, accurate and complete. I undertake to notify the BANK WITHIN 30 calendar days if there is a change in any information which I have provided to the Bank.

Subject to applicable local laws, I hereby consent for UCO Bank Hong Kong Branch or any of its local or oversea subsidiaries (collectively "the Bank") to disclose, report, or share any information with local and overseas regulators where necessary to establish my tax liability in any jurisdiction.

Where required by local or overseas regulators or tax authorities, I consent and agree that the Bank may withhold from my account(s) such amounts as may be required according to applicable laws, regulations and directives.

I undertake to fully cooperate with the Bank to ensure it meets its obligations under applicable laws, regulations and directives in connection with my account(s).

The following certification is applicable for U.S. person (i.e. you have ticked "Yes" in the relevant question above) only:

Under penalty of perjury, I certify that:

- The number shown on this form is my correct U.S. Taxpayer Identification Number ;
- I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the U.S. Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the U.S. IRS has notified me that I am no longer subject to backup withholding ; and
- I am a U.S. citizen or other U.S. person.

For a U.S. person, you are required to provide the certifications contained in the above paragraph. The U.S. IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholdings.

Please specify an account number with the Bank to which the above signature is applicable: _____

Customer Signature:

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Date:

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