banks instruments

Client Application and KYC KYB Checklist

Banks Instruments Limited | Hong Kong | Draft Template - Not for Execution

Regulatory capacity: any regulated activity described in this template must be performed only under the verified licence or exemption [INSERT], or by the named licensed third-party provider [INSERT]. Any security amount is contractual transaction security under definitive documents and is not a bank deposit or customer deposit with Banks Instruments Limited.

Purpose of this application

This application provides Banks Instruments Limited, with the information required to evaluate a prospective client and the proposed transaction. Submission does not create an obligation to accept an engagement, arrange an instrument, provide funding or reserve capacity. Review begins only after the applicant supplies all information reasonably requested for customer due diligence, sanctions screening, source of funds review and transaction assessment.

Company information

- Legal name: [INSERT]
- Trading name: [INSERT]
- Place and date of incorporation: [INSERT]
- Company registration number: [INSERT]
- Registered address: [INSERT]
- Principal business address: [INSERT]
- Website: [INSERT]
- Nature of business and principal products or services: [INSERT]
- Countries of operation: [INSERT]
- Number of employees: [INSERT]
- Annual turnover and reporting currency: [INSERT]
- Tax residence and tax identification number: [INSERT]
- Regulatory status, if applicable: [INSERT]

Authorized contact

- Full legal name: [INSERT]
- Title: [INSERT]
- Business email: [INSERT]
- Telephone: [INSERT]
- Residential address: [INSERT]
- Nationality and date of birth: [INSERT]

- Authority to act for the applicant: [DIRECTOR RESOLUTION POWER OF ATTORNEY OTHER]

Ownership and control

List every direct or indirect shareholder, partner or other person holding or controlling 10 percent or more of the applicant, together with every person who otherwise exercises effective control.

Full legal name	Ownership or control	Nationality or jurisdiction	Date of birth or registration	PEP status
[INSERT]	[INSERT]	[INSERT]	[INSERT]	[YES NO]

Provide a complete ownership chart through to the ultimate beneficial owners. If a trust, foundation, nominee or similar arrangement appears in the structure, identify its settlor, trustee, protector, beneficiaries and other controlling persons.

Transaction request

- Requested service: [SBLC BG MTN LTN BANK DRAFT SKR CSKR KTT MT103 POF BLOCKED FUNDS MONETIZATION PROJECT FINANCE ACCOUNT OPENING PAYMASTER ESCROW OTHER]
- Requested role: [LEASE PURCHASE ISSUE RECEIVE MONETIZE FINANCE VERIFY OTHER]
- Currency and face value: [INSERT]
- Proposed issuing institution and country, if known: [INSERT]
- Proposed receiving or monetizing institution and country, if known: [INSERT]
- Desired transmission or settlement method: [SWIFT EUROCLEAR OTHER]
- Commercial purpose: [INSERT]
- Target completion date and reason for deadline: [INSERT]
- Names and roles of all brokers, introducers, beneficiaries and counterparties: [INSERT]
- Expected fees and commissions, including payees: [INSERT]

Source of funds and source of wealth

Describe how the applicant accumulated the wealth supporting the transaction and identify the immediate source of every payment. Attach bank statements or equivalent evidence showing the origin and current availability of funds. Funds from undisclosed third parties, cash intensive activity, anonymous assets or sources that cannot be independently verified may be rejected.

- Source of wealth: [INSERT]
- Source of transaction funds: [INSERT]
- Funding bank, account name and country: [INSERT]
- Relationship between payer and applicant: [INSERT]
- Expected incoming and outgoing payment amounts: [INSERT]

Required documents

Entity documents

- Certificate of incorporation and current business registration
- Constitutional documents and current register of directors and shareholders
- Certificate of incumbency or equivalent, if available
- Group ownership chart signed by a director
- Board resolution authorizing the application and designated signatory
- Proof of registered and operating address
- Most recent audited accounts or management accounts
- Recent bank statement in the applicant's name
- Relevant business or financial services licences

Individual documents

- Certified passport or national identity document for directors, signatories and beneficial owners
- Proof of residential address dated within three months
- Curriculum vitae or professional profile when requested
- Tax identification information
- Explanation and supporting evidence for any politically exposed person status

Transaction documents

- Draft instrument wording and proposed delivery instructions
- Proof of funds or bank comfort evidence, where requested
- Corporate resolution approving the transaction
- Underlying commercial agreement, project documents or use of proceeds schedule
- Broker mandates, fee protection instruments and commission schedules
- Any prior correspondence with the proposed issuing, receiving or monetizing institution

Applicant declarations

The applicant represents that all information supplied is complete, accurate and not misleading; that it acts for its own lawful account unless every principal has been disclosed and accepted; and that the proposed transaction is not connected with money laundering, terrorist financing, sanctions evasion, tax evasion, bribery, fraud or any other unlawful purpose.

The applicant authorizes Banks Instruments Limited and its approved compliance providers to verify submitted information, contact references and institutions, conduct screening and obtain information from lawful public and private sources. The applicant will promptly disclose any material change.

The applicant understands that indicative terms, illustrations, communications and preliminary reviews are not commitments. Any service is subject to due diligence, availability, separate

definitive documentation and satisfaction of all conditions stated in the applicable transaction schedule.

Certification and signature

For and on behalf of the applicant:

- Legal name: [INSERT]
- Authorized signatory: [INSERT]
- Title: [INSERT]
- Signature: [INSERT]
- Date: [INSERT]

Submit the completed package only through the approved secure upload channel. The address compliance@banksinstruments.com may be used for non-sensitive procedural questions, but identity documents, bank statements and transaction records must not be sent through ordinary email.