

# Zurich International Group Risk Solutions

Required information and documents for customer due diligence (CDD)/simplified due diligence (SDD) for Hong Kong only

		Corporate		Partnership and unincorporated body		Sole Proprietorship		Trust or other similar legal arrangement		Financial institution		Government Bodies		Listed companies	
		NB	RNW	NB	RNW	NB	RNW	NB	RNW	NB	RNW	NB	RNW	NB	RNW
1	Copy of Certificate of incorporation/Certificate of incumbency	Certified True Copy is Required	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
2	Copy of latest Business Registration <sup>b</sup>	Certified True Copy is Required	☐	Certified True Copy is Required	☐	Certified True Copy is Required	☐	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
3	Copy of memorandum and articles of association	Certified True Copy is Required	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
4	Details of ownership & structure which shown the ultimate beneficial owners (if any)	✓	n/a – if there was no change	✓	n/a – if there was no change	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
5	Board resolution (if any) and authorization signatory form	✓	n/a – if there was no change	✓	n/a – if there was no change	☐	n/a – if there was no change	☐	n/a – if there was no change	✓	n/a – if there was no change	✓	n/a – if there was no change	✓	n/a – if there was no change
6	ID copies /Passport copies of all authorized persons	Certified True Copy is Required	n/a – if there was no change	Certified True Copy is Required	n/a – if there was no change	Certified True Copy is Required	n/a – if there was no change	Certified True Copy is Required	n/a – if there was no change	Certified True Copy is Required	n/a – if there was no change	Certified True Copy is Required	n/a – if there was no change	Certified True Copy is Required	n/a – if there was no change
7	Partnership deed	n/a	n/a	Certified True Copy is Required	n/a – if there was no change	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
8	Trust deed or similar instrument	n/a	n/a	n/a	n/a	n/a	n/a	Certified True Copy is Required	n/a – if there was no change	n/a	n/a	n/a	n/a	n/a	n/a
9	The identity of all Directors/partners <sup>c</sup>	✓	n/a – if there was no change	✓	n/a – if there was no change	✓	n/a – if there was no change	n/a	n/a	✓	n/a – if there was no change	✓	n/a – if there was no change	✓	n/a – if there was no change

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		NB	RNW	NB	RNW	NB	RNW	NB	RNW	NB	RNW	NB	RNW	NB	RNW
10	The identity & address of all beneficial owners holding 25% or more of the voting rights or share capital <sup>a+c+d</sup>	✓	n/a – if there was no change	✓	n/a – if there was no change	✓	n/a – if there was no change	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
11	ID copies/Passport copies of persons with 25% or more of the voting rights or share capital	Certified True Copy is Required	n/a – if there was no change	Certified True Copy is Required	n/a – if there was no change	Certified True Copy is Required	n/a – if there was no change	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
12	The identity & address of all individual who exercises ultimate control over the management of the group <sup>a+c+d</sup>	✓	n/a – if there was no change	✓	n/a – if there was no change	✓	n/a – if there was no change	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
13	ID copies/Passport copies of all individual who exercises ultimate control over the management of the group	Certified True Copy is Required	n/a – if there was no change	Certified True Copy is Required	n/a – if there was no change	Certified True Copy is Required	n/a – if there was no change	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
	Remarks									Financial Institutes authorized by HK Monetary Authority, or Securities & Futures Commissioner Please provide License/Registration no.	Financial Institutes authorized by HK Monetary Authority, or Securities & Futures Commissioner Please provide License/Registration no.	Proof of Public Body status (requirement 1 or 2 above) Please provide name of governing authority, the respective jurisdiction and registration number/ license number.	Proof of Public Body status (requirement 1 or 2 above) Please provide name of governing authority, the respective jurisdiction and registration number/ license number.	Proof of listed status on stock exchange Please provide stock code under Hong Kong Stock Exchange	Proof of listed status on stock exchange Please provide stock code under Hong Kong Stock Exchange

The above table summarizes the required information and documents for customer due diligence (CDD). Further information or documents may be requested by Zurich.

NB = New Business

RNW = Renewal

- a) Beneficial Owner(s) in relation to a corporation, partnership and incorporated body or trust, means an individual who fulfils any of the following criteria:
- owns or controls, directly or indirectly, not less than 25% of the issued share capital of the corporation/ share of the capital or profits of the partnership/capital of the trust property; or
  - is, directly or indirectly, entitled to exercise or control the exercise of no less than 25% of the voting rights at general meetings of the corporation/in the partnership; or
  - exercises ultimate control over the management of the corporation/partnership; or
  - settlor, protector or enforcer, in case of trust; or
  - if the policyowner is acting on behalf of another person, means the other person.
- b) The documents must be **valid (must be less than 12 months old at point of application) and the document must be either originals or certified as true copies by a suitable certifier.**

For certified true copied documents, suitable certifiers will fall into the following categories.

- A regulated introducer, based in a FATF country (recognized jurisdiction).
- A notary public, lawyer or an embassy official (from the country who issued the document).
- An individual employed by an introducer who has been approved by Zurich to act as a suitable certifier.
- An accountant who must be a member of an institute of professional organization.
- An authorized employee of the Zurich group.

The phrase **'I certify that this is a true copy of the original'** should be written on, or with, all certified documents. Please include all information below.

- Signature of certifier.
- Full name of certifier (in **capital** letters underneath the certifier's signature).
- Position/job title – Company name, address and telephone number.
- Date.
- Registration number (if applicable).

c) Please complete the separate Directors', partners' and beneficial owners' form

d) With reference to section 3.5 of the Guideline on Anti-Money Laundering and Counter-Terrorist Financing, if the country/ customer risk is high, ID/Passport Certified True copies & address proof of persons with 10% or more of the voting rights or share capital are required to be provided.

Note: Company Search will be completed by Zurich International Life Limited for Corporate case only.

## Important information

Zurich Integrated Benefits is a business name of Zurich International Life Limited.

Zurich International Life Limited is authorised under the Isle of Man Insurance Act 2008 and is regulated by the Isle of Man Financial Services Authority which ensures that the company has sound and professional management and provision has been made to protect planholders.

For life assurance companies authorised in the Isle of Man, the Isle of Man's Life Assurance (Compensation of Policyholders) Regulations 1991 (as amended), ensure that in the event of a life assurance company being unable to meet its liabilities to its planholders, up to 90% of the liability to the protected planholders will be met.

The protection only applies to the solvency of Zurich International Life Limited and does not extend to protecting the value of the assets held within any unit-linked funds linked to your plan.

Zurich International Life Limited is not authorised to offer insurance products for sale in the United States.

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Zurich International Life Limited, Hong Kong branch, registered in Hong Kong (Registration No. F-3667) on 1 October 1986 as a non-Hong Kong incorporated company.

Registered office: 25-26/F, One Island East, 18 Westlands Road, Island East, Hong Kong.  
Telephone +852 3405 7150

Zurich International Life Limited (a company incorporated in the Isle of Man with limited liability) provides life assurance, investment and protection products and is authorised by the Isle of Man Financial Services Authority.

Registered in the Isle of Man number 020126C.

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