

Bank of China (Australia) Limited ABN 28 110 077 622 (the Bank) use only		Date:
Customer name:		CIF number:
<b>Please tick (✓) the appropriate box below.</b>		
Account Holder:	<input type="checkbox"/> <b>New Customer</b> - complete Sections 1 to 5.	
	<input type="checkbox"/> <b>Existing Customer</b> – complete Sections 2 to 5 and update any personal information required in section 1.	
<input type="checkbox"/> <b>Authorised Person</b> – complete Sections 1, and 5 only and complete a “Third Party Authorisation by Individual Customer” form.		
I hold the following concession cards (✓): <input type="checkbox"/> Commonwealth Seniors Health Card <input type="checkbox"/> Health Care Card <input type="checkbox"/> Pensioner Concession Card		
Do you identify as Aboriginal or Torres Strait Islander? <input type="checkbox"/> Yes <input type="checkbox"/> No		
<b>Section 1: General information</b>		
Title		
<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/> Miss <input type="checkbox"/> Others (please specify):		
Full given name		Last name
Date of birth	Country/Region of birth	Nationality (Country/Region)
<b>Residential address</b> (PO Box is NOT accepted)		
Street		
Suburb	State	Postcode
Country/Region		
<b>Correspondence address</b> (Leave it blank if same as residential address)		
Street		
Suburb	State	Postcode
Country/Region		
<b>Contact details</b>		
Mobile		Email
Home phone		Work phone
<b>Employment status</b>		
<input type="checkbox"/> Employed <input type="checkbox"/> Self-employed <input type="checkbox"/> Unemployed <input type="checkbox"/> Retired		
Name of Employer/Business (If self-employed)		Industry/Nature of Business
		Occupation
<b>Source of wealth</b> (Select all that apply)		
<input type="checkbox"/> 1 Business income	<input type="checkbox"/> 2 Inheritance	<input type="checkbox"/> 3 Self-employment income
<input type="checkbox"/> 4 Retirement income	<input type="checkbox"/> 5 Personal savings	<input type="checkbox"/> 6 Sales of asset(s)
<input type="checkbox"/> 7 Salary	<input type="checkbox"/> 8 Support payments	<input type="checkbox"/> 9 Others. Please specify: _____
<b>Personal annual income</b> (AUD)		
<input type="checkbox"/> 0-35,000	<input type="checkbox"/> 35,001-55,000	<input type="checkbox"/> 55,001-80,000
<input type="checkbox"/> 80,001-150,000	<input type="checkbox"/> Over 150,000	

**Section 2: Specific information**

Source of funds (being used to open this account)

<input type="checkbox"/> Payroll	<input type="checkbox"/> Commission/Business income	<input type="checkbox"/> Sales of asset(s)(Please specify)
<input type="checkbox"/> Retirement/Superannuation fund	<input type="checkbox"/> Return on investment	<input type="checkbox"/> Trust property
<input type="checkbox"/> Income accumulation	<input type="checkbox"/> Inheritance	<input type="checkbox"/> Other. Please specify: _____

Purpose of business relationship with the Bank

<input type="checkbox"/> Savings	<input type="checkbox"/> Home Loan	<input type="checkbox"/> Overseas travel expense (Please specify)
<input type="checkbox"/> Collect Salary	<input type="checkbox"/> Pension	<input type="checkbox"/> School tuition
<input type="checkbox"/> Deposit	<input type="checkbox"/> Daily Transaction	<input type="checkbox"/> Cash in/out
<input type="checkbox"/> Loan Repayment	<input type="checkbox"/> Fund transfer	<input type="checkbox"/> Other. Please specify: _____

**PEP (Politically Exposed Person) Declaration**

PEP (Politically Exposed Person) means: an individual who holds a prominent public position or function in a government body or international organisation, either in Australia or overseas; or an individual who is an immediate family member or close associate of a PEP.

Yes  I am a PEP      No  I am not a PEP

**Anticipated transaction activity**

Will any of your transactions involve funds from/to overseas

No       Yes. Please list the countries: \_\_\_\_\_

Will you conduct any cash transactions?

No       Yes

**Expected Overall Customer Account Activity Pattern and Level (Monthly Average)**

Number of transactions	<input type="checkbox"/> 0-10	<input type="checkbox"/> 11-25	<input type="checkbox"/> 26 – 50	<input type="checkbox"/> 51 - 100	<input type="checkbox"/> Over 100
Amount (AUD)	<input type="checkbox"/> 0 - 10K	<input type="checkbox"/> 10K - 50K	<input type="checkbox"/> 50K - 100K	<input type="checkbox"/> 100K – 200K	<input type="checkbox"/> Over 200K

**Section 3: Tax information** (TFN, FATCA & CRS)

Please note that the Bank is unable to offer taxation advice.  
For tax related queries, please speak to your professional tax adviser or domestic tax authority.

Are you an Australian tax resident?

Yes       No

Do you have tax file number (TFN)?

Yes, I provided this to bank staff       No       Exemption, reason: \_\_\_\_\_

We are authorised to collect your TFN under Australian taxation laws such as the Income Assessment Act 1936 (Cth) for us to determine whether we need to withhold an amount from any interest we pay you on the account. Providing TFN is not compulsory and it is not an offence if you don't provide it. However if you don't, we are required by law to withhold tax from the interest paid.

Are you a tax resident of any country/region outside Australia?

Yes       No

If you obtain residence rights under a citizenship by investment (CBI) or residence by investment (RBI) scheme, you declare that you have disclosed all your tax residencies.

Please complete the following table indicating your non-Australian (i) tax residency and (ii) Tax Identification Number (TIN).

	Country/jurisdiction of tax residence	TIN	Reason code (A, B or C) if no TIN provided	Explanation if Reason B is selected
1				
2				
3				

Reason A: The country/jurisdiction where the individual is resident does not issue TINs to its residents  
Reason B: The individual is otherwise unable to obtain a TIN or equivalent number. (Please explain why)  
Reason C: No TIN is required by law

**Section 4: Account information****Are you opening a Joint Account**

Yes. Please fill in the "Application and Authority for Joint Account Form"  No

**Select your account type**

Demand Deposit Account  Online Saver Account  Term Deposit Account  
 Home Loan Offset Account  Overseas Student Account  Others. Please specify: \_\_\_\_\_

**Bank statements**

Type of statement:  Paper Statement  Online electronic statement

**Select as required Debit Card and Internet Banking access options**

Debit Card (enabled for online payments)  Yes;  No  
 Set Debit Card Auto link between AUD and CNY accounts  Yes  No Debit Card Card/PIN collection  send by mail  hold at branch for collection  
 Internet Banking  Yes  No  
 Mobile Banking  Yes  No requires E-token identification: \_\_\_\_\_

**SMS Transaction Alert Service – complete this section to receive SMS alert messages or change SMS alert message service options**

Register ALL my Eligible Accounts for SMS Transaction Alert Service — Eligible Accounts are Transactional and At Call Accounts and send SMS Transaction Alerts to the Mobile No. provided in Section 1.

If Registering for SMS Transaction Alert Service select Language:  English or  Simplified Chinese (if no selection default language is English)  
 The default Threshold Transaction Alert Amount is \$10.00. If you wish to select a different Threshold Alert Amount enter here \$  
 By selecting the SMS Transaction Alert Service you agree to promptly notify the Bank of any change to your Mobile Number(s) and that the Bank is not liable for any direct or indirect loss that may result from your failure or delay in notifying the Bank of such change;

Deregister ALL my Eligible Accounts for SMS Transaction Alert Service or Deregister Account(s) \_\_\_\_\_

**Section 5: Acknowledgements and Consents****5.1 Privacy Collection Statement**

The Bank of China Limited, Sydney Branch ABN 29 002 979 955 and Bank of China (Australia) Limited ABN 28 110 077 622 (jointly and severally referred to as "Bank of China", "we", "us" and "our" in this collection statement)

We collect personal information in this application to: establish your identity, assess your application for our products and services, to provide you with the products and services and to provide you with marketing information about our products and services. If you do not wish to receive information about our products, you can notify us that you wish to opt out. We use and disclose your personal information in accordance with our Privacy Policy and Credit Reporting Policy available at bankofchina.com/au (Privacy Policy). The Privacy Policy contains information about how you may complain about a breach of your privacy and a breach of the Australian Privacy Principles and how we will deal with such a complaint. We are required to collect your personal information in this application to comply with Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cth) and Anti-Money Laundering and Counter-Terrorism Financing Rules Instrument 2007 (No.1) (Cth) (AML/CTF Legislation) and to establish your residency and tax identification number for tax purposes and to comply with Foreign Account Tax Compliance Act and the Common Reporting Standard under the Taxation Administration Act 1953 (Cth).

If you do not provide us with your personal information, we may not be able to provide the requested products or services to you.

We may disclose your personal information to third parties identified in our Privacy Policy, including our related bodies corporate, agents, contractors, insurers, service providers, professional advisors, card scheme and other payment service providers and to a parent or legal guardian (or person appointed to manage your affairs) if you are under 16 or have special needs.

It is likely that in the course of administering your account we will disclose your personal information overseas to related bodies corporate or service providers in China (including Special Administration Regions). In the course of a multi-jurisdictional transaction we may also disclose your personal information to related bodies corporate and services providers located in relevant jurisdictions.

**5.2 Declarations and Acknowledgments****Declaration**

By signing below, you declare that:

- (i) all information that you have provided to the Bank on this application and any documents or records (including electronic records) relevant to this application are true, correct and complete;
- (ii) you have read the Privacy Collection Statement in Section 5.1 above and you have read the Privacy Policy; and
- (iii) you will notify the Bank promptly if any information provided in this application or as part of this application changes.

**Agreement and Acknowledgment**

## Account application form - Individual Customer

By signing below you agree and acknowledge that:

- (i) it is an offence to provide false or misleading information including false, misleading or forged documents;
- (ii) the Bank may block or freeze your account or any payment from or to the account, where we are obliged to do so by law regulatory requirements or for the purpose of prevention or detection of unlawful activities; and
- (iii) if this form is incomplete and/or contains erroneous information, it may not be processed, in which case the account(s) will not be opened until correct information is provided.

## 5.3 Consent to verify personal information electronically – read carefully before you tick the box to consent

The Document Verification Service (DVS) is a secure, national, real-time, on-line, electronic document verification system managed by the Commonwealth Attorney-General's Department. The DVS checks whether certain identifying information or credentials on an identity document matches those on the database of the government organisation which issued the document. For more information on the DVS, please visit [www.dvs.gov.au](http://www.dvs.gov.au) If we are unable to verify you electronically using the DVS, we will contact you to make an alternative arrangement for verification. By consenting below you declare that you are authorised to provide the information presented and you accept that the Bank may use a third party gateway service provider to access and match results of the DVS. You acknowledge and agree that this consent applies until we have received a written notification from you that this consent is cancelled. Note: If you choose not to have your identity verified by DVS, please contact the Bank by visiting your local Australian retail branch so that the Bank can discuss other options with you.

I confirm that I am authorised to provide the personal details presented and I consent to my information being checked with the document issuer or official record holder via third party systems for the purpose of confirming my identity. This consent applies until revoked in writing to the Bank.

## 5.4 Consent to verify Visa – [not applicable for Australian citizens]

Read this information and check this box to consent to Bank of China accessing the Visa Entitlement Verification Online website (VEVO) to verify that you are eligible to open an account by accessing an online record of your visa to: obtain information about your identity and visa conditions from VEVO; and verify this information against a visa provided by you for identification purposes.

Note: If you are not entitled to be in Australia the Department of Home Affairs may use the information obtained to locate you.

5.5 You confirm that you have either received the following documents or you have read these documents on our website [bankofchina.com/au](http://bankofchina.com/au):

- |                                                                                 |                                                                      |                                                                             |
|---------------------------------------------------------------------------------|----------------------------------------------------------------------|-----------------------------------------------------------------------------|
| <input type="checkbox"/> Transactional and At Call Account Terms and Conditions | <input type="checkbox"/> Term Deposit Account Terms and Conditions   | <input type="checkbox"/> SMS Transaction Alert Service Terms and Conditions |
| <input type="checkbox"/> Schedule of Fees and Charges                           | <input type="checkbox"/> Interest Rate for Individual Client Deposit | <input type="checkbox"/> Account Access Methods Conditions of Use           |

Full name of the customer

Signature

Date: \_\_\_/\_\_\_/20\_\_\_

## Bank use only

## Compliance checklist

Terms & Conditions, Account Access Methods Conditions of Use, Schedule of Fees and Charges and Interest Rate for Individual Client Deposit, have been given to the customer or the customer states these have been read from our website.

FATCA and CRS information has been collected from the customer and the reasonableness of information has been checked.

The following had been carried out and completed satisfactorily as per the requirements set out in Bank's AMLCTF Program

- Identification and Verification Procedures
- Name screening including PEP/ Adverse/negative news
- VISA status
- SDD/EDD
- CRR

Account opening officer full name

Signature

Account verifying officer full name

Signature

Date: \_\_\_/\_\_\_/20\_\_\_

Signature verifying officer full name

Signature

Date: \_\_\_/\_\_\_/20\_\_\_