

汇丰银行（中国）有限公司关联自然人的补充申明

I declare that amongst myself, my spouse, the co-owner(s) or intended co-owner(s) and the spouse(s) of the co-owner(s) or intended co-owner(s), except for the person(s) (if any) whose details are given below, none belong to the connected natural persons of HSBC Bank (China) Company.

本人声明,就本人/本人配偶/房地产共有或拟共有人/房地产共有或拟共有人之配偶而言,除以下所填的人士(如有)外,均不属于汇丰银行(中国)有限公司的关联自然人。

(If any one or more of the above mentioned persons belong to the connected natural persons of HSBC Bank (China) Company (hereinafter referred to as "HBCN"), please complete the below part. If the below part is left blank, the applicant will be deemed to have confirmed that none of the above mentioned persons belong to the connected natural persons of HBCN.)

(如果以上所提及的任何人属于以下汇丰银行(中国)有限公司(以下简称“本行”)的关联自然人,则请填写以下部分。如果以下部分未作填写,则视为申请人已经确认以上所提及的所有人士均不属于本行的关联自然人。)

Name 姓名: _____

Type of Connected Parties 关联人类型: _____

Please specify detail information 请具体描述关联情况: _____

* The connected natural persons of HBCN include: 本行的关联自然人是指:

- 1) A natural person who is the controlling shareholder or actual controller of HBCN, as well as the persons acting in concert and ultimate beneficiaries thereof;
本行自然人控股股东、实际控制人, 及其一致行动人、最终受益人;
- 2) A natural person who holds or controls 5% or more of HBCN shares, or holds less than 5% of HBCN shares but has a significant impact on the operation and management of HBCN;
持有或控制本行 5%以上股权的, 或持股不足 5%但对本行经营管理有重大影响的自然人;
- 3) Directors and Supervisor of HBCN;
本行的董事、监事;
- 4) The Senior Executives of HBCN headquarter;
本行总行的高级管理人员;
- 5) The Senior Management of HBCN Branches;
本行分行的高级管理人员;
- 6) Personnel with the authority to approve or decide on large value credit applications, equal to or above the threshold of CNY 5 million for both wholesale and retail business
本行具有大额授信审批或决策权的人员, 即对公和零售业务授信额度在人民币五百万元及以上的人员;
- 7) Personnel with the authority to approve or decide on asset transfer and other core business,
本行具有资产转移以及其他核心业务审批或决策权的人员;
- 8) The parents, spouses, adult children and siblings of any connected natural person as set out in item 1) to 7);
前述第 (一) 至 (七) 项所列关联方的配偶、父母、成年子女及兄弟姐妹;
- 9) The directors, supervisors, and senior management of the connected legal entities or unincorporated organizations of HBCN. The connected legal entities or unincorporated organizations of HBCN include: 1) A legal entity that is the controlling shareholder or actual controller of HBCN, as well as the persons acting in concert and ultimate beneficiaries thereof; 2) A legal entity or an unincorporated organization that holds or controls 5% or more of the HBCN shares, or holds less than 5% of HSBC shares but has a significant impact on the operation and management of HBCN, and its controlling shareholder or actual controller, persons acting in concert and ultimate beneficiaries;
本行的关联法人或非法人组织的董事、监事、高级管理人员。本行的关联法人或非法人组织指: 1) 本行的法人控股股东、实际控制人, 及其一致行动人、最终受益人; 2) 持有或控制本行 5%以上股权的, 或者持股不足 5%但对本行经营管理有重大影响的法人或非法人组织, 及其控股股东、实际控制人、一致行动人、最终受益人。
- 10) A connected natural person as set out in item 4) to 6) within two years of their dismissal or resignation and directly, indirectly or jointly controls any legal entity, or unincorporated organization or holds senior management role in any legal entity, or unincorporated organization, with which HBCN has existing or new credit business;
前述第 (四) 至 (六) 项所列关联方离职后两年内的人员, 并且该人员在离职后控制(包括直接、间接或共同控制)或担任重要管理职务的法人或非法人组织与本行存在或新发生授信业务;
- 11) Anyone that falls under any of the circumstances as set out in item 1) to 9) in the past 12 months or in the next 12 months according to the arrangements of relevant agreement;
在过去十二个月内或者根据相关协议安排在未来十二个月内存在前述第 (一) 至 (九) 项情形之一的自然人;
- 12) Any other closely related family member disclosed at the discretion of a connected party as set out in item (1) to (7);
前述第 (一) 至 (七) 项所列关联方自主判定的其他关系密切的家庭成员;
- 13) Any other employee of HBCN recognized by the Management Office;
经本行关联交易管理办公室认定的本行其他内部工作人员。
- 14) A natural person recognized by the Management Office as the beneficiary of transactions that are unfair, violated or may violate business principles, or have an impact on the bank;
经本行关联交易管理办公室认定对本行有影响, 与本行发生或可能发生未遵守商业原则、有失公允的交易行为, 并可据以从交易中获取利益的自然人。

Signature(s) of Applicant(s) (All applicants must sign here) 申请人签署 (所有申请人均须签署)

Date 日期