

Appendix

Requested Documents

Tracker Fund of Hong Kong (TraHK)

Please note that it is a requirement under the Trust Deed of TraHK that all Holders promptly notify the Registrar of any change in name or address. This requirement applies regardless of whether the Holder is an individual, a company, a trustee or any kind of unincorporated association.

(A) *For an individual*

For an individual, please provide the following:

1. a copy of the following identification documents:
 - a. **if you are a Hong Kong permanent resident:** Hong Kong identity card; or
 - b. **if you are a non-permanent resident in Hong Kong:** Hong Kong identity card and proof of nationality which can be either one of the following: (i) valid travel document (e.g. passport), (ii) relevant national identity card bearing the individual's photograph or (iii) other government document which certifies nationality; or
 - c. **if you are a Hong Kong non-resident:** foreign travel document which contains the bearer's photograph, full name, date of birth and nationality; and
2. your residential address (and permanent address if different), together with a copy of a government correspondence, utility bill or bank statement issued within the last 3 months which can be used to verify such address;
3. if you are a United States citizen or you currently reside in the United States, please provide the relevant proof of nationality;
4. Foreign Account Tax Compliance Act ("FATCA") Self-Certification Form; and
5. Automatic Exchange of Financial Information ("AEOI") – Self-Certification Form.

(B) *If you are a corporate*

For a corporate, please provide the following:

1. a copy of the Certificate of Incorporation and Business Registration Certificate of the Company (where applicable);
2. a copy of the Company's memorandum and articles of association;
3. ownership structure chart of the Company;
4. the name(s) and address(es) of the beneficial owners of the Company;
5. the name of each of the directors of the Company, together with:

- a. a copy of the identification documents of each director (please refer to item (A)(1)); and
 - b. the director's residential address (and permanent address if different), together with a government correspondence, utility bill or bank statement issued within the last 3 months which can be used to verify such address.
6. a copy of the following document, issued in the last six months, showing, that the Company is still registered and has not been dissolved, wound up, suspended or struck off:
- a. **if the Company was incorporated in Hong Kong:** a certified true copy (by independent lawyers / accountants) of search report obtained from a Hong Kong Company Registry search;
 - b. **if the Company is incorporated outside Hong Kong:** either a similar company search report in the place of incorporation of the Company or a certificate of incumbency or equivalent document;
7. the registered office address of the Company;
8. documents evidencing the identity (please refer to item (A)(1)) and the authority (e.g. board resolutions or power of attorney) of the persons purporting to act on behalf of the Company;
9. the identification documents and address proof (please refer to item (A)(1) and (A)(2)) for each of the beneficial owners (shareholders) holding 25% or more of the voting rights or share capital;
10. Foreign Account Tax Compliance Act ("FATCA") Self-Certification Form; and
11. Automatic Exchange of Financial Information ("AEOI") – Self-Certification Form

(C) *If you are a partnership or unincorporated body*

If you are a partnership or unincorporated body, please provide the following:

1. the full name;
2. the business address;
3. the names of all partners and individuals who exercise control over the management of the partnership or unincorporated body, and names of individuals who own or control not less than 10% of its capital or profits, or of its voting rights;
4. the identification documents (please refer to items under (A) for individual and (B) for corporate) for each of the beneficial owners of the partnership or unincorporated body;
 1. for partnership, beneficial owner means:
 - (i) an individual who:
 - (a) is entitled to or controls, directly or indirectly, not less than a 10% share of the capital or profits of the partnership;
 - (b) is, directly or indirectly, entitled to exercise or control the exercise of not less than 10% of the voting rights in the partnership; or
 - (c) exercises ultimate control over the management of the partnership; or

- (ii) if the partnership is acting on behalf of another person, means the other person.
- 2. for unincorporated body, beneficial owner means:
 - a. an individual who ultimately owns or controls the unincorporated body; or
 - b. if the unincorporated body is acting on behalf of another person, means the other person.
- 5. For partnership, a copy of the partnership deed; for unincorporated body, copy of constitutional document;
- 6. In cases where a partnership arrangement exists, a mandate from the partnership authorizing the opening of an account and conferring authority on those who will operate it;
- 7. Foreign Account Tax Compliance Act (“FATCA”) Self-Certification Form; and
- 8. Automatic Exchange of Financial Information (“AEOI”) – Self-Certification Form.

(D) *If you are a trustee*

If you are a trustee on behalf of a trust, please provide the following:

- 1. a copy of the trust instrument (e.g. trust deed); or
a written confirmation from a trustee acting in a professional capacity; or
a written confirmation from a lawyer who has reviewed the relevant instrument; or
for trusts that are managed by the trust companies which are subsidiaries (or affiliate companies) of an financial institution, that financial institution may rely on a written confirmation from its trust subsidiaries (or trust affiliate companies);
- 2. the name of the trust;
- 3. date of establishment/settlement;
- 4. the jurisdiction whose laws govern the arrangement, as set out in the trust instrument;
- 5. the identification number (if any) granted by any applicable official bodies (e.g. tax identification number or registered charity or non-profit organization number);
- 6. identification information of trustee(s) - in line with guidance for individual (A) or corporate (B) or partnership or unincorporated bodies (C) (where appropriate);
- 7. identification information of settlor(s) and any protector(s) or enforcers in line with guidance for individual (A) or corporate (B) (where appropriate);
- 8. identification information of known beneficiaries in line with guidance for individuals (A) or corporates (B). Known beneficiaries mean those persons or that class of persons who can, from the terms of the trust instrument, be identified as having a reasonable expectation of benefiting from the trust capital or income;
- 9. Foreign Account Tax Compliance Act (“FATCA”) Self-Certification Form; and

10. Automatic Exchange of Financial Information (“AEOI”) – Self-Certification Form.

Personal Information Collection Statement

Certain information or documents to be provided by you will constitute “personal data” as defined in the Personal Data (Privacy) Ordinance (Cap. 486). State Street’s Global Privacy Notice is available at <https://www.statestreet.com/utility/privacy-notice.html>. Please read carefully the Global Privacy Notice in addition to the attached Personal Information Collection Statement which sets out the policies and practices of the Trustee with regard to any personal data provided. Hang Seng Investment Management Limited’s Privacy Policy is available at <https://www.hangsenginvestment.com/en-hk/individual-investor/message/#privacyPolicy>. In addition to the Manager’s duty of confidentiality to you, it shall at all times observe the above privacy principles and the Personal Data (Privacy) Ordinance of the Hong Kong SAR in collecting, maintaining and using the personal data of customers in accordance with the “Notice to Investors, Distributors, Discretionary Mandate Clients, Participating Dealers (collectively ”Clients”) and other Individuals relating to the Personal Data (Privacy) Ordinance (the “Ordinance”)” (which is available at https://www.hangsenginvestment.com/content/dam/hsvm/pdfs/notice_en.pdf).