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**Trade Due Diligence Review Form (Mandatory for GTRF Customers)**

**IMPORTANT**:

This Form comprises of 2 Parts – *Part 1: Trade Summary Sheet (TSS)* to be prepared by GTRF BDM to summarize customer’s trade due diligence info, and *Part 2: Trade Annex* to be completed by RM as evidence for due diligence checking on trade counterparties. This form should be endorsed by RLM Team Head, and attach to the Annex of the CARM Remarks section for approval.

Please 🗹 as appropriate and append new rows as needed.

**PART 1: TRADE SUMMARY SHEET FOR CORE TRADE & GUARANTEE PRODUCTS (to be prepared by GTRF BDM for RLM to review/approve)**

**(Mandatory for RM-managed trade customers with or without trade facility, excluding portfolio-managed customers (DSD segment) and sole Receivables Finance customers)**

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| \*|Business Name / Group Name:|Company Contact Person(s)for GTRF: \*|Trade A/C No:|CARM serial number (if available): \*|Position(s):|Tel: \*|Mobile: |Fax: \*|Email:|Submission Month by GTRF BDM to RM:|(MM/YY) \*|(Endorsed by)Relationship Manager:|RM|(Prepared by)GTRF BDM:|Sales Mgr \*|Dept,Div|Team Head| |

**<header>1. Note:<header>** For multi borrowers of the same group, please specify separately for each of their agreed pricing(section 1.3), Approved Suppliers(1.6), Buyers(1.7) and S.I.(1.8)

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| \*|Importer and/or exporter? Brief description of business activities (include type(s) of goods, countries traded with, typical transaction values (range), include details of annual sales, purchases, import and export value) <”A. Core Business activities” will be captured in HIE / Trade Customer Information System (TCIS) for transaction processing reference> \*|Core Business activities: \_\_\_\_\_\_\_\_\_\_\_\_ Annual sales turnover (in HKD): \_\_\_\_\_\_\_\_\_\_\_\_ (Year of data: \_\_\_\_\_\_) C. IMPORT activities:Major importing countries:☐ Local \_\_\_\_% ☐ China \_\_\_\_% ☐ Japan\_\_\_\_% ☐ South Korea\_\_\_\_% ☐ Taiwan\_\_\_\_% ☐ USA\_\_\_\_% ☐ Others: ☐ \_\_\_\_\_for \_\_\_\_%, ☐ \_\_\_\_\_for\_\_\_\_% (Add others as required)Payment Terms: ☐ LC \_\_\_\_% ☐ DP\_\_\_\_% DA\_\_\_\_% ☐ Open Account\_\_\_\_%Avg. Tenor: ☐ Sight \_\_\_\_% ☐ \_\_\_\_DaysMajor type(s) of goods: \_\_\_\_\_\_\_\_\_\_\_\_Annual import turnover (in HKD): \_\_\_\_\_\_\_\_\_\_\_\_ (Year of data: \_\_\_\_\_\_) D. EXPORT activities:Major exporting countries:☐ Local \_\_\_\_% ☐ China \_\_\_\_% ☐ Japan\_\_\_\_% ☐ South Korea\_\_\_\_% ☐ Taiwan\_\_\_\_% ☐ USA\_\_\_\_% ☐ Others: ☐ \_\_\_\_\_for \_\_\_\_%, ☐ \_\_\_\_\_for\_\_\_\_% (Add others as required)Payment Terms: ☐ LC \_\_\_\_% ☐ DP\_\_\_\_% DA\_\_\_\_% ☐ Open Account\_\_\_\_%Avg. Tenor: ☐ Sight \_\_\_\_% ☐\_\_\_\_DaysMajor type(s) of goods: \_\_\_\_\_\_\_\_\_\_\_\_Annual export turnover (in HKD): \_\_\_\_\_\_\_\_\_\_\_\_ (Year of data: \_\_\_\_\_\_) \*|1.2 Facilities <This section will be captured in HIE / TCIS for transaction processing reference> \*|Imports: ( ☐ N/A )Usance DC permitted? ☐ No ☐ Yes - maximum permitted usance period \_\_\_\_DaysMargin to be held when issuing import DC’s? ☐ No ☐ Yes \_\_\_\_% ☐ N/ATenor : DaysInterest Rate – HKD : \_\_\_\_\_\_\_\_\_\_\_\_, USD : \_\_\_\_\_\_\_\_\_\_\_\_, FCY : \_\_\_\_\_\_\_\_\_\_\_\_SFGS (SME Financing Guarantee Scheme): or, ☐ N/ASFGS8 expiring on: \_\_\_\_\_\_\_\_\_\_\_\_(DD/MMM/YY)Tenor : DaysInterest Rate – HKD : \_\_\_\_\_\_\_\_\_\_\_\_, USD : \_\_\_\_\_\_\_\_\_\_\_\_, FCY : \_\_\_\_\_\_\_\_\_\_\_\_ (Add others as required) \*|Exports: ( ☐ N/A )Tenor : DaysInterest Rate – HKD : \_\_\_\_\_\_\_\_\_\_\_\_, USD : \_\_\_\_\_\_\_\_\_\_\_\_, FCY : \_\_\_\_\_\_\_\_\_\_\_\_SFGS: ( ☐ N/A )SFGS8 expiring on: \_\_\_\_\_\_\_\_\_\_\_\_(DD/MMM/YY)Tenor : DaysInterest Rate – HKD : \_\_\_\_\_\_\_\_\_\_\_\_, USD : \_\_\_\_\_\_\_\_\_\_\_\_, FCY : \_\_\_\_\_\_\_\_\_\_\_\_ (Add others as required) \*|Guarantees: ( ☐ N/A )Types of Guarantees permitted: ☐ Tender/Bid Bond / ☐ Advance Payment Bond / ☐ Performance Bond / ☐ Retention/Warranty/Maintenance / ☐ Financial Guarantee (add others as required) Margin to be held when issuing guarantees? ☐ No ☐ Yes \_\_\_\_\_% ☐ N/ABackdating of Guarantees permitted? ☐ No ☐ Yes \_\_\_\_ Days.Open Ended/Evergreen guarantees permitted? ☐ No ☐ Yes (Add others as required) \*|Sister concerns/related accounts, for whom transactions can be done under the same facility: (insert additional rows if required) \* \*|1.3 Agreed pricing (Standard pricing to be applied with the exception of…) (NB. Every effort should be made to ensure any preferential pricing agreed is system compatible) <This section will be captured in HIE / TCIS for transaction processing reference> \*|Note: Only non-standard pricing need to be marked. ALL other blanked charges / commissions will be regarded as standard pricing. Please specify applicability of preferential for each borrower | |

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