

# Trading Authorization Form

Account Number

**PLEASE READ CAREFULLY**

In this Agreement, the words "I", "me" and "my" mean the undersigned client(s) and the words "you", "your", "yours" and "HSBC InvestDirect" means HSBC InvestDirect, a division of HSBC Securities (Canada) Inc.

- I appoint \_\_\_\_\_ as my agent with respect to one or more brokerage accounts with you provided that this authority is limited to only power to buy, sell (including short sales) and/or trade, in securities and options, on margin, or otherwise, all in accordance with your general terms and conditions and with the usual practice of brokers, subject to the constitution, by-laws, rules, regulations, customs and usages in existence from time to time of the stock exchange or market (and its respective clearing house, if any) where the transaction is made to all laws, regulations and orders of any governmental or regulatory authority that may be applicable.
- This trading authorization shall apply to my account held with you. I hereby ratify and confirm any and all transactions by the agent made after the date of the agent's appointment and any and all transactions previously made by the agent but not yet settled and agree to indemnify and hold you harmless against any loss, liability or damage arising in any way out of such transactions.
- This trading authorization and indemnity shall remain in full force and effect and shall survive any incidental, temporary or intermittent closing out, or reopening or renumbering of my account with you and shall continue in favour of you and your successors and assigns until you receive written notice of revocation or proof of my death at your Head Office in Toronto, Ontario. Any revocation or termination shall in no way affect the indemnity herein contained respecting any action taken by my agent.
- Each party hereto has requested that this agreement and all documents and notices be drawn up in the English language. Les parties conviennent que la présente convention et tous les documents s'y rattachant soient rédigés en anglais.

**Important Information**

- You are not advising me to appoint an agent to make decisions for me. This is a decision that I alone can make.
- Whenever I give someone else the authority to manage my property, there is a risk that they will make errors, exercise poor judgement or even behave dishonestly causing a loss to me. It is therefore imperative that I consider seriously whether the person whom I have chose to appoint as my agent is trustworthy and capable of making good decisions on my behalf.

**Signatures**

The signatures on this form must be witnessed by someone other than the applicant, co-applicant, agent, spouse or common-law partner of any of these persons. A person may witness all signatures and each signature must be witnessed. The witness must be present when the applicant, co-applicant and/or agent sign and must then sign as a witness. By signing below, the parties hereby authorize HSBC InvestDirect to obtain a credit report about any of them, as required, so that HSBC InvestDirect may meet its legal and regulatory requirements.

	X	
Applicant's Name	Applicant's Signature	Date (mm/dd/yyyy)
	X	
Co-Applicant's Name	Co-Applicant's Signature	Date (mm/dd/yyyy)

*I accept this appoint as agent, have informed myself of the Client's investment objectives and HSBC InvestDirect general Terms and Conditions as they will apply to the operation of the Client's account and I agree to adhere to the same. I am not employed by or associated with a member of any stock exchange of the Investment Industry Regulatory Organization of Canada and will advise HSBC InvestDirect if the foregoing should apply.*

X	
Signature - Agent	Date (mm/dd/yyyy)

**Witness for Signature(s)** of (check all that apply)     Applicant     Co-Applicant     Agent

X	
Witness Signature	Print Full Name
Address	Telephone No.

**Witness for Signature(s)** of (check all that apply)     Applicant     Co-Applicant     Agent

X	
Witness Signature	Print Full Name
Address	Telephone No.

# Authorized Individual Information Form

## Personal Information

 Mr.    Mrs.    Miss    Dr.

Last Name (Legal)	First Name (Legal)	Middle Name (Legal)
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Home Tel. #	Business Tel. #
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Mobile Tel. #	E-mail Address
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Residence Address (P.O. Boxes, G.D.. or c/o not accepted)	Apt./Suite#
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City	Province	Postal Code
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Country of Residence	Citizenship (list all countries)
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Country of Birth	SIN	Date of Birth (mm/dd/yyyy)
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### Employment Status

<input type="checkbox"/> Employed	<input type="checkbox"/> Self-Employed	<input type="checkbox"/> Student
<input type="checkbox"/> Retired*	<input type="checkbox"/> Homemaker	<input type="checkbox"/> Not Working*

\*Retired or Not Working: Provide details of most recent job.

### Employment Information

Employer's Name	Type of Business
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Occupation/Position	Years with Employer
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Employer's Address

City	Province	Postal Code
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### Marital Status and Spousal Information

 Married    Single    Divorced    Widowed    Common Law

Name of Spouse

Spouse's Employer's Name	Type of Business
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Spouse's Occupation/Position	Years with Employer
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## Other Information

1. Are you, your spouse, or anyone you reside with, employed by a securities dealer, IIROC Member firm, Stock Exchange or member of a Stock Exchange? If yes, please state the name of the firm and provide a compliance letter : \_\_\_\_\_  Yes    No
2. Are you, your spouse, or anyone you reside with, the CEO, CFO, COO or a Director of a publicly traded company ("a reporting issuer")?  Yes    No
3. Are you, your spouse, or anyone you reside with, the CEO, COO or CFO of a major subsidiary of a reporting issuer? (Major subsidiary is defined as a subsidiary of an issuer whose assets or revenue comprise 30% of the consolidated assets or revenue of the issuer)  Yes    No
4. Are you, your spouse, or anyone you reside with, a Significant Shareholder of a reporting issuer? In other words, do you, your spouse or anyone you reside with hold more than 10% of the voting rights of the issuer's outstanding voting securities, including any convertible securities that are convertible within 60 days that would put you over the 10% limit?  Yes    No
5. Are you, your spouse, or anyone you reside with, a control person (holding more than 20%) in a reporting issuer's outstanding voting securities?  Yes    No
6. Are you, your spouse, or anyone you reside with, a director or CEO, COO or CFO of a management company that provides significant management or administrative services to a reporting issuer or a major subsidiary of a reporting issuer?  Yes    No
7. Even if questions 2 to 6 above do not apply, do you, your spouse, or anyone you reside with, receive or have access to material non-public information of a reporting issuer given the nature of the employment (i.e. finance, technology)?  Yes    No
8. Do you, your spouse, or anyone you reside with, exercise "significant power or influence" over the decisions of a reporting issuer?  Yes    No
9. Name any reporting issuers (including symbol) to which a "Yes" answer applies on questions 2 to 8 above: \_\_\_\_\_
10. Are you (or any members of your immediate family) currently, or have you (or any members of your immediate family) in the past, been employed in any of the following positions: (If yes, please check all applicable boxes and list the details of the individuals)  Yes    No
 

<input type="checkbox"/> a head of state or government <input type="checkbox"/> a member of the executive council of government or member of a legislature; <input type="checkbox"/> a deputy minister (or equivalent); <input type="checkbox"/> an ambassador or an ambassador's attaché or counselor <input type="checkbox"/> a military general (or higher rank);	<input type="checkbox"/> a president of a state owned company or bank; <input type="checkbox"/> a head of a government agency; <input type="checkbox"/> a federal judge; or <input type="checkbox"/> a leader or president of a political party in a legislature.
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If answered yes to question 10, please indicate the details of the individual(s) below:

Full Name	Relationship	Description
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## Privacy Consent

Please read the "Client Information Consent Agreement" section of the Client Terms and Conditions booklet. I consent to the collection, use and disclosure of Client Information in the manner and for the purposes specified in the Client Terms and Conditions.

I agree to the following optional uses of my Personal Information:

1. HSBC InvestDirect may collect and use my personal information and, where permitted by law, share it within the HSBC Group, to identify and inform me of products and services provided by the HSBC Group that may be of interest to me.
2. HSBC InvestDirect may collect and use my Personal information to promote the products and services of select third parties that may be of interest to me; and
3. HSBC InvestDirect may collect, use and share my SIN for the additional optional purposes of conducting Financial Crime Risk Management Activities, and for internal audit, security, statistical, and record keeping purposes.

Yes  No (Default - unless instructed otherwise)

I may at any time refuse or withdraw my consent to 1,2, or 3 above by contacting HSBC at 1-800-760-1180; or visiting the HSBC InvestDirect website at [www.investdirect.hsbc.ca](http://www.investdirect.hsbc.ca). I understand that if I do refuse or withdraw my consent to 1,2, or 3 it will not affect my eligibility for products or services.

## Signature

I verify that I have carefully reviewed the applicable section of the Client Terms and Conditions with respect to suitability reviews and I understand and acknowledge that HSBC InvestDirect does not provide investment advice or recommendations regarding any investment decisions or securities transactions and that HSBC InvestDirect will not determine the general investment needs and objectives or the suitability of any investment decisions or securities transactions.

I acknowledge that I have sole responsibility for all investment decisions and securities transactions and I understand that orders may be sent directly to the exchange or market without prior review by HSBC InvestDirect.

I agree to comply with all applicable rules and customs of the Investment Industry Regulatory Organization of Canada and those governing the exchanges or markets (and their clearing houses, if any) where the orders are executed. HSBC InvestDirect, however, reserves the right to review any transactions prior to the exchange or market and to reject, change or remove any order for credit reasons or non-compliance with the requirements of those exchanges, markets or securities regulations.

## I acknowledge and agree that a credit check may be performed on me.

x

Signature – Authorized Individual

Date (mm/dd/yyyy)

## Internal Use Section

### Method of Anti Money Laundering Verification

Face to Face Date of Verification (mm/dd/yyyy): \_\_\_\_\_

#### ID#1

Type of ID Verified:

Drivers License  Passport  Other: \_\_\_\_\_

ID Number: \_\_\_\_\_

Place of Issuance: \_\_\_\_\_

Expiry Date: \_\_\_\_\_

Verified by: Name: \_\_\_\_\_

Entity:  HSBC Bank  Other: \_\_\_\_\_

Branch Location/Transit Number: \_\_\_\_\_

#### ID#2

Type of ID Verified:

Drivers License  Passport  Other: \_\_\_\_\_

ID Number: \_\_\_\_\_

Place of Issuance: \_\_\_\_\_

Expiry Date: \_\_\_\_\_

Verified by: Name: \_\_\_\_\_

Entity:  HSBC Bank  Other: \_\_\_\_\_

Branch Location/Transit Number: \_\_\_\_\_

**Non Face to Face (Canadian Residents Only)**

Credit Bureau (plus one of the following)  Bank Reference Letter/Group Introduction Form  Cheque (in name of individual) attached for clearing

Bank Name: \_\_\_\_\_ Cheque Number: \_\_\_\_\_ Cheque Amount: \$ \_\_\_\_\_

### HIDC Reviewing Representative Comments

Comments: \_\_\_\_\_

Representative Name: \_\_\_\_\_ Date (mm/dd/yyyy): \_\_\_\_\_