

# Account Update Form

Please return the completed form to:

HSBC InvestDirect  
 3381 Steeles Ave. East, Suite 300  
 Toronto, ON  
 M2H 3S7

**List account number(s) to be updated**

**This form is updating (check all that apply):**  Name Change  Personal Information  Marital Status  Spousal Information  
 Employment Information  Financial Information  Insider and Other Information  Designation of Beneficiary/Successor Annuitant

**Account Holder's Name****Title:**  Mr.  Mrs.  Miss  Ms.  Dr.

First Name (legal)

Middle Name (legal)

Last Name (legal)

**Account Holder's Profile Information****Personal Information**Home Tel. #  Business Tel. # (and extension) Mobile Tel. #  Email Address  (check all that apply)  Change Home Address  Change Mailing AddressCountry of Residence  Citizenship (list all countries) Residence Address (P.O. Boxes, G.D. or C/O not accepted) City  Province  Postal Code Social Insurance Number  Date of Birth (MM/DD/YYYY) **Marital Status**
 Married\*  Single  Divorced  
 Widowed  Common Law\* No. of Dependents: 

\*Please complete the Spousal Information below

**Spousal Information** Mr.  Mrs.  Miss  Ms.  Dr.Spouse's Full Name (legal) Spouse's Employer's Name Type of Business Spouse's Occupation / Position **Employment Information**
 Employed  Self Employed  Student  Not Working\*  
 Retired\*  Homemaker\* **\*(please provide previous employment)**
Employer's Name Type of Business Occupation/Position  Years with Employer Employer's Address City  Province  Postal Code **Financial Information**Current Annual Income Net Liquid Assets\*  + Net Fixed Assets\*\*  = Total Net Worth 

\* Cash &amp; Securities less loans outstanding against securities

\*\* Fixed assets less liabilities outstanding against fixed assets

**Source of Wealth (select all that apply)**
 Employment Income  Previous Employment Income  
 Business Income  Pension Income  
 Spouse's Employment Income  Rental Income  
 Investment Income (specify):   
 Inheritance (specify):   
 Gift/Allowance (specify):   
 Other (specify): 
**Source of Funds for this account (select all that apply)**
 Cheque Deposit  
 Share Certificate Deposit  
 Transfer from linked Bank Account  
 Transfer in from a Financial Institution (specify):   
 Other (specify):

## Insider and 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?  Yes  No  
If yes, please state the name of the firm:
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 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. Is there any other person(s) or entity, other than the account holder(s) and authorized individual(s), that has financial interest and/or exerts control over the account?  Yes  No  
If yes, please complete the Third-Party Determination form.
11. 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:  Yes  No  
If yes, check all applicable boxes:
- a head of state or government;
  - a member of a legislature or a leader/president of a political party in a legislature;
  - a deputy minister (or equivalent);
  - an ambassador or an ambassador's attaché or counselor;
  - a federal or supreme court judge;
  - a high-ranking military officer;
  - a mayor of a large major city;
  - a senior executive of a government agency or state-owned company or bank;
  - a senior member of the regional police department;
  - a senior official of a labour group or large non-governmental organization.

## Beneficiary Designation (Not applicable in Quebec)

I revoke any and all beneficiary designations made in respect to this Plan, and designate the person named below as beneficiary to receive the proceeds payable under the Plan in the event of my death. This designation will remain in effect until revoked in accordance with the terms of the HSBC InvestDirect Self-Directed RSP/ RIF Terms and Conditions.

**Note: In certain provinces, the Applicant can only designate a beneficiary by including a special clause in his or her will.**

**Caution:** Your designation of a beneficiary by means of a designation form will not be revoked or changed automatically by any future marriage or divorce. Should you wish to change your beneficiary in the event of a future marriage or divorce, you will have to do so by means of a new designation.

### Beneficiary Information

\_\_\_\_\_  
First Name (legal) Last Name (legal) Or  Your Estate

\_\_\_\_\_  
Relationship to Account Holder Social Insurance Number

I acknowledge that, before making this designation, I should discuss with my legal advisor the validity and effect of making the designation.

### Designation of Successor Annuitant – RIF Only

With respect to this RIF and pursuant to the provisions of the Income Tax Act (Canada) and Part III, paragraph 4 of the HSBC InvestDirect Self-Directed RSP/ RIF Terms and Conditions, I designate my spouse or common law partner as successor annuitant of the RIF in the event of my death prior to the maturity of this RIF. I reserve the right to change this designation.

\_\_\_\_\_  
First Name (legal) Middle Name (legal) Last Name (legal)

\_\_\_\_\_  
Social Insurance Number Date

### Account Holder Agreement

You agree that the terms and conditions of your existing Client Account Agreement remain in effect. Should you wish to review the text of the document, we would be pleased to accommodate your request. You certify that the information provided by you in this document is true and complete. You also agree to advise us immediately of any material change in the information. An electronic version of the Client Terms and Conditions is available at [www.hsbc.ca/investdirect-terms](http://www.hsbc.ca/investdirect-terms), or a paper copy may be requested by contacting HSBC InvestDirect at 1-800-760-1180.

\_\_\_\_\_  
Account Holder's Signature Account Holder's Name (please print)

\_\_\_\_\_  
Date (MM/DD/YYYY)

## Internal Use Section

\_\_\_\_\_  
Authorized Officer Signature

\_\_\_\_\_  
Date (MM/DD/YYYY)