



Beneficial Ownership Determination Form

HSBC InvestDirect

Complete this form when a Non-Personal Account Application (i.e. Corporation, Trust etc.) has identified a beneficial owner that is not an authorized individual.

A beneficial owner is an individual(s) who ultimately owns directly or indirectly a minimum of 10% interest in a corporation or similar entity, or that is settlor or beneficiary of the trust.

A similar non-individual entities include private companies, limited partnerships, Trusts or other similar entities that would have an identifiable owner.

Please note that this form is not applicable to charities, churches, fraternal organizations, government organizations, publicly traded companies/trusts, testimony trusts, affiliates of public traded corporations, banks loan or trust companies, credit unions, caisse populaire, insurance company, mutual fund management company, pension fund, securities dealer or broker investment manager in Canada.

OWNERSHIP			
Account Number:			Percentage: Owned/Interest:
BENEFICIAL OWNER'S PERSONAL INFORMATION			
Title:	Last Name (Legal):	First Name (Legal):	Middle Name (Legal):
Marital Status:	Date of Birth:	Citizenship (List all countries, Country of Tax Residency):	
BENEFICIAL OWNER'S HOME ADDRESS			
Street:			Apt. #/Suite #:
City:	Province:	Postal Code:	Country:
BENEFICIAL OWNER'S EMPLOYMENT INFORMATION			
Employer's Name:		Employer's Address:	
Type of Business:	Occupation/Position:	Years with Employer:	

ADDITIONAL INFORMATION		
1. Are you or your spouse an insider as defined by the applicable legislation (e.g. a director, a senior officer, own 10% or more of the voting rights of a publicly traded company (i.e. company shares are traded on a stock exchange or on an O-T-C market) or any of its subsidiaries	You <input type="checkbox"/> Yes <input type="checkbox"/> No	Your Spouse <input type="checkbox"/> Yes <input type="checkbox"/> No
2. Do you or your spouse, either alone or part of a group, own or control 20% or more of the voting rights of any publicly traded company? If yes, please state the name(s) of the company(ies):	You <input type="checkbox"/> Yes <input type="checkbox"/> No	Your Spouse <input type="checkbox"/> Yes <input type="checkbox"/> No



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PLEASE DO NOT COMPLETE ANY INFORMATION IN THIS SECTION (FOR INTERNAL USE ONLY)

1.	The individual conducting the verification of the Beneficial Owner's identity must review two original government issued identifications in compliance with Proceed of Crime (Money Laundering) laws.			
	Government Issued Identification Reviewed	Identification Number	Country/Jurisdiction of Issuance	Date of Expiry MM / DD / YY
	Government Issued Identification Reviewed	Identification Number	Country/Jurisdiction of Issuance	Date of Expiry MM / DD / YY
2.	For Trusts Only – If relying on the information provided by the Settlor and/or Trustee(s), please indicate reason for doing so: <input type="checkbox"/> Settlor/Trustee(s) does not wish to identify the beneficiaries outside of the Trust or to each other. <input type="checkbox"/> Beneficiaries are minors Relationship to Customer:			

SIGNATURES

I certify that the information provided by me in this document is true and complete and I agree to advise you immediately of any material change in the information. HSBC InvestDirect is authorized to provide to any governmental, regulatory or self-regulatory authority such information with regard to my account upon request. I hereby authorize HSBC InvestDirect to obtain a credit report about me, as required, so that HSBC InvestDirect may meet its legal and regulatory requirements.

Beneficial Owner, Settlor/Trustee:		Date (MM/DD/YY)
Witness' Name (HSBC Employee):	Witness' Signature (HSBC Employee):	Date (MM/DD/YY)
Branch Manager's Name:	Branch Manager's Signature	Date (MM/DD/YY)