

HSBC InvestDirect

*investment access portfolio application
(for individual and joint accounts)*



HSBC InvestDirect

HSBC InvestDirect¹ was created to provide unparalleled service for self-directed investors. We give you access to stock markets around the world and the information you need to invest with intelligence.

To open a Self-Directed RSP/RIF Account with HSBC InvestDirect we require:

1. An opening balance may be deposited in cash or equity by way of cheque, draft or money order OR by completing an Authorization to Transfer Account (Form # 1090104)
 2. Verification of the identity of all persons authorized to trade in this account in order to satisfy The Proceeds of Crime (Money Laundering) Act (Bill C-9). This may be done by either:
 - a) Presenting, in person, 2 pieces of identification*, one of which must be a picture ID, of both the Applicant and Co-Applicant or any other individual with authority over the account to the nearest HSBC InvestDirect office or HSBC Bank Canada Branch for verification.
- OR
- b) Mailing in a cheque for \$10 drawn on a Canadian financial institution from the personal account(s) of both the Applicant and Co-Applicant or any other individual with authority over the account along with a photocopy of a picture ID of both the Applicant and Co-Applicant or any other individual with authority over the account. The \$10 will be deposited into your HSBC InvestDirect account and is not a fee.

* Current Passport, Current Drivers License, Canadian Citizenship Card, Senior Citizens (OAS) Card issued by the Federal Government

Before you return your completed application please ensure you have:

1. Signed and witnessed the Client Agreement.
2. Signed and attached all the necessary documentation listed on Page 1 of the application.
3. Completed National Instrument 54-101.
4. Satisfied the ID verification procedures outlined above.

Please return the Application with all the necessary documents and opening balance to the appropriate HSBC InvestDirect office or HSBC Bank Canada Branch.

Administrative Office
3rd Floor, 250 University Avenue
Toronto, Ontario M5H 3E5

Quebec Residents Only
Suite 318, 2000 Mansfield Street
Montreal, Quebec H3A 2Y9

Call 1-866-865-hsbc or email contact@hsbc.ca

Internal Use Only – HSBC InvestDirect / HSBC Bank Canada

HSBC InvestDirect Branch Location or HSBC Transit Number: _____

Date Completed: _____

Client: Known to Branch? Number of Years known: _____

Client Identification (2 pieces) (i.e., Driver's Licence; please attach photocopy): _____

Employee Comments _____

HSBC InvestDirect Reviewing Representative's Comments _____

Representative's Initials: _____ Date: _____

Approvals	<input type="checkbox"/> CASH	Authorized Officer Signature: _____	Date: _____
<i>Check (✓) if obtained</i>		Comments: _____	
	<input type="checkbox"/> MARGIN	Authorized Officer Signature: _____	Date: _____
		Comments: _____	
	<input type="checkbox"/> OPTIONS	D.R.O.P./A.R.O.P. Signature: _____	Date: _____
		<i>Check (✓) activities approved:</i> <input type="checkbox"/> Buy Puts/Calls <input type="checkbox"/> Covered Call Writing <input type="checkbox"/> Spreads <input type="checkbox"/> Uncovered Writing	
		Comments: _____	
		Input by: _____	Date: _____
		Verified by: _____	Date: _____

HSBC Bank Branch Stamp

I have seen the applicant and verified two pieces of I.D.

Co-Applicant's Personal Information *If you currently have access to an HSBC InvestDirect account, please indicate your 10 digit Access ID#*

Relationship to Applicant: _____ Mr. Mrs. Miss Ms. Dr.

First Name: _____ Middle Name: _____ Last Name: _____

Home Address: _____ Apt. No.: _____

City: _____ Province: _____ Postal Code: _____

Duplicate statement required? No Yes *Send mail to:* Home Address *or* Address below:

Street: _____

City: _____ Province: _____ Postal Code: _____

Home Phone Number: (_____) _____ Business Phone Number: (_____) _____ Fax Number: (_____) _____

Email Address: _____ Date of Birth (MM/DD/YY): _____ / _____ / _____ Age: _____

Citizenship: _____ Country of Residence: _____

Social Insurance Number: _____ Telephone Password
(Required for tax purposes) *8 characters alphanumeric*

Employment Information

Employer's Name: _____ Type of Business: _____

Employer's Address: _____

Occupation/Position: _____ Years with Employer: _____

Investment Information

Investment Knowledge: None Limited Average Experienced
 Securities traded: Common Stock Bonds Mutual Funds Options Preferred Stock Commodities Rights & Warrants
 Number of Years Investing: 0 1-3 3-5 5-10 10+ Have you sold short? Yes No

Financial Information *(Please complete if the Co-applicant is not your spouse)*

Current Annual Income: Under \$20,000 \$20,000 - \$50,000 \$50,000 - \$100,000 \$100,000 - \$250,000 Over \$250,000

Estimated Net Worth	Net Liquid Assets <small><i>(Cash & Securities less Loans Outstanding against Securities)</i></small>	+	Net Fixed Assets <small><i>(Fixed Assets less Liabilities Outstanding against Fixed Assets)</i></small>	=	Total Net Worth
----------------------------	--	---	--	---	------------------------

Bank Name: _____ Account Number: _____

Branch Address: _____

Marital Status: Married Single Divorced Widowed

Spousal Information *(if the Co-Applicant is not your spouse please complete Spousal Information below)*

Spouse's Full Name: _____ Spouse's Employer: _____

Spouse's Type of Business: _____ Spouse's Occupation/Position: _____

Other Information

	Applicant		Co-Applicant
1. Are you or your spouse an insider as defined by the applicable securities legislation (e.g. a director, a senior officer, own 10% or more of the voting rights) of a "publicly traded company" (i.e. the company's shares are traded on a stock exchange or on an O-T-C market) or any of its subsidiaries? <i>If yes, please state the name(s) of the Company:</i> _____	<input type="checkbox"/> Yes <input type="checkbox"/> No		<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? <i>If yes, please state the name(s) of the Company:</i> _____	<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Do you have accounts with other Brokerage firms? <i>If so, where?</i> _____	<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
4. Do you have any other accounts with HSBC InvestDirect or control trading in other accounts with HSBC InvestDirect? <i>If Yes, which account(s)?</i> _____	<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
5. Will any other person(s) other than the Applicant or Co-Applicant have: i) trading authority in this account? <input type="checkbox"/> Yes <input type="checkbox"/> No <i>If "yes" please complete form number 1090102</i> ii) power of attorney over this account? <input type="checkbox"/> Yes <input type="checkbox"/> No <i>If "yes" please complete form number 1090015</i> iii) guarantee this account? <input type="checkbox"/> Yes <input type="checkbox"/> No <i>If "yes" please complete form number 1090002</i> iv) financial interest in this account? <input type="checkbox"/> Yes <input type="checkbox"/> No <i>If "yes" please state nature of interest and name</i> _____			

Account Access Through Debit Card and Cheques

The Investment Access Portfolio (IAP) includes a Canadian Dollar bank account to allow you access to the Canadian funds in your HSBC InvestDirect Investment Access Portfolio. The primary applicant will receive a debit card and a Canadian Dollar cheque starter package.

Do you wish to receive a debit card for the co-applicant? Yes No

Overdraft Protection (Cash Accounts Only. Not available in Quebec.)

The IAP will include a \$500 overdraft protection. (Certain transaction fees may apply – see Rates & Fees Insert)

You may apply for additional overdraft protection by indicating below. A fixed monthly fee plus applicable interest will apply (see IAP insert/brochure for details).

I wish to apply for \$ _____ additional overdraft protection. (Additional Documentation Required)

US Dollar Cheques

If you have a US Dollar trading account, you may also request US Dollar cheques. Do you wish to receive US Dollar cheques? Yes No

Investment Access Portfolio Packages

All new accounts will be opened with an Activity Based Package. Alternatively, you may wish to select one of the following packages. (For complete details of each of these packages, please see the Rates & Fees insert.) Asset Power Package Total Power Package

National Instrument 54-101 – Communication With Beneficial Owners Of Securities Of A Reporting Issuer – Form 54-101F1 (Mandatory)

To: HSBC InvestDirect

I have read and understand the explanation to clients that you have provided me in the terms and conditions to this Account Agreement and the choices indicated by me apply to all of the securities held in this account.

PART 1 – Disclosure of Beneficial Ownership Information

Please mark the corresponding box to show whether you **OBJECT** or **DO NOT OBJECT** to us disclosing your name, address, electronic mail address, securities holdings and preferred language of communication (English or French) to issuers of securities you hold with us and to other persons or companies in accordance with securities law. If you indicate that you **OBJECT**, we are entitled to charge you the reasonable costs incurred by us to forward security-holder materials to you in accordance with securities law.

I **OBJECT** to you disclosing the information described above.

I **DO NOT OBJECT** to you disclosing the information described above.

PART 2 – Receiving Security-holder Materials

Please mark the corresponding box to show whether you **WANT** to receive **ALL** materials sent to beneficial owners of securities or whether you **DECLINE** to receive all of the following materials:

- a) proxy-related materials for meetings at which only routine business is to be conducted;
- b) annual reports and financial statements that are not part of the proxy-related materials; and
- c) materials sent to security-holders that are not required by corporate or securities law to be sent.

I **WANT** to receive **ALL** security-holder materials sent to beneficial owners of securities.

I **DECLINE** to receive proxy-related materials for meetings at which only routine business is to be conducted, annual reports and financial statements that are no part of the proxy-related materials and materials sent to security holders that are not required by corporate or securities law to be sent. Even if I decline, or am considered to decline, to receive these three types of materials, I understand that a reporting issuer or other person or company is entitled to send these materials to me at their expense.

Note: These instructions do not apply to any specific request you give or may have given to a reporting issuer concerning the sending of interim financial statements of the reporting issuer.

PART 3 – Preferred Language of Communication

Please mark the corresponding box to show your preferred language of communication.

ENGLISH

FRENCH

I understand that the materials I receive will be in my preferred language of communication if the materials are available in that language.

Marketing Research Please help us with our Market Research. How did you hear about us? Please check (✓) one

- | | | | |
|---|--|--|---|
| <input type="checkbox"/> National Post (68) | <input type="checkbox"/> Sing Tao (18) | <input type="checkbox"/> Direct Mail (98) | <input type="checkbox"/> Statement Insert (20) |
| <input type="checkbox"/> Globe and Mail (70) | <input type="checkbox"/> World Journal (38) | <input type="checkbox"/> Internet (21) | <input type="checkbox"/> Outdoor/Transit Shelter (85) |
| <input type="checkbox"/> Other Daily Newspaper (65) | <input type="checkbox"/> Chinese Economic Times (69) | <input type="checkbox"/> HSBC Securities (82) | <input type="checkbox"/> Referred by Family/Friend/Associate (88) |
| <input type="checkbox"/> Radio English (50) | <input type="checkbox"/> Radio Chinese (78) | <input type="checkbox"/> Television (95) | <input type="checkbox"/> Other: _____ (00) |
| <input type="checkbox"/> Magazine (40) | <input type="checkbox"/> Email (30) | <input type="checkbox"/> HSBC (80) | |
| <input type="checkbox"/> Ming Pao (28) | <input type="checkbox"/> Investment Show (90) | <input type="checkbox"/> HSBC InvestDirect Brochure (75) | |

Referral (choose one if applicable)

Were you referred by HSBC Bank? or by a HSBC Securities Investment Advisor

If yes, please obtain the following information from your HSBC Bank Branch or HSBC Securities Investment Advisor:

HSBC Employee Officer Code HSBC Securities Investment Advisor Code

HSBC Employee Name/HSBC Securities Investment Advisor: _____ Telephone: (_____) _____

HSBC Bank or HSBC Securities Branch Number: _____

