



June 4, 2015

3268\*\*\*\*\*SNGLP

Veratex Inc  
682 PO Box  
New York NY 10108



**Re: Urgent - Information Required for your Account(s)**

**Client Reference Number: 8423**

HSBC is fully committed to U.S. regulatory efforts to strengthen anti-money laundering defenses and protect the integrity of the financial system. We have recently implemented new standards governing the types of information we collect from our customers. Our new standards also require us to refresh our records on existing customers on a regular basis. The adoption of these industry "best practice" standards protects our clients, HSBC, and the communities we serve, from undue risks.

As part of HSBC's new standards, a recent review of your account file found that your account(s) information with HSBC Bank USA, N.A. requires updating. In line with our new procedures, it is imperative we obtain all the necessary information from you to update our records. Please fully complete the enclosed form and return it along with the appropriate documentation identified in the form. Please return all forms and documentation at the same time using one of the methods below:

Mail: Please use the enclosed pre-addressed envelope  
Email: [bbcustcorrespond@us.hsbc.com](mailto:bbcustcorrespond@us.hsbc.com)

**We must receive ALL of the requested information on the form and documentation by June 26, 2015 or your relationship will be reviewed for termination and your accounts subject to closure in accordance with the terms of your agreements with us.**

We apologize for any inconvenience this may cause, and appreciate your cooperation with this effort, which will help us to better serve your banking needs.

If you have any questions, please contact the Business Customer Service Center, toll-free from the U.S. or Canada at **877.472.2249** (option 1, followed by option 1) or collect from anywhere in the world at **716.841.7855**.

Sincerely,

George A. Srour  
Senior Vice President, Direct Relationship Management  
HSBC Bank USA, N.A.



## CLIENT QUESTIONNAIRE COMPLETION GUIDE

Please provide the following:

1. The full legal name of the business
  - *Please provide the full legal name of your business as it appears on your filing documents.*
2. The client reference number
  - *The client reference number is listed under the subject line in the enclosed letter.*
3. If the business has any trade names, DBA, or fictitious names, please list them here. Include any supporting documentation
  - *Please list any and all trade names, doing business as, or fictitious names.*
4. The business's website address
  - *Please provide the URL for the business. If one does not exist, simply mark "none".*
5. Please describe what the business does
  - a. Industries or business types in which the business participates
    - *Please describe the industries or business types in which the business participates. Examples could be, "The business manufactures fan blades for use in turbofans", "The business operates a fleet of delivery vehicles", "The business is a dry cleaner", or "The business is a convenience store".*
  - b. Types of customers with whom the business does business
    1. Business to consumer
    2. Business to business
    3. Business to government
      - *If the business is business to government, please describe which governments; e.g., United Kingdom, U.S. government, New York State, Suffolk County, City of Miami. If the business deals with a specific department within the government, please describe which departments; e.g., U.S. Department of Justice, California EPA Air Resources Board, San Francisco Public Works.*
  - c. Name of the business's key customer if any one provides more than 50% revenue
    - *If any single customer provides more than 50% of the business's annual revenue, please provide the name of that customer. Annual revenue is defined below under question 6.*
  - d. The business's OSHA SIC code
    - *The business's OSHA SIC code which may be determined at the OSHA website:  
[https://www.osha.gov/pls/imis/sic\\_manual.html](https://www.osha.gov/pls/imis/sic_manual.html)*

*This link goes to the SIC code manual structure. To use it, first determine which division the business belongs to, and then determine the Major Group. Click on the Major Group to see the Industry Group listings, and then click on the specific industry type to see the description of that industry. For example, if the business is a convenience store, it would be classified under Division G: Retail Trade, Major Group 53: General Merchandise Stores, Industry Group 533: Variety Stores, SIC code 5331 for Variety Stores. However, if the convenience store's business model more closely aligns with the description found under 5399 Miscellaneous General Merchandise Stores, then the SIC code of 5399 should be used.*

8. Is the business U.S. only? Yes or No

- *Does the business have a pure domestic U.S. presence defined as customers, suppliers, operations, and assets are all located within the U.S. or its territories. If yes, skip question 9.*

9. If No, list the countries the business:

a. Has sales to

- *List countries where the business on an annual basis sells 10% or more of its goods or services. This would be considered revenue from those countries. Include the percentage of sales by country for those countries that the business derives 10% or more of its revenue.*

b. Has suppliers in

- *List countries where the business on an annual basis purchases 10% or more of its supplies or services. This would be considered purchases from those countries. Include the percentage of suppliers by country for those countries that the business derives 10% or more of its purchases.*

c. Has assets in

- *List countries where the business holds 10% or more of its assets. Include the percentage of assets by country for those countries that the business holds 10% or more of its assets.*

d. Has physical operations in

- *List those countries in which the business itself has a physical presence, staff, offices, or subsidiaries.*

10. Please provide a signed W-9 or W-8

- *Please go the following website and search for W-9 or W-8 (as appropriate) <http://apps.irs.gov/app/picklist/list/formsPublications.html> and print, complete, and sign the form. The paper form or a scanned copy of it should be returned to HSBC.*

11. Ownership

a. Please provide an explanation or diagram of your ownership structure for any entities or individuals who own 10% directly or indirectly or more of your business

- *An explanation of the business's ownership structure could be as simple as:*

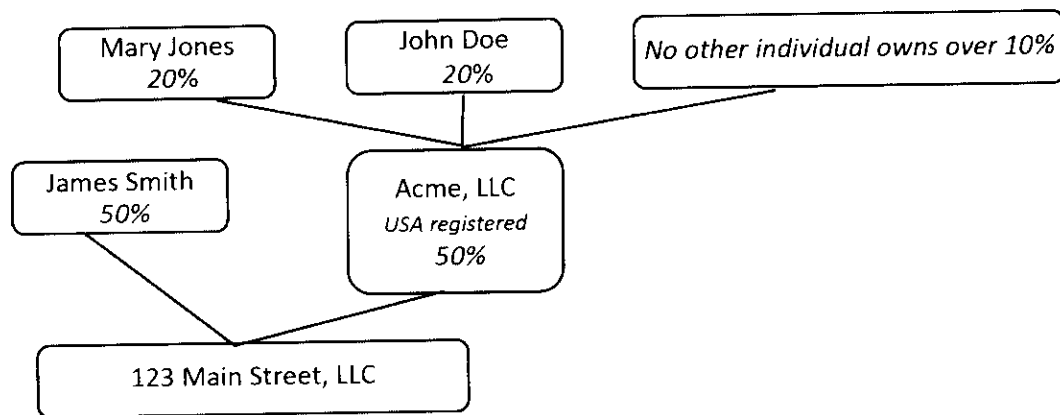
*Example 1: "The general partnership of 'Smith, Jones, and Doe Partners' is made of James Smith, Mary Jones, and John Doe. Each owns a third of the partnership".*

*Example 2: "123 Main Street, LLC is owned 50% by James Smith and 50% by Acme, LLC (a USA registered company), which is in turn, owned 40% by Mary Jones and 40% by John Doe. No other individual owns 10% or more of 123 Main Street, LLC." In this example for 123 Main Street, LLC, Smith owns 50%, Jones owns 20% (50% x 40%) and Doe owns 20% (50% x 40%);*  
*or*

- *An ownership structure could be described in a spreadsheet that lists individual's or entity's ownership percentage; or*
- *The ownership chart could be completed along with a diagram. For the title, please use the person's corporate title. If the person does not have a corporate title and is merely an owner, simply use "owner."*

Example 2:

Name	Citizenship	Residential Address	Title	Ownership %
1. James Smith	USA	25255 W 20 <sup>th</sup> St, Apt. 810 New York, NY 10011	President	50%
2. Mary Jones	Canada	1570 E Spring St Vancouver, BC V6P2V5 CANADA	Owner	20%
3. John Doe	United Kingdom	4 Hanson Place Brooklyn, NY 11217	Vice President & Secretary	20%
4. No other individual owns over 10%				



- Or by some other method that is clear to understand
  - Please indicate, whenever possible, that no individual owns more than 10% of the business, as in example 2 above.
- b. For any entity listed above, please provide:
1. Percentage of ownership
    - This could be either the percentage of indirect ownership or the percentage of the direct subsidiary. In example 2 above, it is expressed as the percentage of direct ownership.
  2. Country of incorporation/registration
    - This should be the country in which the entity was formed or incorporated.
- c. For any individual listed above, please provide:
1. Copy of identification document
    - U.S. Driver's License (Permanent, Temporary and Learner's Permit) with photograph and signature, issued by a state, district, commonwealth, or territory of the United States
    - U.S. Non-Driver Identification Card with photograph and signature, issued by a state, district, commonwealth, or territory of the United States
    - U.S. Passport
    - U.S. Passport Card
    - U.S. Armed Forces Identification Card

- b. If none other than those listed above, please indicate here
- *If there are no key controllers other than the individuals already identified on this questionnaire, please indicate as "No additional key controllers".*

14. Formation/Registration Documents

- a. Please provide one from attached list
- *Please provide a paper or scanned copy of one of the following:*
    - *Certificate of Incorporation or equivalent jurisdictional document (may be obtained from government websites)*
    - *Articles of Association/Organization*
    - *Limited Partnership Agreement*
    - *General Partnership Agreement*
    - *LLC Operating Agreement*
    - *Business Name Filing Document*
    - *Executed By-laws*
- b. If your business or partnership does business under an assumed name or names (DBA), please provide the Business Name Filing Document for each name
- *In most cases, a business doing business as another name will have a Business Name Filing Document. This document's name varies from jurisdiction to jurisdiction and is often referred to as an Assumed Name Certificate. They are generally filed at the State or County level and usually have a date / time stamp on them as proof of filing. Professional partnerships operating under the owners' names might not have to file such a certificate. In these rare cases, please indicate that you are not required to file and provide copies of all partners' professional licenses or evidence from a state website that the partner is licensed to practice in that state.*
  - *If the business operates under numerous names, please provide a paper or scanned copy of each Business Name Filing Document. Please include this even if the DBA does not bank with HSBC.*

15. If your business banks with HSBC outside of the United States of America, please list which countries:

- *If the company, or a related company, banks with HSBC outside of the U.S., please indicate which countries.*