



## 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.*

*Note that there is no SIC code for importers or exporters; in these cases, please use the SIC code that best describes the goods being traded. If the business imports household electrical goods to sell to other businesses, a SIC code of 5064 (Division F: Wholesale Trade, Major Group 50: Wholesale Trade-durable Goods, Industry Group 506: Electrical Goods, Electrical Appliances, Television and Radio Sets). If the business imports household electrical goods to sell directly to consumers, the business would fall under Division G: Retail Trade, Major Group 57: Home Furniture, Furnishings, And Equipment Stores, and then be further refined by industry group and industry.*

*A SIC code of 9999 should be avoided if at all possible.*

- e. Is the business a Commercial Operating Business or Holding Company?
  - *Indicate if the business is an actual operating enterprise or if it is holding company that owns other companies.*
- f. If it is a Holding Company, what is its economic purpose?
  - *If the business is a Holding Company, indicate the purpose for its existence. For example, the holding company is set up to consolidate ownership for more efficient control purposes or for tax consolidation benefits.*
- g. Approximate number of employees
  - *Indicate the number of employees the company has. If the exact number is not known, use the following bands:*  
0; 1-10; 11-25; 26-50; 51-75; 76-100; 101-125; 126-150; 151-200; 201-250; 251-300; 301-400; 401-500; Over 500
- h. If the business is an importer or exporter and does not take physical possession of the goods, please provide the names and countries of suppliers and customers
  - *If the business acts as a middleman and does not take physical possession of the underlying goods (for example, arranges drop shipments or buys/sells bills of lading and has no storage facilities), please list the names of the business's suppliers and customers. Also include the countries in which the suppliers and customers operate.*
- i. Does the business provide Western Union, MoneyGram, or other funds transfer services?
  - *Does any part of the business sell Western Union, MoneyGram, or other money transfer services?*
    1. If yes, what percentage of total revenue is derived from money transfer services?
      - *Please provide the percentage of revenue that comes from Western Union, MoneyGram, or other money transfer services*
- j. Does the business have any ATMs?
  - *Does the business own, lease, or have an ATM(s) on its premises?*
    1. If yes, please provide the name of the servicing company for the ATM(s)
      - *If the business does own, lease, or have an ATM(s) on its premises, please provide the name of the ATM servicing company(ies).*

6. The business's annual revenue
  - *List how much money the business makes in a year. This is different from profit; it is the amount of revenue generated.*
7. The business's approximate size of assets
  - *List approximately how much in total assets the business has in U.S. dollars. Assets would include, but not be limited to, cash in bank accounts, stocks and other securities, equipment, real estate, any other property, etc.*

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

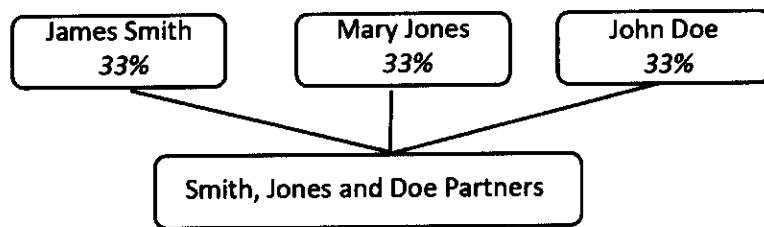
- *Please go the following website and search for W-9 or W-8 (as appropriate) <http://apps.irs.gov/app/picklist/list/formsPublications.html> and print, complete, and sign the form. The paper form or a scanned copy of it should be returned to HSBC.*

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."*

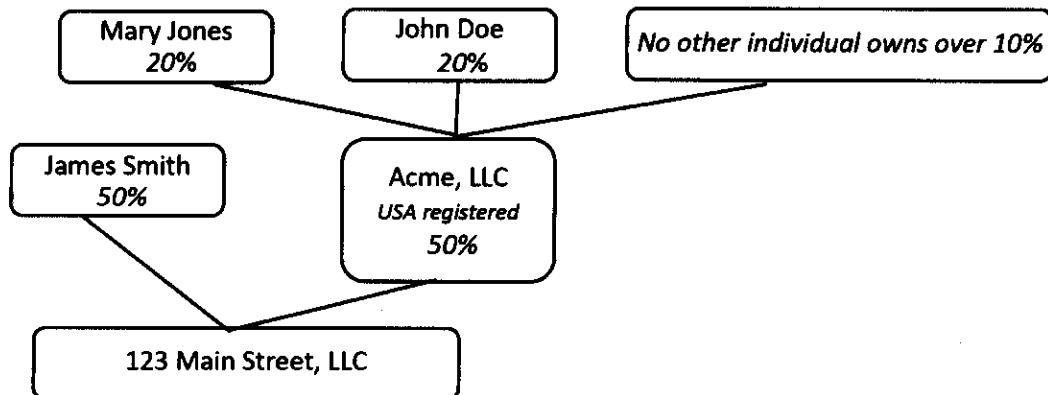
*Example 1:*

Name	Citizenship	Residential Address	Title	Ownership %
1. James Smith	USA	25255 W 20 <sup>th</sup> St, Apt. 810 New York, NY 10011	General Partner	33.3%
2. Mary Jones	Canada	1570 E Spring St Vancouver, BC V6P2V5 CANADA	General Partner	33.3%
3. John Doe	United Kingdom	4 Hanson Place Brooklyn, NY 11217	General Partner	33.3%



*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*

- *Foreign National Identity Card with photograph. Identity card has to be issued by a home country (e.g., Cedula Card) with a government identification number or date of birth.*
- *Foreign Passport*
- *Permanent Resident Card (Form I-551 aka Green Card)*

2. Citizenship
  - *If this is indicated on the identification document above, there is no need to provide it again. It may also be documented within the ownership structure as outline above in question 9.a.*
3. Residential address
  - *If this is indicated on the identification document above, there is no need to provide it again. It may also be documented within the ownership structure as outlined above in question 9.a.*
4. Role within company (CEO, Treasurer, Member, etc.)
  - *This may be included in the ownership structure as above in 9.4 or listed separately.*

d. Have there been any changes to ownership in the past five years?

- *If there has been a material change to ownership (more than 10% change), answer "yes."*
  1. If yes, please describe the change(s) below:
    - a. *For example 2 above, "In 2012, Mary Jones became an owner after having bought out Jane Doe's share."*

## 12. Signers

- a. If your company has any authorized signers on HSBC accounts (bookkeepers, accountants, etc.) please provide a copy of their identification document (see attached list)
  - *Please include a copy of the signer(s)' identification documents as listed above in question 9.c.1.*

## 13. Directors/Officers/Key Controllers

- a. If your company has any directors, officers, or other individuals who exercise control within your company who are not listed above, please provide the following:
  - *A key controller is someone who is elected or appointed to exercise more direct control over the business, by participating in the governance or senior executive activities of the Customer. Key controllers typically set the strategic direction of the entity. The title given to a key controller varies according to the type of entity. Most commonly, a key controller will include the Chief Executive Officer (CEO), Chief Financial Officer (CFO), Managing Partner, General Partner, LLC manager, and Chairman of the Board. Usually, control is exercised jointly with other senior executive management.*
1. Full legal name
  - *The full legal name of the individual. It should be the exact same spelling as on the individual's passport or driver's license. It should not be a nickname or variation from what is on the individual's identification document. If the individual is a key controller only (is not an owner and does not sign for the business), then no identification document is required.*
2. Title
  - *Indicate the key controller's corporate title; e.g., Manager, CEO, President, etc.*
3. Citizenship
  - *List the key controller's country of citizenship.*
4. Country of residence
  - *List the key controller's country of citizenship.*
5. Date of birth
  - *List the key controller's date of birth.*

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*
- *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.*

