

**Why are we asking you to complete this form?**

In order for HSBC to comply with Canadian law (Common Reporting Standard (“CRS”) and Foreign Account Tax Compliance Act (“FATCA”)), HSBC must request information about your tax residency and U.S. Person status.

**What will we do with this information to comply with the CRS and FATCA?**

If you have tax residency in a country outside Canada or you are a U.S. Person, we may be required under Canadian law to report certain Account information to the Canada Revenue Agency (CRA). You can always ask us if we provided information to the CRA and what information was given.

**When do you need to send this to us?**

The completed form needs to be provided to us within 90 days of account opening.

If any of the information submitted on this form changes in the future, please provide us with an updated self-certification form within 30 days of the change.

**Who should complete this form?**

- An individual planning to open a personal (non business) or sole proprietor/sole trader Account;
- In some cases, even though you already have an Account, we may ask for you to complete the form;
- For joint account holders, each individual needs to complete a copy of this form;

Please note that if you have already provided us with information related to FATCA, you may still need to provide additional information for CRS – the CRS is governed by different provisions of Canadian law.

If you are completing this form on behalf of someone else, please ensure you tell them you have done so and tell us, in part 4, in what capacity you are signing. For example, you might be completing this form under a Power of Attorney or as a legal guardian on behalf of an account holder who is a minor. In addition, please provide us with written authorization from the Account Holder allowing you to sign the form on his or her behalf, where relevant.

# Individual Tax Residency Self-Certification Form

**(Please complete parts 1-3 in BLOCK CAPITALS)**

## Part 1

Identification of Individual Account Holder

### A. Name of Account Holder:

Last Name or  
Surname(s):

Title:

 Mr. Mrs. Ms. Miss

Other

First or Given  
Name:

Middle Name(s):

### B. Current Residence Address:

**Line 1** (e.g. House/Apt/Suite  
Name, Number, Street)

**Line 2** (e.g. Town/City/  
Province/County/State)

Country:

Postal Code / ZIP Code:

### C. Mailing Address: *(please only complete if different to the address shown in Section B)*

**Line 1** (e.g. House/Apt/Suite  
Name, Number, Street)

**Line 2** (e.g. Town/City/  
Province/County/State)

Country:

Postal Code / ZIP Code:

### D. Date of birth *(dd/mm/yyyy)*

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**Part 2**

Country of Residence for Tax Purposes (including Canada) and related Taxpayer Identification Number or equivalent number ("TIN")

Please complete the following table indicating (i) where the Account Holder is tax resident and (ii) the Account Holder's TIN for each country indicated.

For individuals who are resident in Canada for tax purposes, the TIN is generally the individual's Social Insurance Number. Outside Canada, a TIN is generally a tax number used in that jurisdiction to identify an individual or entity (or a functional equivalent in the absence of a TIN).

If the Account Holder is tax resident in more than three countries please use a separate sheet

If a TIN is unavailable please provide the appropriate reason **A, B** or **C as indicated below:**

**Reason A** - Country where the Account Holder is liable to pay tax does not issue TINs to its residents

**Reason B** - Account Holder is otherwise unable to obtain a TIN or equivalent number (*Please explain why the Account Holder is unable to obtain a TIN in the below table*)

**Reason C** – Account Holder has applied for a TIN but has not yet received it. Account Holder will provide this TIN to HSBC within 15 days of receipt

	Country of tax residence	TIN	If no TIN available enter Reason A, B or C
1			
2			
3			

Please explain in the following boxes why the Account Holder is unable to obtain a TIN if Reason **B** was selected.

1	
2	
3	

**Part 3**

U.S. Person and related TIN (*See Definitions*)

Is the Account Holder a United States (U.S.) person for U.S. tax purposes? (Note: A U.S. person includes a U.S. resident for tax purposes or a U.S. citizen.)

no

yes

If "yes", provide the U.S. TIN: \_\_\_\_\_

## Part 4

### Declarations and Signature

I understand the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with HSBC setting out how HSBC may use and share the information supplied by me.

I acknowledge the information contained in this form and information regarding the Account Holder and his/her account(s) may be provided to the tax authorities of the country in which the account(s) is/are maintained and exchanged with tax authorities of another country or countries in accordance with the applicable legislation and/or intergovernmental agreements to exchange account information.

I certify I am the Account Holder (or am authorized to sign for the Account Holder) of all the account(s) to which this form relates.

I certify where I have provided information regarding any other person that I will, within 30 days of signing this form, notify those persons I have provided such information to HSBC and that such information may be provided to the tax authorities of the country in which the account(s) is/are maintained and exchanged with tax authorities of another country or countries in accordance with the applicable legislation and/or intergovernmental agreements to exchange account information. It is the express wish of the parties that this document and any related documents be drawn up and executed in English. Les parties conviennent que le présent document et tous les documents s'y rattachant soient rédigés et signés en anglais.

**I certify all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.**

I will advise HSBC within 30 days of any change in circumstances which results in information in this form becoming incorrect, and will provide HSBC with an updated self-certification and declaration within that time.

Signature:

Print name:

Date:

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**Note:** If you are not the Account Holder, please indicate the capacity in which you are signing the form, along with a written authorization from the Account Holder permitting you to sign on his or her behalf.

Capacity:

# Additional Information

## Where to go for more information about CRS and FATCA

- Contact your tax advisor
- Visit the HSBC website [www.hsbc.ca](http://www.hsbc.ca)
- Visit the CRA website [www.cra-arc.gc.ca](http://www.cra-arc.gc.ca) or call 1-800-959-8281 (Canada and the U.S.) or from elsewhere call 613-940-8495 (collect calls are accepted by the CRA)
- Call 1-888-310-HSBC (4722) or, if calling from outside Canada/U.S., call collect to +1-604-216-8800
- Contact your Relationship Manager, Investment Counsellor or visit a branch

## Definitions

**“Account”** generally means a financial account maintained by a Financial Institution and includes: Depository Accounts; Custodial Accounts; Equity and debt interest in certain Investment Entities; Cash Value Insurance Contracts; and Annuity Contracts.

**“Account Holder”** The term “Account Holder” generally means the person listed or identified as the holder of an Account.

**“HSBC”** refers to the following entities: HSBC Bank Canada, HSBC Investment Funds (Canada) Inc. (HIFC), HSBC Private Wealth Services (Canada) Inc. (HPWS) and HSBC InvestDirect (HIDC), a division of HSBC Securities (Canada) Inc.

**“U.S. Person”** includes, for individuals, a U.S. citizen and a U.S. resident for tax purposes and may include a “green card” holder or someone who is substantially present in the U.S. as defined under U.S. law. For further information, please contact your tax advisor.