

# Information about Investment Services / Securities Account

Click [here](#) to learn more about the risks associated with Listed Derivatives and Unit Trusts

## Important Notes

1. Any errors or discrepancies should be reported to the Bank within 90 days of the statement date otherwise this statement shall be considered to be correct. In this respect, please pay attention from time to time to the terms and conditions governing your account.
2. The market unit price and market value are for reference only.
3. Any currency conversion is based on the currency's prevailing exchange rate as at the close of business on the statement date. This equivalent balance is for reference only.
4. For some bonds/notes where a market price is not available, the nominal value will be shown under the Market Value Column.
5. The income amount credited is the gross entitlement less the total charges. If the Bank charges exceed the gross entitlement, we will deduct the total of the gross entitlement as the full and final settlement of our charges.
6. All dates/times of transactions refer to the time in the relevant market. For example, all dates/times for U.S. Stock trading refer to U.S Eastern Time (ET).
7. Trading fee refers to fees relating to the relevant regulatory authority or organisation/exchange. For example:
  - the trading fee collected for HKEx for H.K. stock transactions.
  - the SEC fee collected for U.S. stock sell transactions.

## Safe custody fee (applicable to bonds/certificates of deposits/ stocks)

For Personal banking customers, the safe custody fee will be collected monthly or half yearly in June and December of each year. Charges will be collected on or before 20th of the month. For Corporate customers, the safe custody fee will be collected half yearly in June and December of each year. If the collection day falls on the first day of the month and is not a business day, the fee may be collected on the business day which immediately precedes that day, subject to the decision of the Bank.

## Change of personal information

If you wish to change your contact information, please visit [www.hsbc.com.hk](http://www.hsbc.com.hk) to update the information. Please note for changing address:

- I. In compliance with securities dealing restrictions in the United States of America (US) and Canada (CN), customers changing any of their addresses on our record to US or CN will not be able to continue to enjoy our investment services.  
Please also note that personal customers (who are South Korean nationals) changing any of their addresses on our record to South Korea will not be able to continue to enjoy our investment services.
- II. If you are holding with the Bank an overseas securities account and/or treasuries/bonds/bank deposits (including CDs) or any other securities/investments **issued by a United States issuer**, you are required to separately submit to the Bank a new form W-8BEN (Certificate of Foreign status of Beneficial Owner for United States Tax Withholding) or such other form as required by the Bank from time to time incorporating your new address and other updated information.

## Statement abbreviations

### Transaction Types

PUR	Purchase
SAL	Sale
RVP	Receipt vs payment
XRP	Reversal of receipt vs payment
RFP	Receipt free of payment
XRF	Reversal of receipt free of payment
DVP	Delivery vs payment
XDP	Reversal of delivery vs payment
DFP	Delivery free of payment
XDF	Reversal of delivery free of payment
DEP	Deposit
WDL	Withdrawal
SLN	Securities loan out
SLR	Securities loan return
SWITCH IN	Unit trust switch in
SWITCH OUT	Unit trust switch out

### Quantity types

BON	Bonds
FMT	Face value
MSC	Miscellaneous
RTS	Rights
SHS	Shares
UNT	Units
WTS	Warrants

### Registration particulars

OWN NAME	Securities in name of accountholder
HSBC NOMINEES	Securities in name of HSBC Nominees (Hong Kong) Limited
STREET NAME	Securities in name of third party
BEARER	Securities in bearer form
ON LOAN	Securities out on loan

### Corporate event types

BNS	Bonus issue/bonus warrants
CON	Conversion of shares
CWN	Conversion of covered warrant
DWO	Dividend with option
ELI	Redemption of ELI
ELN	Redemption of ELN
IPO	Initial public offer
LIQ	Liquidation
LWC	Conversion of loan stock/warrant
MCA	Full call
MER	Merger
NCH	Name change
OOD	Open offer distribution
OOF	Open offer
PCA	Partial call
PUT	Put redemption
RDS	Rights distribution
RED	Full redemption
REX	Rights exercise
RIP	Dividend reinvestment
RSS	Reverse stock split
SCH	Scheme of arrangement
SDV	Stock dividend
SST	Stock split
TKO	Takeover (cash/scrip)
UTD	Unit trust distribution re-invest

### Others

N/A	Not applicable
TBC	To be confirmed

### Risk Level

Risk Lvl 1	= Low
Risk Lvl 2	= Low to Medium
Risk Lvl 3	= Medium
Risk Lvl 4	= Medium to High
Risk Lvl 5	= High

Risk Lvl NA = Product has not been risk rated

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