**Connected Party Form**

This document forms an integral part of the OKYC application, definitions of Connected Person/s is on the reverse of this page for your information.

**A separate page needs to be completed for EVERY Connected Person/s that qualifies and exercises control over the management of the Company / Entity for Applicant for Business** - Multiple Selection may be applicable as required

(use the TAB to move along the fields to be completed)

|  |  |  |  |
| --- | --- | --- | --- |
| HUB CUSTOMER NUMBER *for internal use only (as applicable, otherwise insert 000-000000)* | | **–** | |
| **CONNECTED PARTY/IES TYPES :** *For Internal Use Only – input code as per ZB18 codes B9 on C376 screen to cover any Involved Person/s ticked below under Customer Code below* | | | |
| D – DIRECTOR  S – SIGNATORY  K - KEY CONTROLLER  B - BENEFICIAL OWNER  V - DIRECT APPOINTEE  M - HSBCNET ADMIN/PYMT AUTHORISER  4 - CONNECTED PEP | G – GUARANTOR  C - ADDITIONAL CREDIT CARD HOLDER  J - ADDITIONAL DEBIT CARD HOLDER | | E – SETTLOR  F - FOUNDER (FOUNDATION)  I – CONTRIBUTOR  T – TRUSTEE (INDIVIDUAL)  5 - NOMINEE  Q - ADMINISTRATOR (INDIVIDUAL)  H - PROTECTOR (TRUSTS)  1 - CURATOR/GUARDIAN/PARENT  N - NAMED MINORS (UBO) |
| O - SOLE TRADER  W - POWER OF ATTORNEY | |
| **Customer Surname** | |  | |
| **Customer Name** | |  | |
| **Nationality** | |  | |
| **Country of Residence** | |  | |
| **Identity type (P or I)** | |  | |
| **Passport / Identity Card Number** | |  | |
| **Expiry date of Passport/Identity Card** | |  | |
| **Occupation / Position / Title**  **held within the Company** | |  | |
| **Time in industry Sector**  *(Number of years)* | |  | |
| **Employer’s Name**  *(if not with the applicant for Business)* | |  | |
| **Permanent**  **Residential**  **Address** *(Address Type to read ‘H’)* | |  | |
| **Date since at above Permanent Residential Address** | |  | |
| **If you have resided at the above address for less than three years, please provide the previous address** | |  | |
| **Beneficial Ownership %**  *(if applicable, otherwise insert 0)* | |  | |
| **Date of Birth** | |  | |
| **Country of Birth** | |  | |
| **Contact Telephone or Mobile Numbers** | |  | |
| **Contact Email address** | |  | |
| **Multiple Nationality (Y/N)** | |  | |
| **If YES - Provide other Nationality**  **(Otherwise insert N/A)** | |  | |
| **US Owner Flag (Y/N)** | |  | |
| **Tax Identification Number (TIN)** | |  | |
| **Country of Tax Residency** | |  | |

***HSBC Privacy Notice (version May 2018):***

*We have provided you with our Privacy Notice for Commercial Banking which applies to personal information held by HSBC Bank Malta p.l.c. and HSBC Life Assurance (Malta) Ltd as data controllers.  It explains what information we collect about you, how we’ll use that information, who we’ll share it with, the circumstances when we’ll share it and what steps we’ll take to make sure it stays private and secure. It continues to apply even if the agreement between us and the Customer with whom you are connected, for banking, insurance, investment or other products and services with us ends.*

*You are being requested to agree and sign this consent form in your capacity as a connected person to the above Customer of HSBC*

***Receipt of and consent to our Privacy Notice***

*You hereby acknowledge that you have received and understood our Privacy Notice.*

*Additionally, for the purpose of HSBC being able to satisfy its obligations under the Banking Act of 1994 and the Professional Secrecy Act of 1994, you hereby give your express consent to us sharing your information with other members of the HSBC group (HSBC Holdings plc, and or any of its affiliates, subsidiaries, associated* entities, and any of their branches or offices) and any other third parties. The way we share and process your information is explained in our Privacy Notice.

A certified copy of my [Identification and Verification](http://www.business.hsbc.com.mt/en-gb/mt/generic/download-centre) Document is attached to this application.

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Signature of the Connected Person Date

**Definitions of Key Connected Parties**

|  |  |
| --- | --- |
| **Beneficial Owner** | A Beneficial Owner is an individual or an entity who owns or exercises control over the Customer arising from their shareholding (including Ordinary / Preferential or Redeemable Shareholders) or other ownership interest in the Customer; or from control over the voting rights; or from exercising other control over the composition and/or the voting of the Board of Directors.  A Beneficial Owner can also be the party on whose behalf a transaction or activity is being conducted.  Note that:  **Ultimate Beneficial Owner (UBO)** - An individual who ultimately owns a legal entity and/or the person on whose behalf a transaction is being conducted. UBO is any person or entity that owns, has the right to vote, or has the power to sell or direct the sale of a class of the business' voting securities of an intermediate owner.  **Intermediate Beneficial Owner (IBO)** - An entity or legal arrangement (e.g. structure such as a trust, foundation etc.) identified as existing within the corporate structure that sits between the customer and the UBO (as defined above) in the ownership chain  **Immediate Owner** - Immediate owner is defined as the first layer of shareholding of an Entity or legal arrangement. The immediate owner can either be an IO or UBO within the corporate structure |
| **Director** | A Director is an appointed member of a Customer’s Board and may be either an executive or a non-executive.  The roles and responsibilities of a Board of Directors will vary according to the type of entity. A Director may or may not be a Key Controller for the purposes of CDD. For entities, certain Directors and managers will be classified as Key Controllers, due to their ability to exercise significant control over an entity and to have a substantial influence over the day-to-day management of the business. |
| **Key Controller** | A Key Controller is someone who is elected or appointed to exercise more direct control over the Customer entity, by participating in the governance or senior executive activities of the Customer. Key Controllers typically set the strategic direction of the entity.  For certain types of Entities, Signatories (who may not necessarily be Directors but are nominated to manage and administer account/s) are also considered as Key Controllers.    The title given to a Key Controller varies according to the type of Entity, Country of Operation, and Country of Incorporation / Registration / Formation. Most commonly, a Key Controller will include the Chief Executive Officer (CEO), Chief Financial Officer (CFO), Managing Partner and Chairman of the Board. Usually, control is exercised jointly with other Directors / Senior Executive Management. |
| **Direct Appointees (and others purporting to act on behalf of the Customer)** | A Direct Appointee is a person authorised under an executed instrument of the Customer Entity to act on its behalf with respect to the banking relationship and also to delegate authority to others to represent the Customer Entity in more limited circumstances, e.g. Direct Appointees may appoint Authorised Signatories.  The Company Secretary is generally a Direct Appointee.  Direct Appointees may not themselves be Key Controllers but are typically appointed by Key Controllers or the Board of Directors. They may or may not themselves be Authorised Signatories.  Direct appointees may be product specific eg. a HSBCnet Administrator / Payment authoriser who can nominate users and would be considered as a Direct Appointee. |
| **Authorised Signatories** | An Authorised Signatory is a Customer staff member who receives delegated authority to the Customer’s HSBC products and services. Authorised Signatories with Sole Authority over the Customer’s HSBC account / financial affairs are also considered to be Key Controllers due to the influence they have over the business.  Where Authorised Signatories are not recorded in product level due diligence, they may be recorded in the CDD Profile eg. a Corporate Cardholder with a credit sub-limit (corporate liability) would be considered an authorised signatory. |
| **Politically Exposed Person/s [PEP]**  **Or**  **Connected to PEP** | A Politically Exposed Person (PEP) means a person who occupies or occupied a prominent public function (eg. Head of State, Members of Parliament, Governmental Appointee, Member of the Judiciary, etc), immediate family members and close associates of such persons |