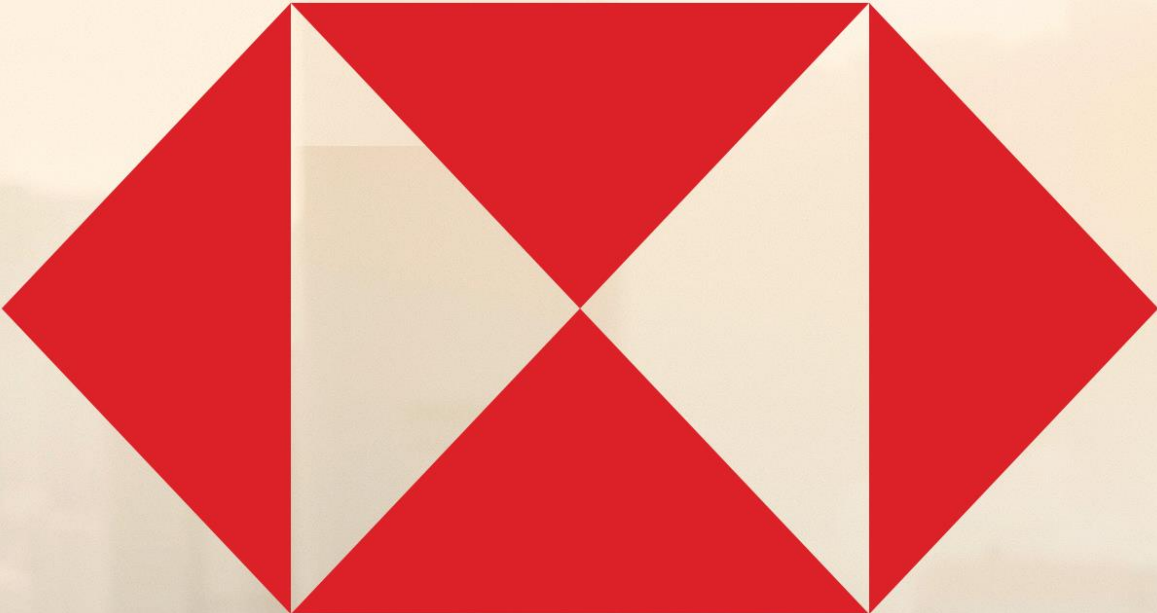


# HSBC Business Internet Banking

U.S. Stocks Trading User Guide



## Interface Overview

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The screenshot displays the HSBC Business Internet Banking interface. At the top, the HSBC logo and 'Business Internet Banking' text are on the left, while 'English' and a 'Log off' button are on the right. Below this is a navigation bar with 'Portfolio', 'Order Status', and 'Market' links. A search bar labeled 'Quote Search' is on the right. The main header area shows the user's name 'Un...', account type 'Account', and account number '123-456789-838'. Below the header, there are two market index cards: 'Dow Jones' with a value of 33,718.84 and a change of -26.85 (-0.08%), and 'NASDAQ' with a value of 11,066.90 and a change of -79.16 (-0.71%). Both cards include a 'View Chart' link. The main content area is titled 'Portfolio' and shows a table with market data for 'TEST TESTING'.

Market information shown is provided by a third-party service provider.

## 1. Search/Buy/Sell Stocks


The screenshot shows the HSBC Business Internet Banking interface. At the top right, there is a 'Quote Search' button with a magnifying glass icon, highlighted by a red box. A red arrow points from this button down to the search results panel shown in the next image.

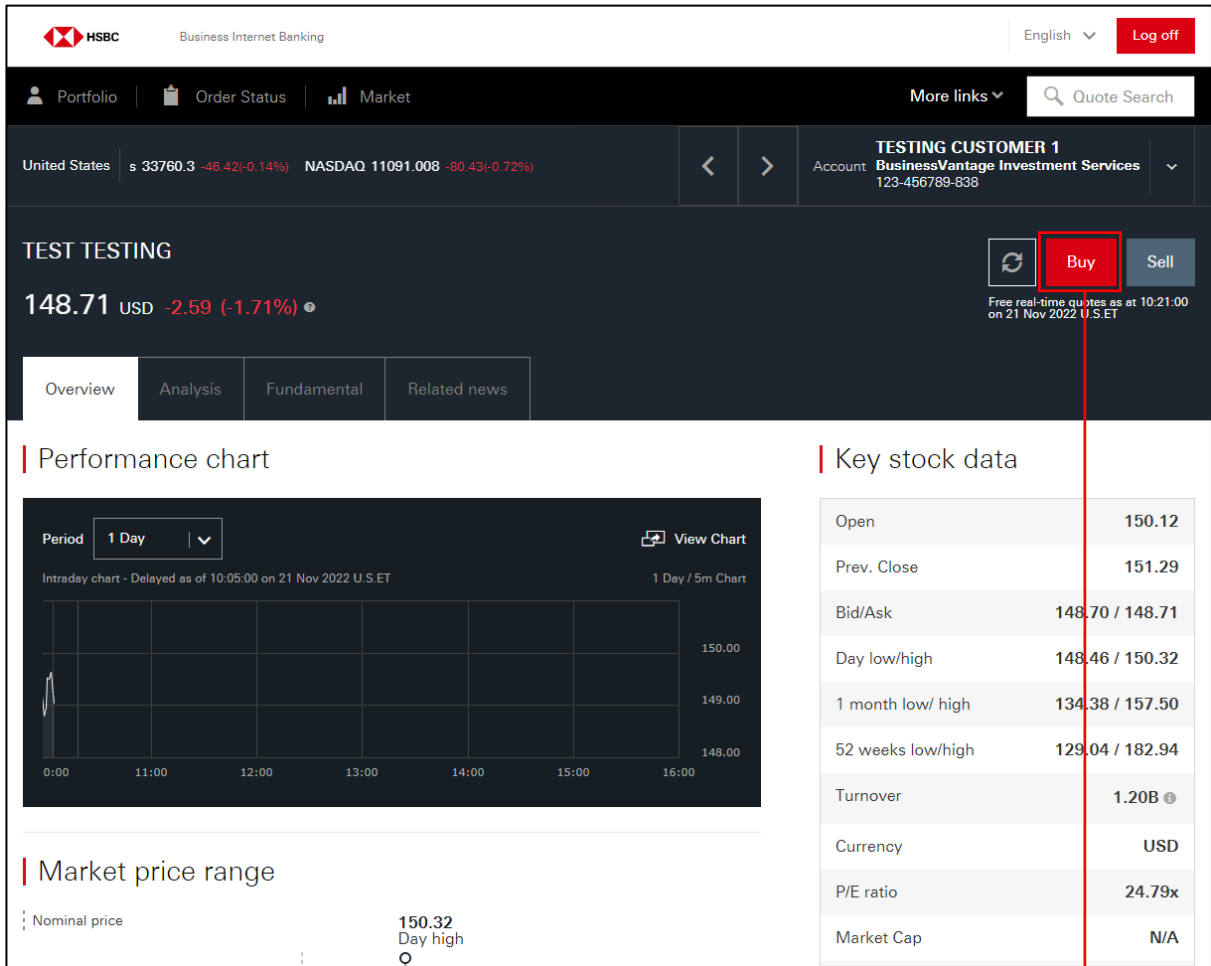
Use the “Quote Search” function to search stock by name or code to get the real-time stock quote.

The search results panel shows the 'United States' region selected with a red underline. Below it, there is a section for 'Recent searches'.

The search results panel shows the stock name 'TEST TESTING' selected and highlighted by a red box. A red arrow points from this box down to the text below.

Click on the stock name to view the detailed quote

On the detailed quote page, you can Buy/Sell, and click  to refresh detailed quote page.



HSBC Business Internet Banking

English Log off

Portfolio Order Status Market More links Quote Search

United States s 33760.3 -46.42(-0.14%) NASDAQ 11091.008 -80.43(-0.72%)

Account TESTING CUSTOMER 1 BusinessVantage Investment Services 123-456789-838

TEST TESTING 148.71 USD -2.59 (-1.71%)

Free real-time quotes as at 10:21:00 on 21 Nov 2022 U.S.ET

Buy Sell

Overview Analysis Fundamental Related news

### Performance chart

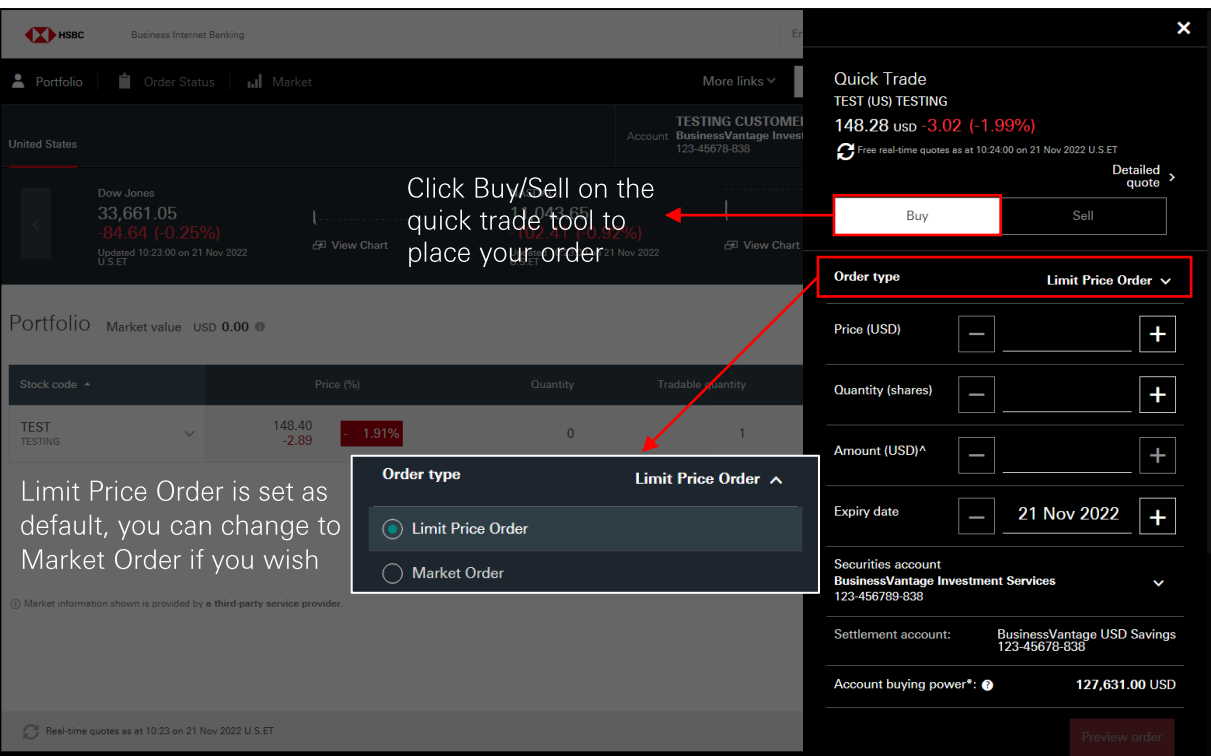
Period 1 Day View Chart

Intraday chart - Delayed as of 10:05:00 on 21 Nov 2022 U.S.ET

Open	150.12
Prev. Close	151.29
Bid/Ask	148.70 / 148.71
Day low/high	148.46 / 150.32
1 month low/ high	134.38 / 157.50
52 weeks low/high	129.04 / 182.94
Turnover	1.20B
Currency	USD
P/E ratio	24.79x
Market Cap	N/A

### Market price range

Nominal price 150.32 Day high



HSBC Business Internet Banking

Portfolio Order Status Market More links

United States TESTING CUSTOMER 1 BusinessVantage Investment Services 123-456789-838

Dow Jones 33,661.05 -84.64 (-0.25%)

TEST TESTING 148.28 USD -3.02 (-1.99%)

Free real-time quotes as at 10:24:00 on 21 Nov 2022 U.S.ET

Buy Sell

Order type Limit Price Order

Price (USD) Quantity (shares) Amount (USD)^ Expiry date 21 Nov 2022

Securities account BusinessVantage Investment Services 123-456789-838

Settlement account: BusinessVantage USD Savings 123-456789-838

Account buying power\*: 127,631.00 USD

Preview order


Click Buy/Sell on the quick trade tool to place your order

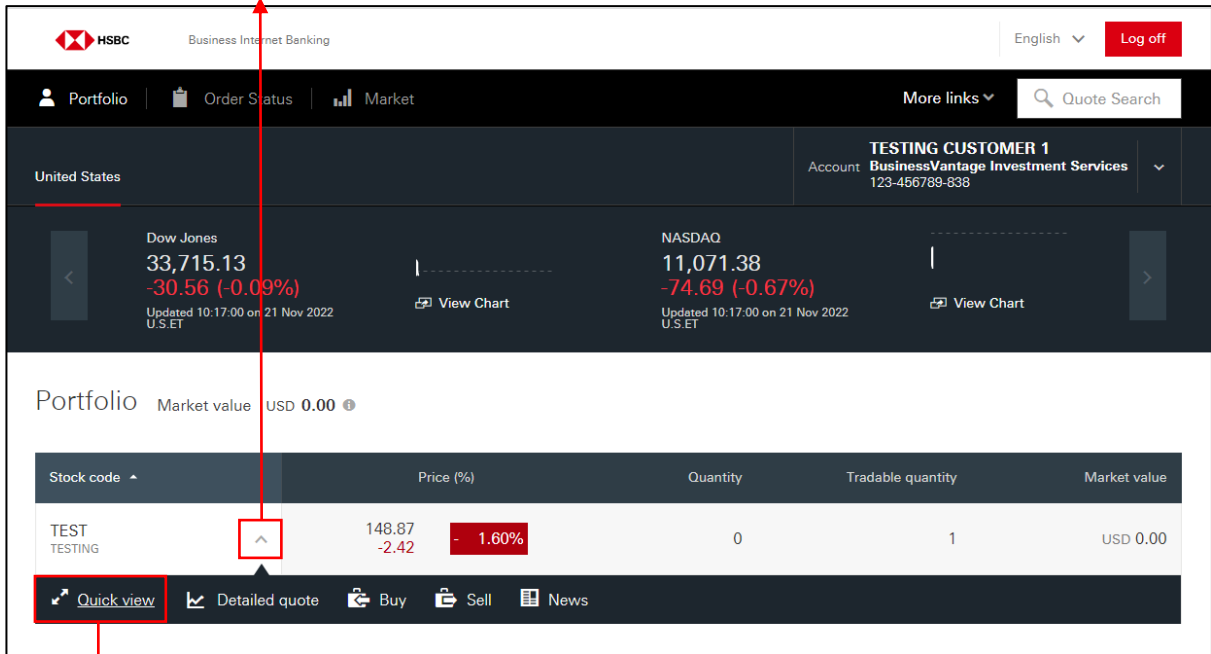
Limit Price Order is set as default, you can change to Market Order if you wish

Order type Limit Price Order Market Order

Real-time quotes as at 10:23 on 21 Nov 2022 U.S.ET

## 2. Portfolio

Click  to expand for more actions such as Detailed quote/Buy/Sell/News



HSBC Business Internet Banking

English Log off

Portfolio Order Status Market

More links Quote Search

United States TESTING CUSTOMER 1  
Account BusinessVantage Investment Services  
123-456789-838

Dow Jones 33,715.13 -30.56 (-0.09%)  
Updated 10:17:00 on 21 Nov 2022 U.S.ET View Chart

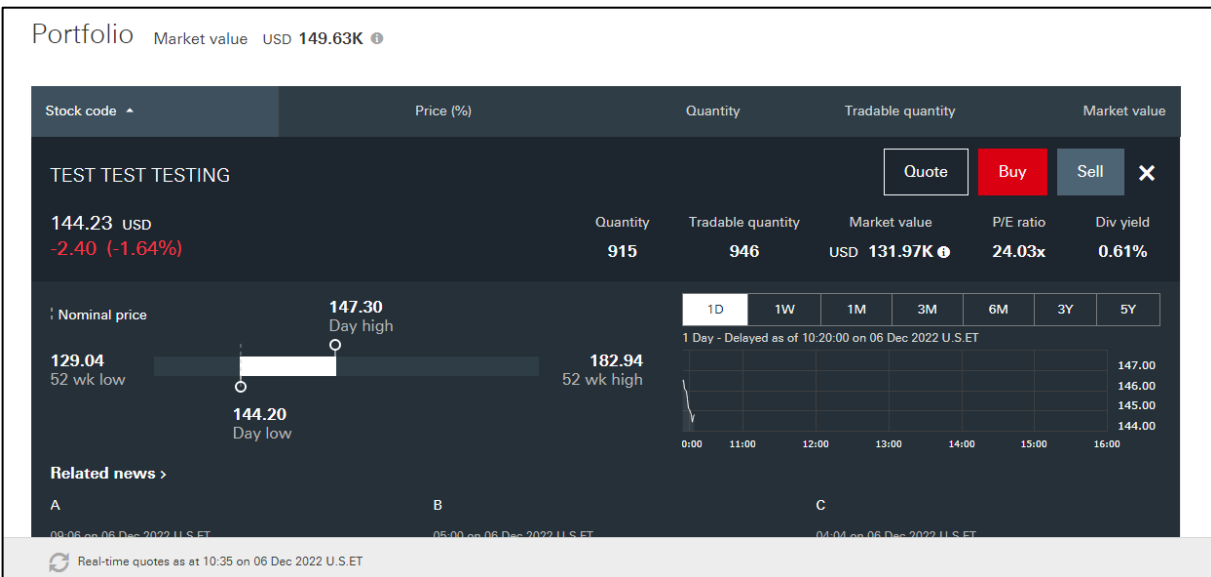
NASDAQ 11,071.38 -74.69 (-0.67%)  
Updated 10:17:00 on 21 Nov 2022 U.S.ET View Chart

Portfolio Market value USD 0.00

Stock code	Price (%)	Quantity	Tradable quantity	Market value
TEST TESTING	148.87 -2.42 -1.60%	0	1	USD 0.00

Quick view Detailed quote Buy Sell News

Click  to view more about the stock information



Portfolio Market value USD 149.63K

Stock code	Price (%)	Quantity	Tradable quantity	Market value
TEST TEST TESTING	144.23 USD -2.40 (-1.64%)	915	946	USD 131.97K

Quote Buy Sell

Quantity 915 Tradable quantity 946 Market value USD 131.97K P/E ratio 24.03x Div yield 0.61%

Nominal price 129.04 52 wk low 144.20 Day low 147.30 Day high 182.94 52 wk high


1D 1W 1M 3M 6M 3Y 5Y

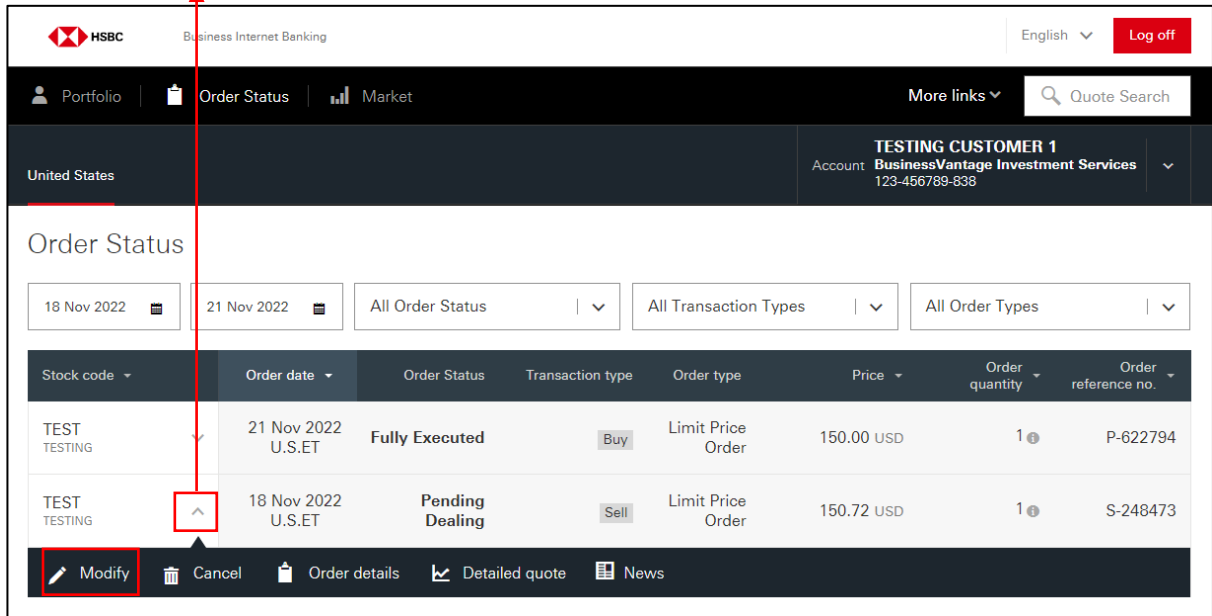
1 Day - Delayed as of 10:20:00 on 06 Dec 2022 U.S.ET

Related news >

Real-time quotes as at 10:35 on 06 Dec 2022 U.S.ET

### 3. Order Status

Click  to expand for more actions about your orders such as Modify/Cancel/Order details/Detailed quote/News




Order Status

18 Nov 2022 21 Nov 2022 All Order Status All Transaction Types All Order Types

Stock code	Order date	Order Status	Transaction type	Order type	Price	Order quantity	Order reference no.
TEST TESTING	21 Nov 2022 U.S.ET	Fully Executed	Buy	Limit Price Order	150.00 USD	1	P-622794
TEST TESTING	18 Nov 2022 U.S.ET	Pending Dealing	Sell	Limit Price Order	150.72 USD	1	S-248473

Modify Cancel Order details Detailed quote News

Click  **Modify** to modify the order

**Modify: Sell TEST(US) TESTING**  
 148.20 USD -3.10 (-2.05%)

Order type: Limit Price Order

Price(USD): 150.72  
 Bid **148.19** Ask **148.21**

Quantity (shares): 1  
 Lot size: 1  
 Executed quantity: 0  
 Outstanding quantity: 1

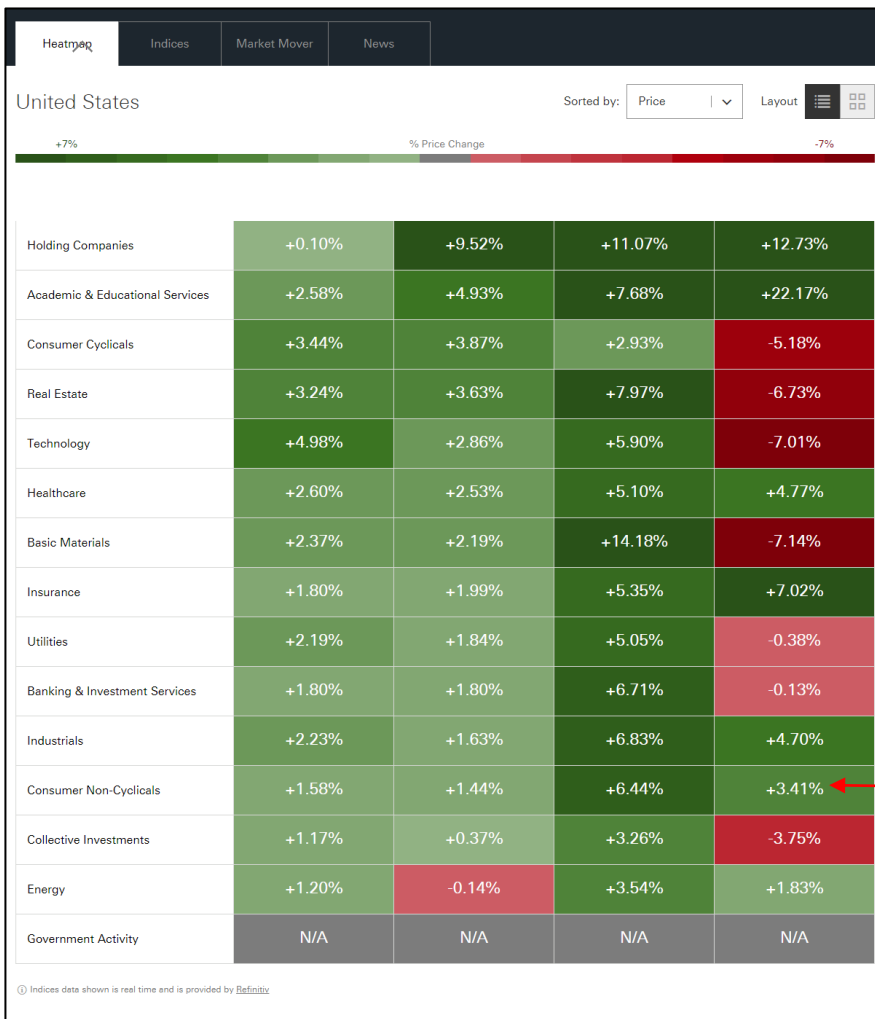
Expiry date: 18 Nov 2022

Securities account: BusinessVantage Investment Services  
 123-456789-838

Settlement account: BusinessVantage USD Savings  
 123-456789-838

**Preview order**

## 4. Market



Under "Market", you can obtain general market data such as Heatmap/Indices/Market Mover/News

Apart from general market data, you can go to Analysis tab in each of the stock to get dedicated Analyst Consensus, Average Score, Indicator Components, Average Score Trend, Peer/Sector Analysis

**TEST TESTING** Buy Sell

**148.35 USD** -2.94 (-1.94%)

Free real-time quotes as at 10:37:00 on 21 Nov 2022 U.S.ET

Overview **Analysis** Fundamental Related news

Last updated: 21 Nov 2022 ET

### Analyst Consensus

**Recommendations**

**12-Month Price Target**

Mean (USD)	178.150
High	214.000
Low	122.000
Number of analysts	41

### Average Score

4

Computers, Phones & Household Electronics	4.9
Technology Equipment	5.5
Mega Market Cap	6.9
S&P 500	6.5

### Indicator Components

Component	AAPL	Computers, Phones & Household Electronics
Earnings	7	4.7
Fundamental	8	5.1
Relative valuation	1	5.5
Risk	8	4.9
Price momentum	4	5.5
Insider trading	1	4.9
Overall	4	4.9

### Average Score Trend

Score Outlook (4 Wk Moving Avg.)

Neutral

**Neutral outlook**

AAPL's current average score is relatively in-line with the market.

### Peer Analysis

Computers, Phones & Household Electronics **4.9**    Technology Equipment **5.5**    Mega Market Cap **6.9**    S&P 500 **6.5**

Stock code	Price (delayed)	Average Score	3 Month return	1 Year return	Trailing PE	Forward PE	Dividend yield (%)	Thomson Reuters Broker Rating
TESTING	151.29 USD	4	-13.13%	-4.17%	24.80x	24.50x	0.61%	Buy
TESTING A	3.49 USD	2	+10.09%	-56.27%	-	-	-	Buy
TESTING B	11.45 USD	2	-23.10%	-18.51%	-	18.80x	-	Buy
TESTING C	0.15 USD	1	-81.22%	-96.22%	-	-	-	Buy
TESTING D	1.87 USD	-	+6.59%	-60.88%	-	-	-	-

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To protect you as an investor, please ensure you have read and understood the Explanation of Risks for Listed Derivatives in Hong Kong and Overseas Markets before purchasing any HK listed derivatives or US listed securities.



## 5. Substitute Form W-8

Choose 'Substitute Form W-8' from the dropdown menu of 'More links', if you meet the relevant conditions, you can follow the instruction to submit this substitute form.

Read through the notes and choose the corresponding form, click 'Continue' to proceed.



The screenshot shows the HSBC Business Internet Banking interface. At the top, there is a navigation bar with the HSBC logo, 'Business Internet Banking', language settings (English), and a 'Log off' button. Below this is a secondary navigation bar with 'Portfolio', 'Order Status', and 'Market' icons. A 'More links' dropdown menu is open, showing options for 'Substitute Form W-8' (highlighted with a red box), 'Help', and 'Investment Services'. A search bar with 'Quote Search' is also visible.

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The second screenshot shows the 'Substitute Form W-8BEN/ Substitute Form W-8BEN-E' page. It contains the following text:

To start trading U.S. stocks on the HSBC Business Internet Banking, you may need to submit the substitute form.

Please read the form carefully to ensure you meet the relevant conditions. If you do not meet the relevant conditions, please complete an alternative U.S. tax form (IRS W form) provided here: <https://www.fatca.hsbc.com/en/cmb/hongkong> and submit through HSBC Business Internet Banking > Form & Document Submission Centre. Click [here](#) for a comprehensive user guide.

Please note there is no need to resubmit again unless the form you provided to us has expired or will be expired by the end of this year.

Submit substitute form W-8BEN (applicable to Sole Proprietorship only)  
 Submit substitute form W-8BEN-E (applicable to Corporation only)

**<Important Notes to Sole Proprietorship>**  
 This HSBC Substitute Form W-8BEN may be used for the purposes of trading U.S. stocks by an individual that is a non-USP tax resident only

For non-U.S. person to trade U.S. stocks, please complete the substitute form W-8BEN. If you're entities to claim special tax treaty rates, you'll need to complete the IRS Form W-8BEN <https://www.fatca.hsbc.com/en/cmb/hongkong> and submit through HSBC Business Internet Banking.

U.S. Stock Trading is only for non-U.S. persons. If you are a U.S. citizen or other U.S. person including a resident alien individual, and you need to update your tax status in your records with us, please complete the W-9 form and submit through HSBC Business Internet Banking.

**<Important Notes to Corporation>**  
 This HSBC Substitute Form W-8BEN-E may be used for the purposes of trading U.S. stocks by an entity that is (a) is a Hong Kong tax resident only; and (b) has a FATCA classification of Active Non-Financial Foreign Entity (Active NFFE).

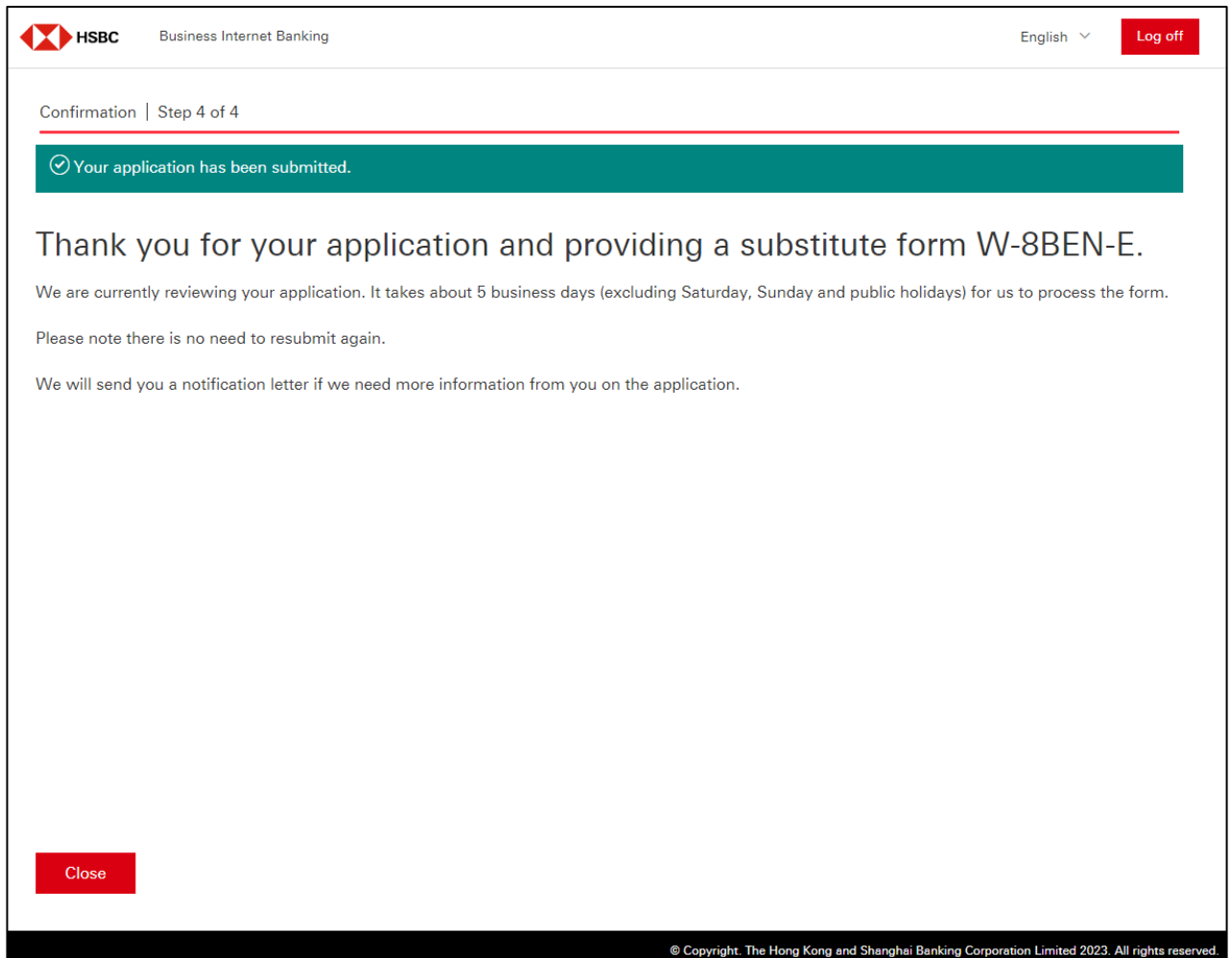
If an entity meets any of the following criteria: (1) is a non-HK tax resident; (2) is a Disregarded Entity for U.S. tax purposes; (3) has a Chapter 3 status (entity type) other than Corporation; (4) has a Chapter 4 status (FATCA status) other than Active NFFE; and/or (5) is entitled to claim special tax treaty rates, you will need to complete an alternative U.S. tax form (IRS W-form).

Note: Chapter 3 means chapter 3 of Subtitle A in the United States Internal Revenue Code (Withholding of Tax on Nonresident Aliens and Foreign Corporations).

At the bottom of the page, there are '< Cancel' and 'Continue' buttons. The 'Continue' button is highlighted with a red box.

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Follow the instructions to fill in the W-8 form before you can start using stock trading services. After the substitute form W-8BEN / W-8BEN-E has been submitted, you can see the acknowledgement page.



The screenshot shows the HSBC Business Internet Banking interface. At the top left is the HSBC logo and the text "Business Internet Banking". At the top right, there is a language dropdown menu set to "English" and a red "Log off" button. Below the header, the page indicates "Confirmation | Step 4 of 4". A prominent teal banner with a white checkmark icon contains the text "Your application has been submitted." Below this banner, the main heading reads "Thank you for your application and providing a substitute form W-8BEN-E." The following text states: "We are currently reviewing your application. It takes about 5 business days (excluding Saturday, Sunday and public holidays) for us to process the form. Please note there is no need to resubmit again. We will send you a notification letter if we need more information from you on the application." At the bottom left, there is a red "Close" button. At the bottom right, a small copyright notice reads: "© Copyright. The Hong Kong and Shanghai Banking Corporation Limited 2023. All rights reserved."