

1.) CORPORATION NAME:

**HSBC Securities (USA) Inc.**

DUE DATE: **1/31/2013**

2.) VA REGISTERED AGENT NAME AND OFFICE ADDRESS:

**CT CORPORATION SYSTEM  
4701 COX RD STE 301  
GLEN ALLEN, VA 23060-6802**

SCC ID NO: **F1614199**

5.) STOCK INFORMATION

CLASS	AUTHORIZED
COMMON	1,000

3.) CITY OR COUNTY OF VA REGISTERED OFFICE:

**HENRICO COUNTY**

4.) STATE OR COUNTRY OF INCORPORATION:

**DE**

6.) PRINCIPAL OFFICE ADDRESS:

ADDRESS: 452 FIFTH AVE  
TOWER 7

CITY/ST/ZIP: NEW YORK, NY 10018

7.) DIRECTORS AND PRINCIPAL OFFICERS: All directors and principal officers must be listed. An individual may be designated as both a director and an officer.

NAME:	MARK STEFFENSEN	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	SECRETARY		
ADDRESS:	452 FIFTH AVE		
CITY/ST/ZIP/CO:	NEW YORK, NY 10018		
NAME:	PATRICK NOLAN	<input checked="" type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	CEO		
ADDRESS:	452 5TH AVE		
CITY/ST/ZIP/CO:	NEW YORK, NY 10018		
NAME:	WILLIAM WONG	<input checked="" type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	CEO		
ADDRESS:	452 5TH AVE		
CITY/ST/ZIP/CO:	NEW YORK, NY 10018		
NAME:	TIBERIO MASSARO	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	CFO		
ADDRESS:	8 WINIFRED COURT		
CITY/ST/ZIP/CO:	MATAWAN, NJ 07747		
NAME:	CHRISTOPHER O'DONNELL	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	CCO/MNG DIR		
ADDRESS:	452 5TH AVENUE		
CITY/ST/ZIP/CO:	NEW YORK, NY 10018		
NAME:	WILLIAM WONG	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	DIRECTOR		
ADDRESS:	452 5TH AVE		
CITY/ST/ZIP/CO:	NEW YORK, NY 10018		

NAME:	JEFF KRAEBEL	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	VICE PRESIDENT		
ADDRESS:	452 FIFTH AVE 22D FLOOR		
CITY/ST/ZIP/CO:	NEW YORK, NY 10018		

I AFFIRM THAT THE INFORMATION CONTAINED IN THIS ELECTRONIC REPORT IS ACCURATE AND COMPLETE AS OF THE DATE BELOW AND THAT I AM LEGALLY AUTHORIZED TO SIGN THIS REPORT.

/s/ JEFF KRAEBEL	JEFF KRAEBEL, VICE PRESIDENT	12/11/2012
SIGNATURE OF DIRECTOR/OFFICER LISTED IN THIS REPORT	PRINTED NAME AND CORPORATE TITLE	DATE

It is a Class 1 misdemeanor for any person to sign a document, which includes this electronic record, that is false in any material respect with the intent that the document be delivered to the Commission for filing.