

1.) CORPORATION NAME:

HSBC Securities (USA) Inc.

DUE DATE: **1/31/2014**

2.) VA REGISTERED AGENT NAME AND OFFICE ADDRESS:

**CT CORPORATION SYSTEM
4701 COX ROAD, SUITE 285
GLEN ALLEN, VA**

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:	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		

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:	CHRISTOPHER O'DONNELL	<input checked="" type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	CCO/MNG DIR		
ADDRESS:	452 5TH AVENUE		
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	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	CCO		
ADDRESS:	452 5TH AVE 22D FLOOR		
CITY/ST/ZIP/CO:	NEW YORK, NY 10018		

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: DIANE DITONDO TITLE: VICE PRESIDENT ADDRESS: 2929 Walden Ave Column C68 CITY/ST/ZIP/CO: Depew, NY 14042	<input checked="" type="checkbox"/> OFFICER <input type="checkbox"/> DIRECTOR	
NAME: STEPHANIE GIRON TITLE: VICE PRESIDENT ADDRESS: 1301 E Tower Rd CITY/ST/ZIP/CO: SCHAUMBURG, IL 60173	<input checked="" type="checkbox"/> OFFICER <input type="checkbox"/> DIRECTOR	
NAME: SUSAN YOUNG TITLE: VICE PRESIDENT ADDRESS: 1301 E Tower Rd CITY/ST/ZIP/CO: Schaumburg, IL 60173	<input checked="" type="checkbox"/> OFFICER <input type="checkbox"/> DIRECTOR	
NAME: FRANK WEIGAND TITLE: ASST SECRETARY ADDRESS: 452 5TH AVENUE CITY/ST/ZIP/CO: NEW YORK, NY 10018	<input checked="" type="checkbox"/> OFFICER <input type="checkbox"/> DIRECTOR	
NAME: JANE KNIGHT TITLE: ASST SECRETARY ADDRESS: 452 FIFTH AVENUE CITY/ST/ZIP/CO: TOWER 7 NEW YORK, NY 10018	<input checked="" type="checkbox"/> OFFICER <input type="checkbox"/> DIRECTOR	
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 SIGNATURE OF DIRECTOR/OFFICER LISTED IN THIS REPORT	JEFF KRAEBEL, VICE PRESIDENT PRINTED NAME AND CORPORATE TITLE	12/12/2013 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.		