

THIRD AMENDED GENERAL INFORMATION SHEET (GIS)

2022

STOCK CORPORATION

GENERAL INSTRUCTIONS:

1. FOR USER CORPORATION: THIS GIS SHOULD BE SUBMITTED WITHIN THIRTY (30) CALENDAR DAYS FROM THE DATE OF THE ANNUAL STOCKHOLDERS' MEETING. **DO NOT LEAVE ANY ITEM BLANK.** WRITE "N.A." IF THE INFORMATION REQUIRED IS NOT APPLICABLE TO THE CORPORATION OR "NONE" IF THE INFORMATION IS NON-EXISTENT. IF THE ANNUAL STOCKHOLDERS' MEETING IS HELD ON A DATE OTHER THAN THAT STATED IN THE BY-LAWS, THE GIS SHALL BE SUBMITTED WITHIN THIRTY (30) CALENDAR DAYS AFTER THE ELECTION OF THE DIRECTORS, TRUSTEES AND OFFICERS OF THE CORPORATION AT THE ANNUAL MEMBERS' MEETING.
2. IF NO MEETING IS HELD, THE CORPORATION SHALL SUBMIT THE GIS NOT LATER THAN JANUARY 30 OF THE FOLLOWING YEAR. HOWEVER, SHOULD AN ANNUAL STOCKHOLDERS' MEETING BE HELD THEREAFTER, A NEW GIS SHALL BE SUBMITTED/FILED.
3. THIS GIS SHALL BE ACCOMPLISHED IN ENGLISH AND CERTIFIED AND SWORN TO BY THE **CORPORATE SECRETARY** OF THE CORPORATION.
4. THE SEC SHOULD BE TIMELY APPRISED OF RELEVANT CHANGES IN THE SUBMITTED INFORMATION AS THEY ARISE. FOR CHANGES RESULTING FROM ACTIONS THAT AROSE BETWEEN THE ANNUAL MEETINGS, THE CORPORATION SHALL SUBMIT AMENDED GIS CONTAINING THE NEW INFORMATION TOGETHER WITH A COVER LETTER SIGNED THE CORPORATE SECRETARY OF THE CORPORATION. THE AMENDED GIS AND COVER LETTER SHALL BE SUBMITTED WITHIN SEVEN (7) DAYS AFTER SUCH CHANGE OCCURED OR BECAME EFFECTIVE.
5. SUBMIT FOUR (4) COPIES OF THE GIS TO THE RECEIVING SECTION AT THE SEC MAIN OFFICE, OR TO SEC SATELLITE OFFICES OR EXTENSION OFFICES. ALL COPIES SHALL UNIFORMLY BE ON A4 OR LETTER-SIZED PAPER. THE PAGES OF ALL COPIES SHALL USE ONLY ONE SIDE
6. **ONLY THE GIS ACCOMPLISHED IN ACCORDANCE WITH THESE INSTRUCTIONS SHALL BE CONSIDERED AS HAVING BEEN FILED.**
7. THIS GIS MAY BE USED AS EVIDENCE AGAINST THE CORPORATION AND ITS RESPONSIBLE DIRECTORS/OFFICERS FOR ANY VIOLATION OF EXISTING LAWS, RULES AND REGULATIONS

===== PLEASE PRINT LEGIBLY =====

CORPORATE NAME: HSBC INVESTMENT AND INSURANCE BROKERAGE, PHILIPPINES INC.			DATE REGISTERED: 6/7/2002
BUSINESS/TRADE NAME: HSBC INVESTMENT AND INSURANCE BROKERAGE, PHILIPPINES INC.			FISCAL YEAR END: December 31
SEC REGISTRATION NUMBER: A200209918			
DATE OF ANNUAL MEETING PER BY-LAWS: any business day of June			CORPORATE TAX IDENTIFICATION NUMBER (TIN) 220-591-249-000
ACTUAL DATE OF ANNUAL MEETING: June 10, 2022			WEBSITE/URL ADDRESS: N/A
COMPLETE PRINCIPAL OFFICE ADDRESS: 5th Floor HSBC Centre, 3058 Fifth Avenue West Bonifacio Global City, Taguig City			E-MAIL ADDRESS: N/A
COMPLETE BUSINESS ADDRESS: 5th Floor HSBC Centre, 3058 Fifth Avenue West Bonifacio Global City, Taguig City			FAX NUMBER: 830-5176
OFFICIAL E-MAIL ADDRESS dianetan@hsbc.com.ph	ALTERNATE E-MAIL ADDRESS dawn.chavez@hsbc.com.ph	OFFICIAL MOBILE NUMBER 0917-700-4078	ALTERNATE MOBILE NUMBER 0917-577-5254
NAME OF EXTERNAL AUDITOR & ITS SIGNING PARTNER: PricewaterhouseCoopers (PwC)		SEC ACCREDITATION NUMBER (if applicable):	TELEPHONE NUMBER(S): 581-8458
PRIMARY PURPOSE/ACTIVITY/INDUSTRY PRESENTLY ENGAGED IN: INSURANCE BROKERAGE AND INVESTMENT		INDUSTRY CLASSIFICATION: N/A	GEOGRAPHICAL CODE: N/A

===== INTERCOMPANY AFFILIATIONS =====

PARENT COMPANY	SEC REGISTRATION NO.	ADDRESS
The Hongkong and Shanghai Banking Corporation Limited	F-155	HSBC Centre, 3058 Fifth Avenue West Bonifacio Global City, Taguig City
SUBSIDIARY/AFFILIATE	SEC REGISTRATION NO.	ADDRESS

NOTE: USE ADDITIONAL SHEET IF NECESSARY

THIRD AMENDED GENERAL INFORMATION SHEET

STOCK CORPORATION

===== PLEASE PRINT LEGIBLY =====

Corporate Name: **HSBC INVESTMENT AND INSURANCE BROKERAGE, PHILIPPINES INC.**

A. Is the Corporation a covered person under the Anti Money Laundering Act (AMLA), as amended? (Rep. Acts. 9160/9164/10167/10365) ☒ **Yes** ☐ **No**

Please check the appropriate box:

<p>1.</p> <p><input type="checkbox"/> a. Banks</p> <p><input type="checkbox"/> b. Offshore Banking Units</p> <p><input type="checkbox"/> c. Quasi-Banks</p> <p><input type="checkbox"/> d. Trust Entities</p> <p><input type="checkbox"/> e. Non-Stock Savings and Loan Associations</p> <p><input type="checkbox"/> f. Pawnshops</p> <p><input type="checkbox"/> g. Foreign Exchange Dealers</p> <p><input type="checkbox"/> h. Money Changers</p> <p><input type="checkbox"/> i. Remittance Agents</p> <p><input type="checkbox"/> j. Electronic Money Issuers</p> <p><input type="checkbox"/> k. Financial Institutions which Under Special Laws are subject to Bangko Sentral ng Pilipinas' (BSP) supervision and/or regulation, including their subsidiaries and affiliates.</p>	<p>4. <input type="checkbox"/> Jewelry dealers in precious metals, who, as a business, trade in precious metals</p>
<p>2.</p> <p><input type="checkbox"/> a. Insurance Companies</p> <p><input type="checkbox"/> b. Insurance Agents</p> <p><input checked="" type="checkbox"/> c. Insurance Brokers</p> <p><input type="checkbox"/> d. Professional Reinsurers</p> <p><input type="checkbox"/> e. Reinsurance Brokers</p> <p><input type="checkbox"/> f. Holding Companies</p> <p><input type="checkbox"/> g. Holding Company Systems</p> <p><input type="checkbox"/> h. Pre-need Companies</p> <p><input type="checkbox"/> i. Mutual Benefit Association</p> <p><input type="checkbox"/> j. All Other Persons and entities supervised and/or regulated by the Insurance Commission (IC)</p>	<p>5. <input type="checkbox"/> Jewelry dealers in precious stones, who, as a business, trade in precious stone</p>
<p>3.</p> <p><input type="checkbox"/> a. Securities Dealers</p> <p><input type="checkbox"/> b. Securities Brokers</p> <p><input type="checkbox"/> c. Securities Salesman</p> <p><input type="checkbox"/> d. Investment Houses</p> <p><input type="checkbox"/> e. Investment Agents and Consultants</p> <p><input type="checkbox"/> f. Trading Advisors</p> <p><input type="checkbox"/> g. Other entities managing Securities or rendering similar services</p> <p><input type="checkbox"/> h. Mutual Funds or Open-end Investment Companies</p> <p><input type="checkbox"/> i. Close-end Investment Companies</p> <p><input type="checkbox"/> j. Common Trust Funds or Issuers and other similar entities</p> <p><input type="checkbox"/> k. Transfer Companies and other similar entities</p> <p><input type="checkbox"/> l. Other entities administering or otherwise dealing in currency, commodities or financial derivatives based there on</p> <p><input type="checkbox"/> m. Entities administering or otherwise dealing in valuable objects</p> <p><input type="checkbox"/> n. Entities administering or otherwise dealing in cash Substitutes and other similar monetary instruments or property supervised and/or regulated by the Securities and Exchange Commission (SEC)</p>	<p>6. Company service providers which, as a business, provide any of the following services to third parties:</p> <p><input type="checkbox"/> a. acting as a formation agent of juridical persons</p> <p><input type="checkbox"/> b. acting as (or arranging for another person to act as) a director or corporate secretary of a company, a partner of a partnership, or a similar position in relation to other juridical persons</p> <p><input type="checkbox"/> c. providing a registered office, business address or accommodation, correspondence or administrative address for a company, a partnership or any other legal person or arrangement</p> <p><input type="checkbox"/> d. acting as (or arranging for another person to act as) a nominee shareholder for another person</p>
<p>7. Persons who provide any of the following services:</p> <p><input type="checkbox"/> a. managing of client money, securities or other assets</p> <p><input type="checkbox"/> b. management of bank, savings or securities accounts</p> <p><input type="checkbox"/> c. organization of contributions for the creation, operation or management of companies</p> <p><input type="checkbox"/> d. creation, operation or management of juridical persons or arrangements, and buying and selling business entities</p>	<p>8. <input type="checkbox"/> None of the above</p>
<p>B. Has the Corporation complied with the requirements on Customer Due Diligence (CDD) or Know Your Customer (KYC), record-keeping, and submission of reports under the AMLA, as amended, since the last filing of its GIS?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>

THIRD AMENDED GENERAL INFORMATION SHEET

STOCK CORPORATION

===== PLEASE PRINT LEGIBLY =====

CORPORATE NAME:		HSBC INVESTMENT AND INSURANCE BROKERAGE, PHILIPPINES INC.					
CAPITAL STRUCTURE							
AUTHORIZED CAPITAL STOCK							
	TYPE OF SHARES *	NUMBER OF SHARES	PAR/STATED VALUE	AMOUNT (PhP) (No. of shares X Par/Stated Value)			
	Common	315,000,000	1.00	315,000,000.00			
TOTAL		315,000,000	TOTAL P	315,000,000.00			
SUBSCRIBED CAPITAL							
FILIPINO	NO. OF STOCK-HOLDERS	TYPE OF SHARES *	NUMBER OF SHARES	NUMBER OF SHARES IN THE HANDS OF THE PUBLIC **	PAR/STATED VALUE	AMOUNT (PhP)	% OF OWNERSHIP
	3	Common	3		1.00	3.00	
TOTAL		3	TOTAL	TOTAL P	3.00		
FOREIGN (INDICATE BY NATIONALITY)	NO. OF STOCK-HOLDERS	TYPE OF SHARES *	NUMBER OF SHARES	NUMBER OF SHARES IN THE HANDS OF THE PUBLIC **	PAR/STATED VALUE	AMOUNT (PhP)	% OF OWNERSHIP
British	3	Common	314,999,995		1.00	314,999,995.00	
American	1	Common	1		1.00	1.00	
Mexican	1	Common	1		1.00	1.00	
Percentage of Foreign Equity :		TOTAL	314,999,997	TOTAL	TOTAL P	314,999,997.00	
				TOTAL SUBSCRIBED P	315,000,000.00		
PAID-UP CAPITAL							
FILIPINO	NO. OF STOCK-HOLDERS	TYPE OF SHARES *	NUMBER OF SHARES	PAR/STATED VALUE	AMOUNT (PhP)	% OF OWNERSHIP	
	3	Common	3	1.00	3.00		
TOTAL		3	TOTAL P	3.00			
FOREIGN (INDICATE BY NATIONALITY)	NO. OF STOCK-HOLDERS	TYPE OF SHARES *	NUMBER OF SHARES	PAR/STATED VALUE	AMOUNT (PhP)	% OF OWNERSHIP	
British	3	Common	314,999,995	1.00	314,999,995		
American	1	Common	1	1.00	1.00		
Mexican	1	Common	1	1.00	1.00		
100.00 %		TOTAL	314,999,997	TOTAL P	314,999,997.00		
				TOTAL PAID-UP P	315,000,000.00		
NOTE: USE ADDITIONAL SHEET IF NECESSARY							
* Common, Preferred or other classification							
** Other than Directors, Officers, Shareholders owning 10% of outstanding shares.							

THIRD AMENDED GENERAL INFORMATION SHEET

STOCK CORPORATION

PLEASE PRINT LEGIBLY

CORPORATE NAME: HSBC INVESTMENT AND INSURANCE BROKERAGE, PHILIPPINES INC.								
DIRECTORS / OFFICERS								
NAME/CURRENT RESIDENTIAL ADDRESS	NATIONALITY	INC'R	BOARD	GENDER	STOCK HOLDER	OFFICER	EXEC. COMM.	TAX IDENTIFICATION NUMBER
1. SANDEEP UPPAL 43 Banaba Road, South Forbes Park, Makati City	British	N	C	M	Y			201-700-268
2. PETER GEORGE FAULHABER 1512 Carissa St. Dasmarias Village, Makati City	American	N	M	M	Y		EXCO/C N/M	355-103-778
3. CLAUDIA ISABEL SANTANDER ZALDIVAR Blue Sapphire, 2nd Avenue corner 30th Street, Bonifacio Global City, Taguig	Mexican	N	M	F	Y	President	EXCO/M	621-815-373
4. MARGARITA PATRICIA WARREN FORONDA 16 Liszt corner Mozart St., Ideal Subd. Brgy. Commonwealth, Quezon City	Filipino	N	M	F	Y	Treasurer	EXCO/MN/C	153-116-562
5. MA. THERESA XEREZ-BURGOS LOANZON 325 Caliraya, Ayala Alabang Village, Muntinlupa City	Filipino	N	I	F	Y		A/M	189-576-749
6. COLIN ANDREW DRUMMOND Flat 1/C, Kam Fai Mansion, 68A MacDonnell Road, MidLevels Hongkong	British	N	M	M	Y		A/M	496-350-562
7. HOMER S. FIGUEROA Unit 2203, The Verde Residences, Tower 1, 26th Street cor. 7th Avenue, Bonifacio Global City, Taguig	Filipino	N	I	M	Y		A/C N/M	105-781-133
8. FLORINA P. TAN The Link Center, No. 2 Gen. Atienza St., San Antonio, Pasig City	Filipino	N		F	N	Corporate Secretary		210-143-091
9. XYRHA R. JAVIER-SALAZAR Lot 5 Blk 5, Durian St. PH6-C Greenwoods Exec. Village, Cainta Rizal	Filipino	N		F	N	Asst. Corporate Secretary		251-263-225
10.								
11.								
12.								
13.								
14.								
15.								

INSTRUCTION:
 FOR SEX COLUMN, PUT "F" FOR FEMALE, "M" FOR MALE.
 FOR BOARD COLUMN, PUT "C" FOR CHAIRMAN, "M" FOR MEMBER, "I" FOR INDEPENDENT DIRECTOR.
 FOR INC'R COLUMN, PUT "Y" IF AN INCORPORATOR, "N" IF NOT.
 FOR STOCKHOLDER COLUMN, PUT "Y" IF A STOCKHOLDER, "N" IF NOT.
 FOR OFFICER COLUMN, INDICATE PARTICULAR POSITION IF AN OFFICER, FROM VP UP INCLUDING THE POSITION OF THE TREASURER, SECRETARY, COMPLIANCE OFFICER AND/OR ASSOCIATED PERSON.
 FOR EXECUTIVE COMMITTEE, INDICATE "C" IF MEMBER OF THE COMPENSATION COMMITTEE; "A" FOR AUDIT COMMITTEE; "N" FOR NOMINATION AND ELECTION COMMITTEE. ADDITIONALLY WRITE "C" AFTER SLASH IF CHAIRMAN AND "M" IF MEMBER.

THIRD AMENDED GENERAL INFORMATION SHEET

STOCK CORPORATION

===== PLEASE PRINT LEGIBLY =====						
CORPORATE NAME: HSBC INVESTMENT AND INSURANCE BROKERAGE, PHILIPPINES INC.						
TOTAL NUMBER OF STOCKHOLDERS:		8		NO. OF STOCKHOLDERS WITH 100 OR MORE SHARES EACH:		1
TOTAL ASSETS BASED ON LATEST AUDITED FINANCIAL STATEMENTS:						
STOCKHOLDER'S INFORMATION						
NAME, NATIONALITY AND CURRENT RESIDENTIAL ADDRESS	SHARES SUBSCRIBED				AMOUNT PAID (PhP)	TAX IDENTIFICATION NUMBER
	TYPE	NUMBER	AMOUNT (PhP)	% OF OWNER-SHIP		
1 THE HONGKONG AND SHANGHAI BANKING CORPORATION LIMITED British No. 1, Queen's Road Central Hongkong	Common	314,999,993	314,999,993.00	99.999998%	314,999,993.00	000-504-444
	TOTAL		314,999,993	314,999,993.00		
2. SANDEEP UPPAL British 43 Banaba Road, South Forbes Park, Makati City	Common	1	1.00	0.00000032%	1.00	201-700-268
	TOTAL		1	1.00		
3. CLAUDIA ISABEL SANTANDER ZALDIVAR Mexican Blue Sapphire, 2nd Avenue corner 30th Street, Bonifacio Global City, Taguig	Common	1	1.00	0.00000032%	1.00	621-815-373
	TOTAL		1	1.00		
4. MA. THERESA XEREZ-BURGOS LOANZON Filipino 325 Caliraya, Ayala Alabang Village Muntinlupa City	Common	1	1.00	0.00000032%	1.00	189-576-749
	TOTAL		1	1.00		
5. COLIN ANDREW DRUMMOND British Flat 1/C, Kam Fai Mansion, 68A MacDonnell Road, MidLevels Hongkong	Common	1	1.00	0.00000032%	1.00	496-350-562
	TOTAL		1	1.00		
6. PETER GEORGE FAULHABER American 1512 Carissa St., Dasmarinas Village Makati City	Common	1	1.00	0.00000032%	1.00	355-103-778
	TOTAL		1	1.00		
7. HOMER S. FIGUEROA Filipino Unit 2203, The Verve Residences, Tower 1, 26th Street cor. 7th Avenue, Bonifacio Global City, Taguig	Common	1	1.00	0.00000032%	1.00	105-781-133
	TOTAL		1	1.00		
8 MARGARITA PATRICIA WARREN FORONDA Filipino 16 Liszt corner Mozart St., Ideal Subd. Brgy. Commonwealth, Quezon City	Common	1	1.00	0.00000032%	1.00	153-116-562
	TOTAL		1	1.00		
TOTAL AMOUNT OF SUBSCRIBED CAPITAL			315,000,000.00	100.00%	315,000,000.00	
			TOTAL AMOUNT OF PAID-UP CAPITAL			

INSTRUCTION: SPECIFY THE TOP 20 STOCKHOLDERS AND INDICATE THE REST AS OTHERS

Note: For PDTC Nominee included in the list, please indicate further the beneficial owners owning more than 5% of any class of the company's voting securities. Attach separate sheet, if necessary.

THIRD AMENDED GENERAL INFORMATION SHEET
STOCK CORPORATION

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CORPORATE NAME: HSBC INVESTMENT AND INSURANCE BROKERAGE, PHILIPPINES INC.						
TOTAL NUMBER OF STOCKHOLDERS:				NO. OF STOCKHOLDERS WITH 100 OR MORE SHARES EACH:		
TOTAL ASSETS BASED ON LATEST AUDITED FS:						
STOCKHOLDER'S INFORMATION						
NAME, NATIONALITY AND CURRENT RESIDENTIAL ADDRESS	SHARES SUBSCRIBED				AMOUNT PAID (PhP)	TAX IDENTIFICATION NUMBER
	TYPE	NUMBER	AMOUNT (PhP)	% OF OWNER- SHIP		
9.						
	TOTAL					
10.						
	TOTAL					
11.						
	TOTAL					
12.						
	TOTAL					
13.						
	TOTAL					
14.						
	TOTAL					
TOTAL AMOUNT OF SUBSCRIBED CAPITAL				0.00%	0.00	
TOTAL AMOUNT OF PAID-UP CAPITAL						
INSTRUCTION: SPECIFY THE TOP 20 STOCKHOLDERS AND INDICATE THE REST AS OTHERS						
<i>Note: For PDTC Nominee included in the list, please indicate further the beneficial owners owning more than 5% of any class of the company's voting securities. Attach separate sheet, if necessary.</i>						

THIRD AMENDED GENERAL INFORMATION SHEET

STOCK CORPORATION

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CORPORATE NAME:		HSBC INVESTMENT AND INSURANCE BROKERAGE, PHILIPPINES INC.				
TOTAL NUMBER OF STOCKHOLDERS:		NO. OF STOCKHOLDERS WITH 100 OR MORE SHARES EACH:				
TOTAL ASSETS BASED ON LATEST AUDITED FS:						
STOCKHOLDER'S INFORMATION						
NAME, NATIONALITY AND CURRENT RESIDENTIAL ADDRESS	SHARES SUBSCRIBED				AMOUNT PAID (PhP)	TAX IDENTIFICATION NUMBER
	TYPE	NUMBER	AMOUNT (PhP)	% OF OWNER- SHIP		
15.						
	TOTAL					
16.						
	TOTAL					
17.						
	TOTAL					
18.						
	TOTAL					
19.						
	TOTAL					
20.						
	TOTAL					
21. OTHERS (Indicate the number of the remaining stockholders)						
	TOTAL					
TOTAL AMOUNT OF SUBSCRIBED CAPITAL				0.00%	0.00	
TOTAL AMOUNT OF PAID-UP CAPITAL						
INSTRUCTION: SPECIFY THE TOP 20 STOCKHOLDERS AND INDICATE THE REST AS OTHERS						
Note: For PDTC Nominee included in the list, please indicate further the beneficial owners owning more than 5% of any class of the company's voting securities. Attach separate sheet, if necessary.						

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STOCK CORPORATION

===== PLEASE PRINT LEGIBLY =====			
CORPORATE NAME:	HSBC INVESTMENT AND INSURANCE BROKERAGE, PHILIPPINES INC.		
1. INVESTMENT OF CORPORATE FUNDS IN ANOTHER CORPORATION	AMOUNT (PhP)	DATE OF BOARD RESOLUTION	
1.1 STOCKS			
1.2 BONDS/COMMERCIAL PAPER (Issued by Private Corporations)			
1.3 LOANS/ CREDITS/ ADVANCES			
1.4 GOVERNMENT TREASURY BILLS			
1.5 OTHERS			
2. INVESTMENT OF CORPORATE FUNDS IN ACTIVITIES UNDER ITS SECONDARY PURPOSES (PLEASE SPECIFY:)	DATE OF BOARD RESOLUTION	DATE OF STOCKHOLDERS RATIFICATION	
3. TREASURY SHARES	NO. OF SHARES	% AS TO THE TOTAL NO. OF SHARES ISSUED	
4. UNRESTRICTED/UNAPPROPRIATED RETAINED EARNINGS AS OF END OF LAST FISCAL YEAR			
5. DIVIDENDS DECLARED DURING THE IMMEDIATELY PRECEDING YEAR:			
TYPE OF DIVIDEND	AMOUNT (PhP)	DATE DECLARED	
5.1 CASH			
5.2 STOCK			
5.3 PROPERTY			
TOTAL	P		
6. ADDITIONAL SHARES ISSUED DURING THE PERIOD:			
DATE	NO. OF SHARES	AMOUNT	
SECONDARY LICENSE/REGISTRATION WITH SEC AND OTHER GOV'T AGENCY:			
NAME OF AGENCY:	SEC	BSP	IC
TYPE OF LICENSE/REGN.			Insurance Brokerage
DATE ISSUED:			2002
DATE STARTED OPERATIONS:			2002
TOTAL ANNUAL COMPENSATION OF DIRECTORS DURING THE PRECEDING FISCAL YEAR (in PhP)	TOTAL NO. OF OFFICERS	TOTAL NO. OF RANK & FILE EMPLOYEES	TOTAL MANPOWER COMPLEMENT

NOTE: USE ADDITIONAL SHEET IF NECESSARY

I, **FLORINA P. TAN**, Corporate Secretary of **HSBC INVESTMENT AND INSURANCE BROKERAGE, PHILIPPINES INC.**, declare under penalty of perjury that all matters set forth in this GIS have been made in good faith, duly verified by me and to the best of my knowledge and belief are true and correct.

I hereby attest that all the information in this GIS are being submitted in compliance with the rules and regulations of the Securities and Exchange Commission (SEC) the collection, processing, storage and sharing of said information being necessary to carry out the functions of public authority for the performance of the constitutionally and statutorily mandated functions of the SEC as a regulatory

I further attest that I have been authorized by the Board of Directors/Trustees to file this GIS with the SEC.

I understand that the Commission may place the corporation under delinquent status for failure to submit the reportorial requirements three (3) times, consecutively or intermittently, within a period of five (5) years (Section 177, RA No. 11232).

Done this 07 day of MAR 2023, 2023 in PASIG CITY


FLORINA P. TAN
Corporate Secretary

SUBSCRIBED AND SWORN TO before me in Pasig City on 07 MAR 2023 by affiant who personally appeared before me and exhibited to me her Philippine Passport with No. P7800575B issued on 8 October 2021 which will expire on 07 October 2031.

NOTARY PUBLIC




ATTY. RIC JOHN F. VELASCO
Roll No. 65535
Commission No. 73

Notary Public for Pasig, Pateros, San Juan
Until December 31, 2023
PTR No. 8979134, January 4, 2023, Pasig City
IBP No. 260905, January 5, 2023, Quezon City
MCLE Compliance No. VII-0005975, November 12, 2021

BENEFICIAL OWNERSHIP DECLARATION

FOR THE YEAR: 2022

SEC REGISTRATION NUMBER: **A200209918**

CORPORATE NAME: **HSBC INVESTMENT AND INSURANCE BROKERAGE, PHILIPPINES INC.**

Instructions:

1. Identify the Beneficial Owner/s of the corporation as described in the Categories of Beneficial Ownership in items A to I below. List down as many as you can identify. You may use an additional sheet if necessary.
2. Fill in the required information on the beneficial owner in the fields provided for.
3. In the "Category of Beneficial Ownership" column, indicate the letter(s) corresponding thereto. In the event that the person identified as beneficial owner falls under several categories, indicate all the letters corresponding to such categories.
4. If the category is under letter "I", indicate the position held (i.e., Director/Trustee, President, Chief Executive Officer, Chief Operating Officer, Chief Financial Officer, etc.).
5. Do not leave any item blank. Write "N/A" if the information required is not applicable or "NONE" if non-existent.

"Beneficial Owner" refers to any natural person(s) who ultimately own(s) or control(s) or exercise(s) ultimate effective control over the corporation. This definition covers the natural person(s) who actually own or control the corporation as distinguished from the legal owners. Such beneficial ownership may be determined on the basis of the following:

Category

Description

- A** Natural person(s) owning, directly or indirectly or through a chain of ownership, at least twenty-five percent (25%) of the voting rights, voting shares or capital of the reporting corporation.
- B** Natural person(s) who exercise control over the reporting corporation, alone or together with others, through any contract, understanding, relationship, intermediary or tiered entity.
- C** Natural person(s) having the ability to elect a majority of the board of directors/trustees, or any similar body, of the corporation.
- D** Natural person(s) having the ability to exert a dominant influence over the management or policies of the corporation.
- E** Natural person(s) whose directions, instructions, or wishes in conducting the affairs of the corporation are carried out by majority of the members of the board of directors of such corporation who are accustomed or under an obligation to act in accordance with such person's directions, instructions or wishes.
- F** Natural person(s) acting as stewards of the properties of corporations, where such properties are under the care or administration of said natural person(s).
- G** Natural person(s) who actually own or control the reporting corporation through nominee shareholders or nominee directors acting for or on behalf of such natural persons.
- H** Natural person(s) ultimately owning or controlling or exercising ultimate effective control over the corporation through other means not falling under any of the foregoing categories.
- I** Natural person(s) exercising control through positions held within a corporation (i.e., responsible for strategic decisions that fundamentally affect the business practices or general direction of the corporation such as the members of the board of directors or trustees or similar body within the corporation; or exercising executive control over the daily or regular affairs of the corporation through a senior management position). This category is only applicable in exceptional cases where no natural person is identifiable who ultimately owns or exerts control over the corporation, the reporting corporation having exhausted all reasonable means of identification and provided there are no grounds for suspicion.

COMPLETE NAME (Surname, Given Name, Middle Name, Name Extension (i.e., Jr., Sr., III))	SPECIFIC RESIDENTIAL ADDRESS	NATIONALITY	DATE OF BIRTH	TAX IDENTIFICATION NO.	% OF OWNERSHIP ¹ / % OF VOTING RIGHTS ²	TYPE OF BENEFICIAL OWNER ³ Direct (D) or Indirect (I)	CATEGORY OF BENEFICIAL OWNERSHIP
UPPAL, SANDEEP	43 Banaba Road, South Forbes Park, Makati City	British	July 11, 1966	201-700-268	0.00000032%	I	I (Director)
FAULHABER, PETER GEORGE	1512 Carissa St., Dasmariñas Village, Makati City	American	October 15, 1981	355-103-778	0.00000032%	I	I (Director)
DRUMMOND, COLIN ANDREW	Flat 1/C, Kam Fai Mansion, 68A MacDonnell Road, MidLevels Hongkong	British	June 22, 1972	496-350-562	0.00000032%	I	I (Director)
CLAUDIA ISABEL SANTANDER ZALDIVAR	Blue Sapphire, 2nd Avenue corner 30th Street, Bonifacio Global City, Taguig	Mexican	June 30, 1983	621-815-373	0.00000032%	I	I (Director)

Note: This page is not for uploading on the SEC iView.

¹ For Stock Corporations.

² For Non-Stock Corporations.

³ For Stock Corporations.

COMPLETE NAME (Surname, Given Name, Middle Name,	SPECIFIC RESIDENTIAL ADDRESS	NATIONALITY	DATE OF BIRTH	TAX IDENTIFICATION NO.	% OF OWNERSHIP ¹ / % OF VOTING	TYPE OF BENEFICIAL OWNER ³	CATEGORY OF BENEFICIAL OWNERSHIP
FORONDA, MARGARITA PATRICIA WARREN	16 Liszt corner Mozart St., Ideal Subd. Brgy. Commonwealth, Quezon City	Filipino	October 17, 1970	153-116-562	0.0000003%	I	I (Treasurer)
FIGUEROA, HOMER SALANGSANG	Unit 2203, The Verve Residences, Tower 1, 26th Street cor. 7th Avenue Bonifacio Taguig City	Filipino	July 17, 1961	105-781-133	0.00000032%	I	I (Independent Director)
LOANZON, MA. THERESA XEREZ- BURGOS	325 Caliraya, Ayala Alabang Village Muntinlupa City	Filipino	September 26, 1953	189-576-749	0.00000032%	I	I (Independent Director)