

SECURITIES AND FUTURES (OTC DERIVATIVE TRANSACTIONS—
CLEARING AND RECORD KEEPING OBLIGATIONS AND
DESIGNATION OF CENTRAL COUNTERPARTIES) RULES

Pursuant to rule 3(3) of the Securities and Futures (OTC Derivative Transactions—Clearing and Record Keeping Obligations and Designation of Central Counterparties) Rules (Chapter 571 sub. leg. AN) (“Clearing Rules”), and having obtained the consent of the Monetary Authority, the Securities and Futures Commission (“Commission”) revokes from 1 January 2024 the designation of Santander Investment Securities Inc. as a financial services provider for the purposes of the Clearing Rules.

Pursuant to rule 3(1) of the Clearing Rules, and having obtained the consent of the Monetary Authority, the Commission designates from 1 January 2024 Santander US Capital Markets LLC as a financial services provider for the purposes of the Clearing Rules, and it (despite any subsequent change of name) continues to be a financial services provider until the Commission revokes its designation under rule 3(3) of the Clearing Rules.

The full list of financial services providers including the persons designated in previous Government Notices^[Note^c] (whose designations have not been revoked) is as follows:—

(in alphabetical order)

1. Agricultural Bank of China Limited
2. Banco Santander, S.A.
3. Bank of America, National Association
4. Bank of America Europe Designated Activity Company
5. Bank of China (UK) Ltd
6. Banque Palatine S.A.
7. Barclays Bank Ireland Plc
8. Barclays Bank PLC
9. Barclays Bank UK PLC
10. Barclays Capital Inc.
11. BNP Paribas
12. BNP Paribas Fortis SA/NV
13. BNP Paribas Securities Corp.
14. BofA Securities, Inc.
15. BofA Securities Europe SA
16. BofA Securities Japan Co., Ltd
17. CACEIS Bank SA
18. Citibank, N.A.
19. Citibank Europe Plc
20. Citigroup Global Markets Europe AG
21. Citigroup Global Markets Inc.
22. Citigroup Global Markets Japan Inc.
23. Citigroup Global Markets Limited
24. Credit Agricole Corporate and Investment Bank
25. Credit Foncier de France
26. Credit Suisse AG
27. Credit Suisse Bank (Europe), S.A.
28. Credit Suisse International
29. Credit Suisse (Schweiz) AG
30. Credit Suisse Securities (Japan) Limited
31. Credit Suisse Securities (USA) LLC
32. Deutsche Bank Aktiengesellschaft
33. Deutsche Bank Securities Inc.

34. Goldman Sachs & Co. LLC
35. Goldman Sachs Bank Europe SE
36. Goldman Sachs Bank USA
37. Goldman Sachs Financial Markets Pty Ltd
38. Goldman Sachs International
39. Goldman Sachs Japan Co., Ltd.
40. HSBC Bank plc
41. HSBC Bank USA, National Association
42. HSBC Continental Europe
43. HSBC Securities (USA) Inc.
44. HSBC UK Bank plc
45. ING Bank N.V.
46. ING Bank Slaski S.A.
47. ING-DiBa AG
48. J.P. Morgan SE (previously stated as 'J.P. Morgan AG')
49. J.P. Morgan Securities LLC
50. J.P. Morgan Securities plc
51. JPMorgan Chase Bank, National Association
52. JPMorgan Securities Japan Co., Ltd.
53. Merrill Lynch Capital Services Inc.
54. Merrill Lynch International
55. Mitsubishi UFJ Morgan Stanley Securities Co., Ltd.
56. Mizuho Bank, Ltd.
57. Mizuho Capital Markets LLC
58. Mizuho International plc
59. Mizuho Securities USA LLC
60. Morgan Stanley & Co. International plc
61. Morgan Stanley & Co. LLC
62. Morgan Stanley Capital Services LLC
63. Morgan Stanley Europe SE
64. Morgan Stanley MUFG Securities Co., Ltd.
65. MUFG Bank, Ltd.
66. MUFG Securities EMEA plc
67. National Westminster Bank Plc
68. NATIXIS
69. NatWest Markets N.V.
70. NatWest Markets plc
71. Nomura Financial Products & Services, Inc.
72. Nomura Financial Products Europe GmbH
73. Nomura Global Financial Products, Inc.
74. Nomura International plc
75. Nomura Securities Co., Ltd.
76. Nomura Securities International, Inc.
77. Nordea Bank Abp
78. RBC Capital Markets, LLC
79. RBC Europe Limited
80. Royal Bank of Canada
81. Santander Financial Services Plc
82. Santander US Capital Markets LLC
83. SG Americas Securities LLC

84. SMBC Capital Markets Inc.
85. SMBC Nikko Securities Inc.
86. Societe Generale
87. Societe Generale International Limited
88. Standard Chartered Bank
89. Sumitomo Mitsui Banking Corporation
90. Sumitomo Mitsui Trust Bank, Limited
91. TD Bank, N.A.
92. TD Bank USA, N.A.
93. TD Global Finance Unlimited Company
94. The Bank of New York Mellon
95. Toronto-Dominion Bank
96. UBS AG
97. UBS Europe SE
98. UBS Securities LLC
99. UBS Switzerland AG
100. UniCredit Bank AG
101. UniCredit Bank Austria AG
102. UniCredit S.p.A.
103. Wells Fargo Bank, National Association
104. Wells Fargo Securities, LLC

Note:—

- (a) Government Notice No. 4776 in Gazette No. 34 of Vol. 20 published on 26 August 2016;
- (b) Government Notice No. 9212 in Gazette No. 50 of Vol. 22 published on 14 December 2018;
- (c) Government Notice No. 7083 in Gazette No. 47 of Vol. 23 published on 22 November 2019;
- (d) Government Notice No. 7127 in Gazette No. 49 of Vol. 24 published on 4 December 2020;
- (e) Government Notice No. 7596 in Gazette No. 48 of Vol. 25 published on 3 December 2021;
- (f) Government Notice No. 6961 in Gazette No. 48 of Vol. 26 published on 2 December 2022.

1 December 2023

Rico LEUNG
*Commission Member and Executive Director,
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