

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

Pursuant to rule 3(3) of the Clearing Rules, and having obtained the consent of the Monetary Authority, the Securities and Futures Commission (the Commission) revokes from 1 January 2021 the designation of Merrill Lynch, Pierce, Fenner & Smith Incorporated 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 2021 each of the following persons as a financial services provider for the purposes of the Clearing Rules, and each person (despite any subsequent change of name) continues to be a financial services provider until the Commission revokes the designation of the person under rule 3(3) of the Clearing Rules:—

(in alphabetical order)

1. Bank of China (UK) Ltd
2. BofA Securities, Inc.
3. Citibank Europe Plc
4. Mizuho Securities USA LLC
5. TD Bank, N.A.
6. TD Bank USA, N.A.
7. The Toronto-Dominion Bank
8. UBS Switzerland AG

The full list of financial services providers including the persons designated in previous Government Notices (G.N. 4776, G.N. 9212 and G.N. 7083) (whose designations have not been revoked) is as follows:—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, N.A.
4. Bank of America Merrill Lynch International 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 Fortis SA/NV
12. BNP Paribas SA
13. BNP Paribas Securities Corp.
14. BofA Securities Europe SA
15. BofA Securities, Inc.
16. CACEIS Bank SA
17. Citibank, N.A.
18. Citibank Europe Plc
19. Citigroup Global Markets Europe AG
20. Citigroup Global Markets Inc.
21. Citigroup Global Markets Japan Inc.
22. Citigroup Global Markets Limited

23. Credit Agricole Corporate and Investment Bank
24. Credit Foncier de France
25. Credit Suisse (Schweiz) AG
26. Credit Suisse AG
27. Credit Suisse International
28. Credit Suisse Securities (Japan) Limited
29. Credit Suisse Securities Sociedad de Valores, S.A.
30. Credit Suisse Securities (USA) LLC
31. DB Privat- und Firmenkundenbank AG
32. Deutsche Bank AG
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, N.A.
42. HSBC France
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 AG
49. J.P. Morgan Securities LLC
50. J.P. Morgan Securities plc
51. JPMorgan Chase Bank, N.A.
52. JPMorgan Securities Japan Co., Ltd.
53. Merrill Lynch Capital Services Inc.
54. Merrill Lynch International
55. Merrill Lynch Japan Securities Co., Ltd.
56. Mitsubishi UFJ Morgan Stanley Securities Co., Ltd.
57. Mizuho Bank, Ltd.
58. Mizuho Capital Markets LLC
59. Mizuho International plc
60. Mizuho Securities USA LLC
61. Morgan Stanley & Co. International plc
62. Morgan Stanley & Co. LLC
63. Morgan Stanley Capital Services LLC
64. Morgan Stanley Europe SE
65. Morgan Stanley MUFG Securities Co., Ltd.
66. MUFG Bank, Ltd.
67. MUFG Securities EMEA plc
68. National Westminster Bank Plc
69. NATIXIS
70. NatWest Markets N.V.
71. NatWest Markets plc

72. Nomura Financial Products & Services, Inc.
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 (previously stated as 'Abbey National Treasury Services plc')
82. Santander Investment Securities Inc.
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. The Bank of New York Mellon
94. The Toronto-Dominion Bank
95. UBS AG
96. UBS Europe SE
97. UBS Securities LLC
98. UBS Switzerland AG
99. UniCredit Bank AG
100. UniCredit Bank Austria AG
101. UniCredit S.p.A.
102. Wells Fargo Bank, N.A.
103. Wells Fargo Securities, LLC

26 November 2020

Rico LEUNG  
*Commission Member and Executive Director,  
Securities and Futures Commission*