

FINANCIAL INSTITUTIONS (RESOLUTION) ORDINANCE (Chapter 628)

NOTICE OF DESIGNATION OF LEAD RESOLUTION AUTHORITY

Pursuant to section 7 of the Financial Institutions (Resolution) Ordinance (Chapter 628), I hereby designate the Monetary Authority as the lead resolution authority of each of the following cross-sectoral groups:—

(in alphabetical order)

Cross-sectoral groups

Within scope financial institutions

- | | |
|-------------------------------|--|
| 1. Agricultural Bank of China | Agricultural Bank of China Limited
ABCI Asset Management Limited
ABCI Capital Limited
ABCI Securities Company Limited |
| 2. Bank of America | Bank of America, National Association
Banc of America Securities Asia Limited
Merrill Lynch (Asia Pacific) Limited
Merrill Lynch Far East Limited |
| 3. Bank of China | Bank of China (Hong Kong) Limited
Bank of China Limited
Bank of China International Limited
BOCGI Commercial Realty Management Limited
BOCHK Asset Management Limited
BOCI Asia Limited
BOCI Commodities & Futures Limited
BOCI Research Limited
BOCI Securities Limited
BOCI-Prudential Asset Management Limited
Po Sang Securities and Futures Limited |
| 4. Bank of New York Mellon | Bank of New York Mellon (The)
BNY Mellon Investment Management Hong Kong Limited |
| 5. Barclays | Barclays Bank Plc
Barclays Capital Asia Limited |
| 6. BNP Paribas | BNP Paribas
BNP Paribas Securities Services
BNP Paribas Asset Management Asia Limited
BNP Paribas Dealing Services Asia Limited
BNP Paribas Securities (Asia) Limited |

(in alphabetical order)

Cross-sectoral groups

7. China Construction Bank

Within scope financial institutions

China Construction Bank (Asia)
Corporation Limited
China Construction Bank Corporation
CCB International Asset Management Limited
CCB International Capital Limited
CCB International Securities Limited
CCB Securities Limited

8. Citigroup

Citibank (Hong Kong) Limited
Citibank, N.A.
Citicorp International Limited
Citigroup First Investment Management Limited
Citigroup Global Markets Asia Limited

9. Credit Suisse

Credit Suisse AG
Credit Suisse (Hong Kong) Limited
Credit Suisse Securities (Hong Kong) Limited

10. Deutsche Bank

Deutsche Bank Aktiengesellschaft
Deutsche Asset Management (Hong Kong) Limited
Deutsche Securities Asia Limited
RREEF China REIT Management Limited

11. Goldman Sachs

Goldman Sachs Asia Bank Limited
Goldman Sachs (Asia) L.L.C.
Goldman Sachs (Asia) Securities Limited
Goldman Sachs Asset Management
(Hong Kong) Limited

12. Groupe BPCE

Natixis
Natixis Asia Limited
NGAM Hong Kong Limited

13. Groupe Crédit Agricole

Credit Agricole Corporate and Investment bank
CA Indosuez (Switzerland) SA
Amundi Hong Kong Limited
Credit Agricole Securities (Asia) Limited

14. HSBC

Hongkong and Shanghai Banking
Corporation Limited (The)
Hang Seng Bank Limited
HSBC Bank USA, National Association
HSBC Private Bank (Suisse) SA
HSBC Bank International Limited
HSBC Bank Plc
HSBC Broking Forex (Asia) Limited
HSBC Broking Futures (Asia) Limited
HSBC Broking Futures (Hong Kong) Limited
HSBC Broking Securities (Asia) Limited
HSBC Broking Securities (Hong Kong) Limited
HSBC Corporate Finance (Hong Kong) Limited
HSBC Global Asset Management (Hong Kong) Limited
HSBC Global Asset Management Holdings (Bahamas)
Limited
HSBC Investment Funds (Hong Kong) Limited
HSBC Securities (Asia) Limited
HSBC Securities Brokers (Asia) Limited
Hang Seng Futures Limited
Hang Seng Investment Management Limited
Hang Seng Investment Services Limited
Hang Seng Securities Limited

(in alphabetical order)

Cross-sectoral groups

15. Industrial and Commercial
Bank of China Limited

Within scope financial institutions

Industrial and Commercial Bank of China (Asia) Limited
Industrial and Commercial Bank of China Limited
ICBC Standard Bank Plc
ICBC (Asia) Futures Company Limited
ICBC (Asia) Investment Management Company Limited
ICBC (Asia) Securities Limited
ICBC Credit Suisse Asset Management (International)
Company Limited
ICBC International Asset Management Limited
ICBC International Capital Limited
ICBC International Fund Management Limited
ICBC International Futures Limited
ICBC International Research Limited
ICBC International Securities Limited

16. JP Morgan Chase

JPMorgan Chase Bank, National Association
J.P. Morgan Securities (Asia Pacific) Limited
Highbridge Capital Management (Hong Kong) Limited
J.P. Morgan Broking (Hong Kong) Limited
J.P. Morgan Securities (Far East) Limited
JF Asset Management Limited
JF International Management Inc.
JPMorgan Asset Management Real Assets (Asia) Limited
JPMorgan Funds (Asia) Limited

17. Mitsubishi UFJ FG

Bank of Tokyo-Mitsubishi UFJ, Ltd. (The)
Mitsubishi UFJ Trust and Banking Corporation
Mitsubishi UFJ Investment Services (HK) Limited
MUFG Securities Asia Limited

18. Mizuho FG

Mizuho Bank, Ltd.
Mizuho Capital Markets (HK) Limited
Mizuho Securities Asia Limited
Asset Management One Hong Kong Limited

19. Morgan Stanley

Morgan Stanley Asia International Limited
Morgan Stanley Asia Limited
Morgan Stanley Hong Kong Securities Limited

20. Société Générale

Societe Generale
Societe Generale Asia Limited
SG Securities (HK) Limited

21. Standard Chartered

Standard Chartered Bank (Hong Kong) Limited
Standard Chartered Bank
Standard Chartered Securities (Hong Kong) Limited

22. State Street

State Street Bank and Trust Company
State Street Global Advisors Asia Limited
State Street Global Advisors Singapore Limited
State Street Securities Hong Kong Limited

23. Sumitomo Mitsui FG

Sumitomo Mitsui Banking Corporation
SMBC Capital Markets (Asia) Limited
SMBC Nikko Securities (Hong Kong) Limited

24. UBS

UBS AG
UBS Asset Management (Hong Kong) Limited
UBS Securities Asia Limited
UBS Securities Hong Kong Limited
UBS SDIC Asset Management (Hong Kong) Company
Limited

(in alphabetical order)

Cross-sectoral groups

25. Wells Fargo

Within scope financial institutions

Wells Fargo Bank, National Association
Wells Fargo Securities Asia Limited

In this notice, the term ‘cross-sectoral group’ has the meaning assigned to it by section 2(1) of the Ordinance, namely a group of companies that includes within scope financial institutions from more than one sector. The cross-sectoral groups covered by this notice include all entities (whether or not specified in the list of within scope financial institutions above) that exist and belong to the respective cross-sectoral groups from time to time during the subsistence of this notice.

The designation takes effect from 7 July 2017.

4 July 2017

Paul CHAN *Financial Secretary*