

第 9212 號公告

證券及期貨（場外衍生工具交易——結算及備存紀錄責任和中央對手方的指定）規則 （‘結算規則’）

依據《結算規則》第 3(3) 條，並在金融管理專員的同意下，證券及期貨事務監察委員會（證監會）就《結算規則》的目的，自 2019 年 1 月 1 日起撤銷以下各人作為金融服務提供者的指定：

（按英文名稱的字母順序排列）

1. Mizuho Capital Markets (UK) Ltd.
2. Nordea Bank Danmark A/S
3. Nordea Bank Finland Plc
4. Nordea Bank Norge ASA

依據《結算規則》第 3(1) 條，並在金融管理專員的同意下，證監會就《結算規則》的目的，自 2019 年 1 月 1 日起指定以下各人為金融服務提供者，而各人（即使其名稱於其後有任何更改）將繼續作為金融服務提供者，直至證監會根據《結算規則》第 3(3) 條撤銷對其作出的指定：

（按英文名稱的字母順序排列）

1. Abbey National Treasury Services plc
2. Agricultural Bank of China Limited
3. CACEIS Bank SA
4. Credit Suisse (Schweiz) AG
5. DB Privat- und Firmenkundenbank AG
6. Goldman Sachs Financial Markets Pty Ltd
7. Nomura Financial Products & Services, Inc.
8. RBC Capital Markets, LLC
9. RBC Europe Limited
10. Royal Bank of Canada
11. Santander Investment Securities Inc.

金融服務提供者的完整名單（包括第 4776 號公告所指定且對其作出的指定並未被撤銷的人士）如下：

（按英文名稱的字母順序排列）

1. Abbey National Treasury Services plc
2. Agricultural Bank of China Limited
3. Banco Santander S.A.
4. Bank of America, N.A.
5. Barclays Bank PLC
6. Barclays Capital Inc.
7. BNP Paribas Fortis SA/NV
8. BNP Paribas SA
9. BNP Paribas Securities Corp.
10. CACEIS Bank SA
11. Citibank, N.A.
12. Citigroup Global Markets Inc.
13. Citigroup Global Markets Japan Inc.
14. Citigroup Global Markets Limited
15. Credit Agricole Corporate and Investment Bank
16. Credit Foncier de France

17. Credit Suisse (Schweiz) AG
18. Credit Suisse AG
19. Credit Suisse International
20. Credit Suisse Securities (Japan) Limited
21. Credit Suisse Securities (USA) LLC
22. Deutsche Bank AG
23. Deutsche Bank Securities Inc.
24. DB Privat- und Firmenkundenbank AG
25. Goldman Sachs & Co. LLC (前稱 Goldman Sachs & Co)
26. Goldman Sachs Bank USA
27. Goldman Sachs Financial Markets Pty Ltd
28. Goldman Sachs International
29. Goldman Sachs Japan Co., Ltd.
30. HSBC Bank plc
31. HSBC Bank USA, N.A.
32. HSBC France
33. HSBC Securities (USA) Inc.
34. ING Bank N.V.
35. ING Bank Śląski S.A.
36. ING-DiBa AG
37. JPMorgan Chase Bank, N.A.
38. JPMorgan Securities Japan Co., Ltd.
39. J.P. Morgan Securities LLC
40. J.P. Morgan Securities plc
41. Merrill Lynch Capital Services Inc.
42. Merrill Lynch International
43. Merrill Lynch Japan Securities Co., Ltd.
44. Merrill Lynch, Pierce, Fenner & Smith Incorporated
45. Mitsubishi UFJ Morgan Stanley Securities Co., Ltd.
46. Mizuho Bank, Ltd.
47. Mizuho Capital Markets LLC(前稱 Mizuho Capital Markets Corporation)
48. Mizuho International plc
49. Morgan Stanley & Co. International plc
50. Morgan Stanley & Co. LLC
51. Morgan Stanley Capital Services LLC
52. Morgan Stanley MUFG Securities Co., Ltd.
53. MUFG Bank, Ltd. (前稱 The Bank of Tokyo-Mitsubishi UFJ, Ltd.)
54. MUFG Securities EMEA plc (前述為 MUFG Securities EMEA PLC)
55. NATIXIS
56. NatWest Markets plc (前稱 The Royal Bank of Scotland plc)
57. Nomura Financial Products & Services, Inc.
58. Nomura Global Financial Products, Inc.
59. Nomura International plc
60. Nomura Securities Co., Ltd.
61. Nomura Securities International, Inc.
62. Nordea Bank Abp (前稱 Nordea Bank AB)
63. RBC Capital Markets, LLC
64. RBC Europe Limited
65. Royal Bank of Canada

66. Santander Investment Securities Inc.
67. SG Americas Securities LLC
68. SMBC Capital Markets Inc.
69. SMBC Nikko Securities Inc.
70. Societe Generale
71. Societe Generale International Limited (前稱 Societe Generale Newedge UK Limited)
72. Standard Chartered Bank
73. Sumitomo Mitsui Banking Corporation
74. Sumitomo Mitsui Trust Bank, Limited
75. The Bank of New York Mellon
76. UBS AG
77. UBS Limited
78. UBS Securities LLC
79. UniCredit Bank AG
80. UniCredit Bank Austria AG
81. UniCredit S.p.A.
82. Wells Fargo Bank, N.A.
83. Wells Fargo Securities, LLC

2018 年 12 月 4 日

證券及期貨事務監察委員會委員及執行董事雷祺光