

**G.N. 9212**

**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 2019 the designation of each of the following persons as a financial services provider for the purposes of the Clearing Rules:—

(in alphabetical order)

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

Pursuant to rule 3(1) of the Clearing Rules, and having obtained the consent of the Monetary Authority, the Commission designates from 1 January 2019 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. 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.

The full list of financial services providers including the persons designated in G.N. 4776 (whose designations have not been revoked) is as follows:

(in alphabetical order)

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 (formerly known as 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 Slaski 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 (formerly known as 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. (formerly known as The Bank of Tokyo-Mitsubishi UFJ, Ltd.)
54. MUFG Securities EMEA plc (formerly stated as MUFG Securities EMEA PLC)
55. NATIXIS
56. NatWest Markets plc (formerly known as 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 (formerly known as 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 (formerly known as 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

4 December 2018

Keith LUI *Commission Member and Executive Director,  
Securities and Futures Commission*