

第 7083 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）為施行《結算規則》，自 2020 年 1 月 1 日起撤銷對 UBS Limited 作為金融服務提供者的指定。

依據《結算規則》第 3(1) 條，並在金融管理專員的同意下，證監會為施行《結算規則》，自 2020 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. Bank of America Merrill Lynch International Designated Activity Company
2. Banque Palatine S.A.
3. Barclays Bank Ireland Plc
4. Barclays Bank UK PLC
5. BofA Securities Europe SA
6. Citigroup Global Markets Europe AG
7. Credit Suisse Securities Sociedad de Valores, S.A.
8. Goldman Sachs Bank Europe SE
9. HSBC UK Bank plc
10. J.P. Morgan AG
11. Morgan Stanley Europe SE
12. National Westminster Bank Plc
13. NatWest Markets N.V.
14. UBS Europe SE

金融服務提供者的完整名單（包括以往政府公告（第 9212 號公告及第 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. Bank of America Merrill Lynch International Designated Activity Company
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. CACEIS Bank SA
16. Citibank, N.A.
17. Citigroup Global Markets Europe AG
18. Citigroup Global Markets Inc.
19. Citigroup Global Markets Japan Inc.
20. Citigroup Global Markets Limited

21. Credit Agricole Corporate and Investment Bank
22. Credit Foncier de France
23. Credit Suisse (Schweiz) AG
24. Credit Suisse AG
25. Credit Suisse International
26. Credit Suisse Securities (Japan) Limited
27. Credit Suisse Securities Sociedad de Valores, S.A.
28. Credit Suisse Securities (USA) LLC
29. Deutsche Bank AG
30. Deutsche Bank Securities Inc.
31. DB Privat- und Firmenkundenbank AG
32. Goldman Sachs & Co. LLC
33. Goldman Sachs Bank Europe SE
34. Goldman Sachs Bank USA
35. Goldman Sachs Financial Markets Pty Ltd
36. Goldman Sachs International
37. Goldman Sachs Japan Co., Ltd.
38. HSBC Bank plc
39. HSBC Bank USA, N.A.
40. HSBC France
41. HSBC Securities (USA) Inc.
42. HSBC UK Bank plc
43. ING Bank N.V.
44. ING Bank Slaski S.A.
45. ING-DiBa AG
46. J.P. Morgan AG
47. JPMorgan Chase Bank, N.A.
48. JPMorgan Securities Japan Co., Ltd.
49. J.P. Morgan Securities LLC
50. J.P. Morgan Securities plc
51. Merrill Lynch Capital Services Inc.
52. Merrill Lynch International
53. Merrill Lynch Japan Securities Co., Ltd.
54. Merrill Lynch, Pierce, Fenner & Smith Incorporated
55. Mitsubishi UFJ Morgan Stanley Securities Co., Ltd.
56. Mizuho Bank, Ltd.
57. Mizuho Capital Markets LLC
58. Mizuho International plc
59. Morgan Stanley & Co. International plc
60. Morgan Stanley & Co. LLC
61. Morgan Stanley Capital Services LLC
62. Morgan Stanley Europe SE
63. Morgan Stanley MUFG Securities Co., Ltd.
64. MUFG Bank, Ltd.
65. MUFG Securities EMEA plc
66. NATIXIS
67. National Westminster Bank Plc
68. NatWest Markets N.V.
69. NatWest Markets plc

70. Nomura Financial Products & Services, Inc.
71. Nomura Global Financial Products, Inc.
72. Nomura International plc
73. Nomura Securities Co., Ltd.
74. Nomura Securities International, Inc.
75. Nordea Bank Abp
76. RBC Capital Markets, LLC
77. RBC Europe Limited
78. Royal Bank of Canada
79. Santander Investment Securities Inc.
80. SG Americas Securities LLC
81. SMBC Capital Markets Inc.
82. SMBC Nikko Securities Inc.
83. Societe Generale
84. Societe Generale International Limited
85. Standard Chartered Bank
86. Sumitomo Mitsui Banking Corporation
87. Sumitomo Mitsui Trust Bank, Limited
88. The Bank of New York Mellon
89. UBS AG
90. UBS Europe SE
91. UBS Securities LLC
92. UniCredit Bank AG
93. UniCredit Bank Austria AG
94. UniCredit S.p.A.
95. Wells Fargo Bank, N.A.
96. Wells Fargo Securities, LLC

2019年11月15日

證券及期貨事務監察委員會委員及執行董事梁仲賢