

第 7127 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 2021 年 1 月 1 日起撤銷對 Merrill Lynch, Pierce, Fenner & Smith Incorporated 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 2021 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 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

以下為金融服務提供者的完整名單，當中包括以往政府公告(第 4776 號公告、第 9212 號公告及第 7083 號公告)所指定且對其作出的指定並未被撤銷的人士：

(按英文名稱的字母順序排列)

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 (前稱‘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

2020年11月26日

證券及期貨事務監察委員會
委員及執行董事
梁仲賢