

**第 6961 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(1) 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 2023 年 1 月 1 日起指定 Nomura Financial Products Europe GmbH 為金融服務提供者，而其（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。

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、第 7083 號公告、第 7127 號公告及第 7596 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, National Association
4. Bank of America Europe 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
12. BNP Paribas Fortis SA/NV
13. BNP Paribas Securities Corp.
14. BofA Securities, Inc.
15. BofA Securities Europe SA
16. BofA Securities Japan Co., Ltd
17. CACEIS Bank SA
18. Citibank, N.A.
19. Citibank Europe Plc
20. Citigroup Global Markets Europe AG
21. Citigroup Global Markets Inc.
22. Citigroup Global Markets Japan Inc.
23. Citigroup Global Markets Limited
24. Credit Agricole Corporate and Investment Bank
25. Credit Foncier de France
26. Credit Suisse AG
27. Credit Suisse Bank (Europe), S.A.
28. Credit Suisse International
29. Credit Suisse (Schweiz) AG
30. Credit Suisse Securities (Japan) Limited
31. Credit Suisse Securities (USA) LLC
32. Deutsche Bank Aktiengesellschaft
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, National Association
42. HSBC Continental Europe
43. HSBC Securities (USA) Inc.
44. HSBC UK Bank plc
45. ING Bank N.V.
46. ING Bank Śląski 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, National Association
52. JPMorgan Securities Japan Co., Ltd.
53. Merrill Lynch Capital Services Inc.
54. Merrill Lynch International
55. Mitsubishi UFJ Morgan Stanley Securities Co., Ltd.
56. Mizuho Bank, Ltd.
57. Mizuho Capital Markets LLC
58. Mizuho International plc
59. Mizuho Securities USA LLC
60. Morgan Stanley & Co. International plc
61. Morgan Stanley & Co. LLC
62. Morgan Stanley Capital Services LLC
63. Morgan Stanley Europe SE
64. Morgan Stanley MUFG Securities Co., Ltd.
65. MUFG Bank, Ltd.
66. MUFG Securities EMEA plc
67. National Westminster Bank Plc
68. NATIXIS
69. NatWest Markets N.V.
70. NatWest Markets plc
71. Nomura Financial Products & Services, Inc.
72. Nomura Financial Products Europe GmbH
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
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. TD Global Finance Unlimited Company
94. The Bank of New York Mellon
95. Toronto-Dominion Bank
96. UBS AG
97. UBS Europe SE
98. UBS Securities LLC
99. UBS Switzerland AG
100. UniCredit Bank AG
101. UniCredit Bank Austria AG
102. UniCredit S.p.A.
103. Wells Fargo Bank, National Association
104. Wells Fargo Securities, LLC

2022 年 11 月 21 日

證券及期貨事務監察委員會
委員及執行董事梁仲賢