



Entity Profile Information

Viewed on November 14, 2023

NFA ID 0209445 HSBC BANK PLC

Current Status Information

Branch ID	Status	Effective Date
	SWAP DEALER REGISTERED	08/15/2023
	NFA MEMBER APPROVED	05/02/2013
	EXEMPT FOREIGN FIRM APPROVED	07/17/1989

Status History Information

Status	Effective Date
SWAP DEALER REGISTERED	08/15/2023
NFA MEMBER APPROVED	05/02/2013
SWAP DEALER PROVISIONALLY REGISTERED	12/31/2012
SWAP DEALER PENDING	12/19/2012
NFA MEMBER PENDING	12/19/2012
EXEMPT FOREIGN FIRM APPROVED	07/17/1989

Outstanding Requirements

Annual Due Date: 6/1/2024

No information available.

Disciplined Employee Summary

Exempt Foreign Firm Information

NFA ID	Agent Name	Start Date	End Date
0002170	HSBC SECURITIES USA INC	7/16/2013	
0234336	SAMUEL MONTAGU INC	1/1/1991	12/8/1995

NFA ID	Regulator Name	Start Date	End Date
0316743	FINANCIAL CONDUCT AUTHORITY	7/17/1989	

NFA ID	Doing Business With	Start Date	End Date
0527468	DE RIVA ASIA LIMITED	2/24/2020	3/10/2020
0303496	SOCIETE GENERALE	7/20/2011	
0411526	MAKO FINANCIAL MARKETS PARTNERSHIP LLP	9/10/2009	

Exemption Category	Exemption Type	Statement Date
FUTURES COMMISSION MERCHANT	30.10	6/30/1997



Business Information

Viewed on November 14, 2023

NFA ID 0209445 HSBC BANK PLC

Name	HSBC BANK PLC
Form of Organization	CORPORATION
Country	UNITED KINGDOM

Federal EIN	365684514
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Business Address

Street Address 1	HSBC BANK PLC
Street Address 2	8 CANADA SQUARE
City	LONDON
Zip/Postal Code	E14 5HQ
Country	UNITED KINGDOM

Phone Number	+ 44 (0) 207 9916302
Fax Number	N/A

Email	Not provided
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Website/URL	HTTP://WWW.HSBCNET.COM/
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CRD/IARD ID	Not provided
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Exempt Foreign Firm Contact Information

Viewed on November 14, 2023

NFA ID 0209445 HSBC BANK PLC

Exempt Foreign Firm Contact Address

First Name	LINDA
Last Name	GLOVER
Title	MANAGER GLOBAL CLEARING SERVICES
Street Address 1	8 CANADA SQUARE
City	LONDON
Zip/Postal Code	E14 5HQ
Country	UNITED KINGDOM
Phone	44-207-991-5760
Fax	44-207 992-4963
Email	LINDA.J.GLOVER@HSBCGROUP.COM



Other Names

Viewed on November 14, 2023

NFA ID 0209445 HSBC BANK PLC

HSBC FUTURES DIV OF MIDLAND BANK PLC

ALIAS

MIDLAND MONTAGU FUTURES

ALIAS



Location of Business Records

Viewed on November 14, 2023

NFA ID 0209445 HSBC BANK PLC

Street Address 1	HSBC BANK PLC
Street Address 2	8 CANADA SQUARE
City	LONDON
Zip/Postal Code	E14 5HQ
Country	UNITED KINGDOM



U.S. Address for the Production of Business Records

Viewed on November 14, 2023

NFA ID 0209445 HSBC BANK PLC

Office of NFA located in New York, NY



Principal Information

Viewed on June 21, 2024

NFA ID 0209445 HSBC BANK PLC

Individual Information

NFA ID	0471399
Name	BELL, COLIN
Title(s)	DIRECTOR CHIEF EXECUTIVE OFFICER
10% or More Interest	No
Status	APPROVED
Effective Date	06-10-2021

NFA ID	0552449
Name	CHUNG, HAIDEE HOILIM
Title(s)	HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest	No
Status	APPROVED
Effective Date	11-02-2022

NFA ID	0551704
Name	CLACKSON, PATRICK ANDREW
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	10-17-2022

NFA ID	0544124
Name	DOVE EDWIN, NORMA ADRIENNE
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	02-14-2022

NFA ID	0537214
Name	ELLIS, JULIET ANN
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED

Effective Date **06-02-2021**

NFA ID **0555384**
Name **GURNEY, KATHRYN LESLIE**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **03-30-2023**

NFA ID **0519151**
Name **GUYETT, GREGORY LAURENCE**
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**
10% or More Interest **No**
Status **APPROVED**
Effective Date **02-14-2019**

NFA ID **0561556**
Name **HORDLEY, MICHAEL ROGER WILLIAM**
Title(s) **CHIEF OPERATING OFFICER**
10% or More Interest **No**
Status **APPROVED**
Effective Date **02-01-2024**

NFA ID **0525756**
Name **MAHTANI, KAVITA**
Title(s) **DIRECTOR**
 CHIEF FINANCIAL OFFICER
10% or More Interest **No**
Status **APPROVED**
Effective Date **11-13-2023**

NFA ID **0493625**
Name **MAUREL, ANTOINE JEAN GEORGES**
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**
10% or More Interest **No**
Status **APPROVED**
Effective Date **10-25-2023**

NFA ID **0263457**
Name **OCONNOR, STEPHEN**
Title(s) **DIRECTOR**

10% or More Interest **No**
Status **APPROVED**
Effective Date **07-01-2018**

NFA ID **0454192**
Name **ODONALD, LEWIS JOHN**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **03-24-2023**

NFA ID **0514845**
Name **OMURA, YUKIKO**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **09-05-2018**

NFA ID **0563450**
Name **SPRING, ANNABEL FITZGERALD**
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**
10% or More Interest **No**
Status **APPROVED**
Effective Date **05-24-2024**

NFA ID **0514848**
Name **STRUTZ, ERIC WOLFGANG**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **09-05-2018**

NFA ID **0485862**
Name **WEISS, MICHAEL CARL**
Title(s) **CHIEF COMPLIANCE OFFICER**
10% or More Interest **No**
Status **APPROVED**
Effective Date **11-03-2021**

NFA ID **0514853**
Name **WRIGHT, ANDREW MERLAY**

Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	09-06-2018

Holding Company Information

NFA ID	0453422
Full Name	HSBC HOLDINGS PLC
10% or More Interest	Yes
Status	APPROVED
Effective Date	12-29-2012



Non-U.S. Regulator Information

Viewed on November 14, 2023

NFA ID 0209445 HSBC BANK PLC

List of Non-U.S. Regulator(s) During The Past 5 Years

Country	Regulator Name
UNITED KINGDOM	PRUDENTIAL REGULATORY AUTHORITY
UNITED KINGDOM	FINANCIAL CONDUCT AUTHORITY
FRANCE	AUTORITE DE CONTROLE PRUDENTIEL ET DE RESOLUTION
GERMANY	BUNDESANSTALT FÜR FINANZDIENSTLEISTUNGSAUFSICHT
ITALY	BANK OF ITALY
SPAIN	BANK OF SPAIN
PORTUGAL	BANCO DE PORTUGAL
GREECE	BANK OF GREECE
ISRAEL	BANK OF ISRAEL
SLOVENIA	BANK OF SLOVENIA
FRANCE	BANQUE DE FRANCE
BELGIUM	NATIONAL BANK OF BELGIUM
CYPRUS	CENTRAL BANK OF CYPRUS
LUXEMBOURG	COMMISSION DE SURVEILLANCE DU SECTEUR FINANCIER
ITALY	COMMISSIONE NAZIONALE PER LE SOCIETÀ E LA BORSA
CZECH REPUBLIC	CZECH NATIONAL BANK
AUSTRIA	FINANCIAL MARKET AUTHORITY
HUNGARY	MAGYAR NEMZETI BANK (THE CENTRAL BANK OF HUNGARY)
LITHUANIA	BANK OF LITHUANIA
JERSEY ISLAND	JERSEY FINANCIAL SERVICES COMMISSION
ISLE OF MAN	ISLE OF MAN FINANCIAL SERVICES AUTHORITY
HONG KONG	HONG KONG MONETARY AUTHORITY
GUERNSEY	GUERNSEY FINANCIAL SERVICES COMMISSION

ICELAND	THE CENTRAL BANK OF ICELAND
LIECHTENSTEIN	FINANCIAL MARKET AUTHORITY
SOUTH AFRICA	FINANCIAL SECTOR CONDUCT AUTHORITY
FINLAND	FINANCIAL SUPERVISION AUTHORITY
NORWAY	FINANCIAL SUPERVISORY AUTHORITY OF NORWAY
DENMARK	DANISH FINANCIAL SUPERVISORY AUTHORITY
ESTONIA	FINANCIAL SUPERVISION AUTHORITY
LATVIA	FINANCIAL AND CAPITAL MARKET COMMISSION



Agent Information

Viewed on November 14, 2023

NFA ID 0209445 HSBC BANK PLC

Current Agent

Agent ID	Agent Name	Start Date
0002170	HSBC SECURITIES USA INC	7/16/2013

Agent History

Agent ID	Agent Name	Start Date	End Date
0234336	SAMUEL MONTAGU INC	1/1/1991	12/8/1995



Doing Business With

Viewed on November 14, 2023

NFA ID 0209445 HSBC BANK PLC

Doing Business With - Current

NFA ID	Name	Start Date
No Information Available		

Doing Business With - History

NFA ID	Name	Start Date	End Date
No Information Available			



Disciplinary Information - Criminal Disclosures

Viewed on November 14, 2023

NFA ID 0209445 HSBC BANK PLC

For additional assistance and information on completing this page, refer to the Instructions and Definition of Terms at the beginning of this document.

THE QUESTIONS ON THIS PAGE MUST BE ANSWERED "YES" EVEN IF:

- **ADJUDICATION OF GUILT WAS WITHHELD OR THERE WAS NO CONVICTION; OR**
- **THERE WAS A CONDITIONAL DISCHARGE OR POST-CONVICTION DISMISSAL AFTER SUCCESSFUL COMPLETION OF A SENTENCE; OR**
- **A STATE CERTIFICATE OF RELIEF FROM DISABILITIES OR SIMILAR DOCUMENT WAS ISSUED RELIEVING THE HOLDER OF FORFEITURES, DISABILITIES OR BARS RESULTING FROM A CONVICTION; OR**
- **THE RECORD WAS EXPUNGED OR SEALED; OR**
- **A PARDON WAS GRANTED.**

THE QUESTIONS MAY BE ANSWERED "NO" IF THE CASE WAS DECIDED IN A JUVENILE COURT OR UNDER A YOUTH OFFENDER LAW.

For each matter that requires a "Yes" answer to Questions A, B or C below, a Criminal Disclosure Matter Page (DMP) must be filed using NFA's DMP Filing System that requests:

- who was involved;
- when it occurred;
- what the allegations were;
- what the final determination was, if any; and
- the date of the determination.

In addition, documents must be provided for each matter requiring a "Yes" answer that show:

- the charges;
- the classification of the offense, i.e., felony or misdemeanor;
- the plea, sentencing and probation information, as applicable;
- the final disposition; and
- a summary of the circumstances surrounding the criminal matter.

The documents may be provided electronically using the upload function in the DMP Filing System or sending them to NFA (See Instructions).

Question A

Has the firm ever pled guilty or nolo contendere ("no contest") to or been convicted or found guilty of any felony in any U.S., non-U.S. or military court?

No

Question B

Has the firm ever pled guilty to or been convicted or found guilty of any misdemeanor in any U.S., non-U.S. or military court which involves:

- embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering, or misappropriation of funds, securities or property; or
- violation of sections 7203, 7204, 7205 or 7207 of the Internal Revenue Code of 1986; or
- violation of sections 152, 1341, 1342 or 1343 or chapters 25, 47, 95 or 96 of the U.S. Criminal Code; or
- any transaction in or advice concerning futures, options, leverage transactions or securities?

No

Question C

Is there a charge pending, the resolution of which could result in a "Yes" answer to the above questions?

No

NFA ID

0209445



HSBC BANK PLC

To add a Disclosure Matter Page (DMP), click the Add DMP button. To view or update a current DMP, click the link in the Date DMP Filed column. To delete an "In Process" DMP, click the Delete button in the Action column.

To view the historical versions of DMPs, click the link in the Prior Filing(s) column if applicable.

For additional assistance, contact NFA at (800) 621-3570 or (312) 781-1410. You may also send an email to registration@nfa.futures.org.

+ Add DMP

Current Criminal Disclosure Matter Summary (2 DMPs)

Show

100

entries

Search:

Question(s)	DMP Number	Date DMP Filed	Matter Name	Case Status	Date	Prior Filing(s)	Action
	14281	02/20/2018	U.S. V HSBC HOLDINGS PLC, CASE NO. 1:18-CR-00030-LDH (EDNY 2018)				
	14278	09/05/2017	DEFERRED PROSECUTION AGREEMENT AND RELATED SETTLEMENT AGREEMENTS INVOLVING HSBC HOLDINGS PLC, 12/02				

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 Archived Criminal Disclosure Matter Summary

There are currently no archived DMPs.



Disciplinary Information - Regulatory Disclosures

Viewed on November 14, 2023

NFA ID 0209445 HSBC BANK PLC

For additional assistance and information on completing this page, refer to the Instructions and Definition of Terms at the beginning of this document.

For each matter that requires a "Yes" answer to Questions D, E, F, G, H or I below, a Regulatory DMP must be filed using NFA's DMP Filing System that requests:

- who was involved;
- when it occurred;
- what the allegations were;
- what the final determination was, if any;
- the date of the determination; and
- a summary of the circumstances surrounding the regulatory matter.

In addition, documents must be provided for each matter requiring a "Yes" answer that show:

- the allegations; and
- the final disposition.

The documents may be provided electronically using the upload function in the DMP Filing System or sending them to NFA (See Instructions).

Question D

In any case brought by a U.S. or non-U.S. governmental body (other than the CFTC), has a court ever permanently or temporarily enjoined the firm after a hearing or default or as the result of a settlement, consent decree or other agreement, from engaging in or continuing any activity involving:

- any transaction in or advice concerning futures, options, leverage transactions or securities; or
- embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property?

No

Question E

In any case brought by a U.S. or non-U.S. governmental body (other than the CFTC), has the firm ever been found, after a hearing or default or as the result of a settlement, consent decree or other agreement, to:

- have violated any provision of any investment-related statute or regulation thereunder; or
- have violated any statute, rule, regulation or order which involves embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property; or
- have willfully aided, abetted, counseled, commanded, induced or procured such violation by any other person; or
- have failed to supervise another person's activities under any investment-related statute or regulation thereunder?

Yes

Question F

Has the firm ever been debarred by any agency of the U.S. from contracting with the U.S.?

No

Question G

Has the firm ever been the subject of any order issued by or a party to any agreement with a U.S. or non-U.S. regulatory authority (other than the CFTC), including but not limited to a licensing authority, or self-regulatory organization (other than NFA or a U.S. futures exchange) that prevented or restricted the firm's ability to engage in any business in the financial services industry?

No

Question H

Are any of the orders or other agreements described in Question G currently in effect against the firm?

No

Question I

Is the firm a party to any action, the resolution of which could result in a "Yes" answer to the above questions?

No

NFA ID

0209445



HSBC BANK PLC

To add a Disclosure Matter Page (DMP), click the Add DMP button. To view or update a current DMP, click the link in the Date DMP Filed column. To delete an "In Process" DMP, click the Delete button in the Action column.

To view the historical versions of DMPs, click the link in the Prior Filing(s) column if applicable.

For additional assistance, contact NFA at (800) 621-3570 or (312) 781-1410. You may also send an email to registration@nfa.futures.org.

+ Add DMP

Current Regulatory Disclosure Matter Summary (25 DMPs)

Show

100

entries

Search:

Question(s)	DMP Number	Date DMP Filed	Matter Name	Case Status	Date	Prior Filing(s)	Action
E	19669	02/09/2024	UK PRUDENTIAL REGULATION AUTHORITY 114216 [HSBC BANK PLC FIRM REFERENCE NUMBER]	FINAL	1/2024		
E	17963	12/17/2021	EUROPEAN COMMISSION AT_40135	FINAL	12/2021		
	14275	10/17/2017	FEDERAL RESERVE BOARD CEASE AND DESIST ORDER, OCT. 2017.				
	14260	09/05/2017	SOUTH AFRICA COMPETITION TRIBUNAL, CC CASE NO. 2015APR0147				
	14261	09/05/2017	BRAZIL CADE ADMINISTRATIVE PROCEEDING 08700.004633/2015-04				
	14276	05/17/2017	EURIBOR EC INFRINGEMENT DECISION 7 DECEMBER 2016				
	14258	12/24/2014	NOVEMBER 2014, FCA FINAL NOTICE 114216				
	14262	06/06/2014	HUNGARIAN FINANCIAL SERVICES AUTHORITY - APRIL 2011				
	14259	06/06/2014	HELLENIC DATA PROTECTION AUTHORITY 2013				
	14274	06/06/2014	HMRC FINE				
	14277	05/23/2014	EURIBOR EC STATEMENT OF OBJECTIONS 20 MAY 2014				
	14279	05/29/2013	2002 SPANISH MONEY LAUNDERING AUTHORITY				
	14280	01/14/2013	ASSUMPTION IN FORM COMPLETION				
	14273	12/19/2012	ASSUMPTIONS				
	14270	12/19/2012	BANK OF GREECE SANCTIONS				
	14269	12/19/2012	HUNGARIAN FSA (HFSA) REGULATORY FINE				
	14272	12/19/2012	NHFA LIMITED - SALES OF LONG TERM PRODUCTS TO THE ELDERLY				
	14263	12/19/2012	OMX HELSINKI AND OSLO BORS TRADE REPORTING				
	14264	12/19/2012	REGULATOR INVESTIGATIONS INTO THE SETTING OF LONDON INTER BANK OFFERED RATES AND EUROPEAN INTER BANK				

Question(s)	DMP Number	Date DMP Filed	Matter Name	Case Status	Date	Prior Filing(s)	Action
	14271	12/19/2012	SPANISH MONEY LAUNDERING AUTHORITY (SEPBLAC) SANCTION FOR MONEY LAUNDERING BREACHES				
	14266	12/19/2012	UK AUTHORITY INVESTIGATIONS INTO PAYMENT PROTECTION INSURANCE (PPI)				
	14267	12/19/2012	UK FSA CONSULTATION ON ARCH CRU REDRESS SCHEME				
	14268	12/19/2012	UK FSA INVESTIGATIONS INTO INTEREST RATE DERIVATIVE SALES				
	14265	12/19/2012	UK FSA TRANSACTION REPORTING				
	14283	12/19/2012	VIRT-X TRADE AND TRANSACTION REPORTING				

🔍 Archived Regulatory Disclosure Matter Summary (2 DMPs)





Disciplinary Information - Financial Disclosures

Viewed on November 14, 2023

NFA ID 0209445 HSBC BANK PLC

For additional assistance and information on completing this page, refer to the Instructions and Definition of Terms at the beginning of this document.

For each matter that requires a "Yes" answer to Question J below, a Financial DMP must be filed using NFA's DMP Filing System that requests:

- who was involved;
- when it occurred;
- what the allegations were;
- what the final determination was, if any;
- the date of the determination; and
- a summary of the circumstances surrounding the financial matter.

In addition, documents must be provided for each matter requiring a "Yes" answer that show:

- the allegations; and
- the final disposition.

The documents may be provided electronically using the upload function in the DMP Filing System or sending them to NFA (See Instructions).

Question J

Has the firm ever been the subject of an adversary action brought by a U.S. bankruptcy trustee?

Yes

NFA ID

0209445



HSBC BANK PLC

To add a Disclosure Matter Page (DMP), click the Add DMP button. To view or update a current DMP, click the link in the Date DMP Filed column. To delete an "In Process" DMP, click the Delete button in the Action column.

To view the historical versions of DMPs, click the link in the Prior Filing(s) column if applicable.

For additional assistance, contact NFA at (800) 621-3570 or (312) 781-1410. You may also send an email to registration@nfa.futures.org.

+ Add DMP

Current Financial Disclosure Matter Summary (1 DMP)

Show

100

entries

Search:

Question(s)	DMP Number	Date DMP Filed	Matter Name	Case Status	Date	Prior Filing(s)	Action
	14282	09/06/2017	MADOFF BANKRUPTCY TRUSTEE ACTION				

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 Archived Financial Disclosure Matter Summary



There are currently no archived DMPs.



Registration Contact Information

Viewed on November 14, 2023

NFA ID 0209445 HSBC BANK PLC

First Name	MICHAEL
Last Name	WEISS
Title	CHIEF COMPLIANCE OFFICER
Street Address 1	THIRD FLOOR, 8 CANADA SQUARE
Street Address 2	CANARY WHARF
City	LONDON
Zip/Postal Code	E145HQ
Country	UNITED KINGDOM
Phone	+ 44 207 9914153
Email	MICHAEL.C.WEISS@HSBC.COM



Enforcement/Compliance Communication Contact Information

Viewed on November 14, 2023

NFA ID 0209445 HSBC BANK PLC

First Name	MARK
Last Name	FRITH
Title	SVP SWAP DEALER COMPLIANCE
Street Address 1	8 CANADA SQUARE
Street Address 2	3RD FLOOR
City	LONDON
Zip/Postal Code	E14 5HQ
Country	UNITED KINGDOM
Phone	0044 7996 704 226
Email	MARK.FRITH@HSBCIB.COM

First Name	MICHAEL
Last Name	WEISS
Title	CHIEF COMPLIANCE OFFICER
Street Address 1	THIRD FLOOR, 8 CANADA SQUARE
Street Address 2	CANARY WHARF
City	LONDON
Zip/Postal Code	E145HQ
Country	UNITED KINGDOM
Phone	0044 207 9914153
Email	MICHAEL.C.WEISS@HSBC.COM



Membership Information

Viewed on November 14, 2023

NFA ID 0209445 HSBC BANK PLC

Indicate the category in which the Member intends to vote on NFA membership matters. **SWAP DEALER**

U.S. Regulator Information

Is the firm currently regulated by any of the regulators listed below? **Yes**

THE BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM



Membership Contact Information

Viewed on November 14, 2023

NFA ID 0209445 HSBC BANK PLC

Membership Contact

First Name	MARK
Last Name	FRITH
Title	SVP SWAP DEALER COMPLIANCE
Street Address 1	8 CANADA SQUARE
City	LONDON
Zip/Postal Code	E14 5HQ
Country	UNITED KINGDOM
Phone	0044 7996 704 226
Email	MARK.FRITH@HSBCIB.COM

Accounting Contact

First Name	DAVID
Last Name	GRIMSHAW
Title	REGIONAL COO
Street Address 1	8 CANADA SQUARE
City	LONDON
Zip/Postal Code	E14 5HQ
Country	UNITED KINGDOM
Phone	0044 207 991 5626
Email	DAVID.GRIMSHAW@HSBC.COM

Arbitration Contact

First Name	MICHAEL
Last Name	WEISS
Title	CHIEF COMPLIANCE OFFICER
Street Address 1	THIRD FLOOR, 8 CANADA SQUARE
Street Address 2	CANARY WHARF
City	LONDON
Zip/Postal Code	E14 5HQ
Country	UNITED KINGDOM
Phone	+ 44 207 9914153
Email	MICHAEL.C.WEISS@HSBC.COM

Compliance Contact

First Name	MARK
Last Name	FRITH
Title	SVP SWAP DEALER COMPLIANCE
Street Address 1	8 CANADA SQUARE
Street Address 2	3RD FLOOR
City	LONDON
Zip/Postal Code	E14 5HQ
Country	UNITED KINGDOM
Phone	+44 7996 704 226
Email	MARK.FRITH@HSBCIB.COM

Chief Compliance Officer Contact

First Name	MICHAEL
Last Name	WEISS
Title	CHIEF COMPLIANCE OFFICER
Street Address 1	THIRD FLOOR, 8 CANADA SQUARE
Street Address 2	CANARY WHARF
City	LONDON
Zip/Postal Code	E14 5HQ
Country	UNITED KINGDOM
Phone	+ 44 207 9914153
Email	MICHAEL.C.WEISS@HSBC.COM



Online Registration System

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Search

- For an Individual
- For a Firm, Holding Company or Sole Proprietor
- For a Pool
- By Social Security Number

Disciplinary Information

- Disclosure Information
- List of Disciplinary Information
- Disclosure Questions

Firm Profile

- Branch Office Manager List
- Swap Associated Person List
- Employee List (by office)
- Guarantee Agreement Information
- Exempt Foreign Firm Information
- Part 4 Exemptions

Internal Processing

- View Registration Information
- Outstanding Requirements
- Application Withdrawal Date
- TL's Due to Withdraw
- Notices

Registration and Membership

- Current Registration Status
- Registration History

Hardcopies

- Filing History

Branch Office Manager List

NFA
ID

HSBC BANK PLC

No information available.

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- For an Individual
- For a Firm, Holding Company or Sole Proprietor
- For a Pool
- By Social Security Number

Disciplinary Information

- Disclosure Information
- List of Disciplinary Information
- Disclosure Questions

Firm Profile

- Branch Office Manager List
- Swap Associated Person List
- Employee List (by office)
- Guarantee Agreement Information
- Exempt Foreign Firm Information
- Part 4 Exemptions

Internal Processing

- View Registration Information
- Application Withdrawal Date
- TL's Due to Withdraw
- Notices

Hardcopies

- Filing History

Filing History

NFA ID HSBC BANK PLC
Sponsor ID

Filter By:

[Form Message](#)

Process Date	Sponsor NFA ID	Form Message	User Name
02/09/2024		FIRM REGULATORY DMP ADDED - 19669	FRITHM
05/19/2023		FIRM REGULATORY DMP ADDED - 18986	FRITHM
06/06/2022		FIRM DISCIPLINARY INFORMATION FILED	FRITHM
04/08/2022		ENFORCEMENT/COMPLIANCE COMMUNICATION CONTACT INFORMATION DELETED	FRITHM
04/08/2022		BUSINESS LOCATIONS CHANGED	FRITHM
03/03/2022		BUSINESS LOCATIONS CHANGED	FRITHM
01/07/2022		FIRM REGULATORY DMP ADDED - 18000	FRITHM
12/17/2021		FIRM REGULATORY DMP ADDED - 17963	FRITHM
10/29/2021		BUSINESS LOCATIONS CHANGED	FRITHM
09/29/2021		HOLDING COMPANY DELETED FOR ID 0517294	FRITHM
04/01/2020		ENFORCEMENT/COMPLIANCE COMMUNICATION CONTACT INFORMATION DELETED	PEDREIRABETHENCM1
04/01/2020		BUSINESS LOCATIONS CHANGED	PEDREIRABETHENCM1
01/23/2020		BUSINESS LOCATIONS CHANGED	PEDREIRABETHENCM1
08/23/2019		U.S. REGULATOR INFORMATION ADDED	PEDREIRABETHENCM1

08/23/2019	<u>NON-U.S. REGULATOR INFORMATION UPDATED</u>	PEDREIRABETHENCM1
08/12/2019	<u>NON-U.S. REGULATOR INFORMATION UPDATED</u>	PEDREIRABETHENCM1
08/12/2019	<u>NON-U.S. REGULATOR INFORMATION UPDATED</u>	PEDREIRABETHENCM1
08/12/2019	<u>NON-U.S. REGULATOR INFORMATION UPDATED</u>	PEDREIRABETHENCM1
08/12/2019	<u>NON-U.S. REGULATOR INFORMATION UPDATED</u>	PEDREIRABETHENCM1
08/12/2019	<u>NON-U.S. REGULATOR INFORMATION UPDATED</u>	PEDREIRABETHENCM1
08/12/2019	<u>NON-U.S. REGULATOR INFORMATION UPDATED</u>	PEDREIRABETHENCM1
08/12/2019	<u>NON-U.S. REGULATOR INFORMATION UPDATED</u>	PEDREIRABETHENCM1
08/12/2019	<u>NON-U.S. REGULATOR INFORMATION UPDATED</u>	PEDREIRABETHENCM1
08/12/2019	<u>NON-U.S. REGULATOR INFORMATION UPDATED</u>	PEDREIRABETHENCM1
08/12/2019	<u>NON-U.S. REGULATOR INFORMATION UPDATED</u>	PEDREIRABETHENCM1
10/18/2018	<u>HOLDING COMPANY INFORMATION FILED</u>	LOPICICHR1
02/20/2018	<u>FIRM CRIMINAL MATTER INFORMATION FILED</u>	LOPICICHR1
10/17/2017	<u>FIRM REGULATORY MATTER INFORMATION FILED</u>	LOPICICHR1
09/06/2017	<u>FIRM FINANCIAL MATTER INFORMATION FILED</u>	LOPICICHR1
09/05/2017	<u>FIRM FINANCIAL SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED NO</u>	LOPICICHR1
09/05/2017	<u>FIRM FINANCIAL DISCLOSURE QUESTION J CHANGED</u>	LOPICICHR1
09/05/2017	<u>FIRM REGULATORY MATTER INFORMATION FILED</u>	LOPICICHR1
09/05/2017	<u>FIRM REGULATORY MATTER INFORMATION FILED</u>	LOPICICHR1
09/05/2017	<u>FIRM CRIMINAL MATTER INFORMATION FILED</u>	LOPICICHR1
06/21/2017	<u>BUSINESS LOCATIONS CHANGED</u>	LOPICICHR1
05/17/2017	<u>FIRM REGULATORY MATTER INFORMATION FILED</u>	LOPICICHR1
05/17/2017	<u>FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED NO</u>	LOPICICHR1
05/17/2017	<u>FIRM REGULATORY DISCLOSURE QUESTION E</u>	LOPICICHR1

	<u>CHANGED</u>	
05/16/2017	<u>FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED YES</u>	LOPICICHR1
04/18/2017	<u>BUSINESS LOCATIONS CHANGED</u>	DONNELLYD1
01/20/2017	<u>BUSINESS LOCATIONS CHANGED</u>	KIME1
01/05/2017	<u>BUSINESS LOCATIONS CHANGED</u>	DONNELLYD1
01/05/2017	<u>ENFORCEMENT/COMPLIANCE COMMUNICATION CONTACT INFORMATION DELETED</u>	DONNELLYD1
04/19/2016	<u>BUSINESS LOCATIONS CHANGED</u>	DONNELLYD1
03/10/2016	<u>BUSINESS LOCATIONS CHANGED</u>	KIME1
01/15/2016	<u>BUSINESS LOCATIONS CHANGED</u>	DONNELLYD1
01/15/2016	<u>ENFORCEMENT/COMPLIANCE COMMUNICATION CONTACT INFORMATION DELETED</u>	DONNELLYD1
05/14/2015	<u>BUSINESS LOCATIONS CHANGED</u>	DYC
12/24/2014	<u>FIRM REGULATORY MATTER INFORMATION FILED</u>	BALLISATE
06/06/2014	<u>FIRM REGULATORY MATTER INFORMATION FILED</u>	BALLISATE
06/06/2014	<u>FIRM REGULATORY MATTER INFORMATION FILED</u>	BALLISATE
06/06/2014	<u>FIRM REGULATORY MATTER INFORMATION FILED</u>	BALLISATE
05/23/2014	<u>FIRM REGULATORY MATTER INFORMATION FILED</u>	BALLISATE
05/01/2014	<u>BUSINESS LOCATIONS CHANGED</u>	VASENDENA1
04/25/2014	<u>BUSINESS LOCATIONS CHANGED</u>	VASENDENA1
01/28/2014	<u>BUSINESS LOCATIONS CHANGED</u>	VASENDENA1
01/24/2014	<u>BUSINESS LOCATIONS CHANGED</u>	VASENDENA1
05/29/2013	<u>FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED YES</u>	VASENDENA1
05/29/2013	<u>FIRM REGULATORY MATTER INFORMATION FILED</u>	VASENDENA1
05/13/2013	<u>FIRM REGULATORY DISCLOSURE QUESTION I CHANGED</u>	NFRGCZJ
01/14/2013	<u>FIRM REGULATORY MATTER</u>	BALLISATE

	<u>INFORMATION FILED</u>	
01/14/2013	<u>FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED DOES NOT APPLY</u>	BALLISATE
01/14/2013	<u>FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED DOES NOT APPLY</u>	BALLISATE
01/14/2013	<u>FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED DOES NOT APPLY</u>	BALLISATE
12/19/2012	<u>FIRM APPLICATION FILED</u>	NGAITHEJ
09/19/2006	<u>BUSINESS LOCATIONS CHANGED</u>	NFICCDM
09/19/2006	<u>BUSINESS LOCATIONS CHANGED</u>	NFICCDM
09/09/2004	<u>BUSINESS LOCATIONS CHANGED</u>	NFRGYXC

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