

Express Consent Form: per se Eligible Counterparty

Client entity name and address:

1. Introduction and Interpretation

- 1.1. In order to do Global Banking and Markets business with you, we need to receive certain express consents. We kindly request that you read the following then sign and return this form to provide the requested express consents.
- 1.2. This form also notifies you how we have classified you as a client. In this form, HSBC UK Bank plc acting through its Global Banking and Markets businesses may be referred to as “HSBC”, “we” or “our”.
- 1.3. **Any terms not defined in this Express Consent Form are defined in the glossary to the UK Financial Conduct Authority (“FCA”) Handbook.**

2. Your Client Classification

- 2.1. In order to determine the obligations we owe you in the course of our business in Global Banking and Markets, we must classify you under the (recast) Markets in Financial Instruments Directive 2014/65/EU (“**MiFID II**”), as implemented into UK law, and FCA rules.

- 2.2. We propose that your classification is an **Eligible Counterparty** in relation to the following Eligible Counterparty Business.

- 2.3. Eligible Counterparty Business is defined as:

- (a) dealing on own account, execution of orders on behalf of clients or reception and transmission of orders;
- (b) any ancillary service directly related to a service or activity referred to in (a); or
- (c) arranging in relation to business which is not MiFID or equivalent third country firm business;

but only to the extent that the service or activity is carried on with or for an eligible counterparty.

- 2.4. This is because we understand that you are one of the following:

- an investment firm;
- a credit institution;
- an insurance company;
- a UCITS or the management company of a UCITS;
- a pension fund or the management company of a pension fund;
- other financial institution authorised or regulated under European Union law or under the national law of an EEA State;
- a national government or its corresponding office including a public body that deals with public debt at a national level;
- a central bank; or
- a supranational organisation.

2.5. For all non-Eligible Counterparty Business, HSBC will treat you as a Professional Client.

2.6. The above shall include entities authorised or regulated by a third country.

3. Express Consents

3.1. Client Limit Order Consent

A Trading Venue is defined as a Regulated Market, Multilateral Trading Facility (“MTF”) or an Organised Trading Facility (“OTF”), as each is defined in MiFID II.

By signing this form, where you place a client Limit Order with HSBC in shares which are admitted to trading on a Regulated Market or traded on a Trading Venue and that order is not immediately executed under prevailing market conditions, you expressly instruct us not to immediately make the order public where we consider it appropriate.

We are seeking consent under Article 28(2) MiFID II and FCA rules.

3.2. Consent to execute your orders outside a Trading Venue

By signing this form, you hereby consent that HSBC may execute your orders outside a Trading Venue (“OTC Consent”).

3.3. Costs and Charges

Where required by applicable law or regulation, we shall provide you in good time with appropriate information with regard to all costs and charges related to the services and transactions we undertake with you. Without prejudice to these obligations, you agree to the fullest extent permissible under applicable law and regulation to a limited application of the detailed information requirements on costs and associated charges.

We are seeking this consent under Article 50(1) of the MiFID II Delegated Regulation and FCA rules.

3.4. Consent to the provision of information personally addressed to you by way of electronic mail and HSBC websites

By signing this form, you hereby consent that HSBC may provide information personally addressed to you by way of a durable medium other than paper (such as by way of email and/or an appropriate HSBC website) and confirm that the following electronic mail address should be used:

[_____]

Client to insert email address in space provided.

We are seeking this consent under Article 3(1) of the MiFID II Delegated Regulation and certain other laws and regulations relating to the provision of information by way of a durable medium other than paper, including FCA rules.

3.5. Consent to the provision of information not personally addressed to you by way of website

By signing this form, you hereby consent that HSBC may provide certain information not personally addressed to you by way of HSBC’s websites and such other website as you are notified of by HSBC.

We are seeking this consent under Article 3(2) of the MiFID II Delegated Regulation and certain other laws and regulations relating to the provision of information by way of a website, including FCA rules.

By signing this document the signatory is indicating that they have been duly authorised to sign for, and on behalf of, the organisation whose name appears below.

Organisation name:

Address:

Postcode:

Telephone number:

1st authorised signature:

Print name:

Capacity of signatory:

Signatory email address:

2nd authorised signature:

Print name:

Capacity of signatory:

Signatory email address:

Date:

We encourage you to keep a copy of these consents for your records.