

Express Consent Form:

Per se Professional Clients

Organisation name:

LEI:

Address:

Postcode:

Country:



HSBC
Global Banking
and Markets

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 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 a **Professional Client**.
- 2.3. This is because we understand that you are one of the following:
 - a credit institution,
 - an investment firm,
 - an authorised or regulated financial institution (other than a credit institution or investment firm),
 - an insurance company,
 - a collective investment scheme or the management company of a collective investment scheme,
 - a pension fund or the management company of a pension fund,
 - a commodity or a commodity derivatives dealer,
 - a local,
 - other institutional investor,
 - a large undertaking meeting two of the following criteria on a company basis:
 - balance sheet total: €20,000,000
 - net turnover: €40,000,000
 - own funds: €2,000,000,
 - a national or regional government including a public body that manages public debt at national or regional level, a central bank, an international or supranational institution (such as the World Bank, the IMF, the ECB, the EIB) or another similar international organisation),
 - an institutional investor whose main activity is to invest in financial instruments (including entities dedicated to the securitisation of assets or other financing transactions), or
 - in relation to non-MiFID business that we may undertake with you, you fulfil relevant criteria or thresholds under the FCA rules.

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”).

We are seeking consent under Article 27(5) MiFID II and FCA rules.

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:

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:

LEI:

Address:

Postcode:

Country:

Telephone number:

Print name:

Capacity of signatory:

Signatory email address:

Date

1st authorised signature:

Print name:

Capacity of signatory:

Signatory email address:

Date:

2nd authorised signature:

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