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# FinSA disclosure for professional clients

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Save where stated otherwise, the disclosure content below applies in relation to each HSBC Global Banking & Markets (“HSBC GBM”) entity with which you have a relationship. It sets out information that we are required to provide to you pursuant to the Swiss Federal Financial Services Act of 15 June 2018 (Finanzdienstleistungsgesetz) (“FinSA”).

## Information about HSBC

The HSBC entity or entities with which you have a relationship will have provided you with details of that entity’s full legal name, registered address and supervisory status. You can also locate this information, in relation to some of our major HSBC GBM entities, at the end of this document. If the entity with which you have a relationship is not covered in that list, please speak to your usual HSBC contact in the first instance.

HSBC GBM offers a full range of banking capabilities to support our clients' needs, including:

- ◆ Banking and financing solutions, including corporate banking, capital markets, and leveraged acquisition finance.
- ◆ Services in credit and rates, foreign exchange, equities and money markets.
- ◆ Global transaction banking services, including trade services and global liquidity and cash management.
- ◆ Fund administration, global custody and direct custody and clearing, and corporate trust and loan agency.
- ◆ A broad range of research services including macro, sector and company coverage complemented by trade ideas and investment strategies.
- ◆ Investment solutions for institutions, financial intermediaries and private investors worldwide.
- ◆ 24-hour coverage and knowledge of local and international markets.

Further information about the nature of these services, their essential features and functionalities, and your fundamental rights and obligations when entering into these services, are set out in our terms of business and transaction-specific documents that govern the provision of those services. If you need a further copy of those documents please speak to your usual HSBC contact in the first instance.

Information about the costs of the HSBC GBM services that you wish to utilise will be provided to you by the entity with which you will deal, in advance of provision of those services.

Information about any third parties that may be also involved in the provision of those services will also be provided to you at that time.

A document discussing the risks of the instruments in which HSBC GBM may transact with you should be (or have been) provided to you as part of the process of establishing your account with HSBC GBM. The document issued by HSBC Bank plc, which covers all instruments traded by HSBC GBM, can be found [here](#). If you would like a copy of the risk disclosure issued by another HSBC GBM entity, please speak to your usual HSBC GBM contact in the first instance.

## Provision of investment advice

In very limited cases, HSBC GBM may personally recommend one or more financial instruments to you. Where we do so, please note that HSBC GBM will only have taken into account the financial instruments in which HSBC GBM deals. In no case does HSBC GBM take into account financial instruments or services that may be available from or via other financial institutions outside the HSBC group.

If HSBC GBM requests information from you regarding your investment needs, any investment advice will be based on that information which will be assumed to be accurate and complete. If you do

not provide the information requested HSBC GBM may be unable to accurately assess the suitability or appropriateness of a particular financial instrument or service for your needs. FinSA does not prohibit us from transacting with you in that scenario.

Where you have been categorised as a professional client, HSBC GBM is entitled to assume that you have the requisite knowledge and experience to deal in, and can financially bear the investment risks associated with, the financial services and products in question.

Please note that where HSBC GBM executes transactions in financial instruments with or for you without providing investment advice, HSBC GBM is not obliged by FinSA or by contract to undertake any assessment of the suitability or appropriateness for you of the financial instrument being transacted or the financial service being provided to you. If you are uncertain as to the suitability or appropriateness of that financial instrument for your needs, please seek such advice as you may need prior to transacting with us.

## **Conflicts of interest**

A summary of the HSBC GBM approach to management of conflicts of interest is available [here](#).

If in connection with the services to be provided to you or the financial instruments to be traded with you there are actual or potential conflicts of interest that pose material risk to your interests, those conflicts will be disclosed to you prior to transacting.

In limited circumstances HSBC GBM may receive compensation from third parties (which may be other HSBC group entities) in connection with the services provided to you. In the event such compensation is likely, this will be disclosed to you in advance.

## **Annex**

### **List of main HSBC GBM entities**

HSBC Bank plc is a company established in England with number 14259 and registered address at 8 Canada Square, London E14 5HQ, United Kingdom. HSBC Bank plc is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority. The address of the Prudential Regulation Authority is Threadneedle Street, London, EC2R 8AH. The address of the Financial Conduct Authority is 12 Endeavour Square, London E20 1JN.

HSBC Continental Europe (formerly known as HSBC France) is a credit institution licensed as an investment services provider incorporated as a société anonyme with its head office at 38, avenue Kléber 75116 Paris registered with the Registre du commerce et des sociétés under number 775 670 284 RCS Paris. HSBC Continental Europe is authorized by the Autorité de Contrôle Prudentiel et de Résolution ("ACPR") and regulated by the Autorité des Marchés Financiers ("AMF") and the ACPR. The address of the ACPR is 4 Place de Budapest, CS 92459, 75436 Paris Cedex 09, France. The address of the AMF is 17, place de la Bourse - 75082 Paris Cedex 02, France.

HSBC Trinkaus & Burkhardt AG is company registered at the Amtsgericht Düsseldorf, Handelsregister with number HRB 54447 and its registered address at Hansaallee 3, 40549 Düsseldorf, Germany. HSBC Trinkaus & Burkhardt AG is a credit institution supervised by Bundesanstalt für Finanzdienstleistungsaufsicht, whose address is Graurheindorfer Str. 108, 53117 Bonn und Marie-Curie-Straße 24-28, 60439 Frankfurt am Main, Germany.

The Hongkong and Shanghai Banking Corporation Limited is established as a bank (with company number 263876) under the laws of the Hong Kong SAR with its registered address at 1 Queen's Road, Central, Hong Kong. It is regulated by the Hong Kong Monetary Authority and registered with the Hong Kong Securities and Futures Commission (CE number AAA523). The address of the Hong Kong Monetary Authority is 55th Floor, Two International Finance Centre, 8 Finance Street, Central, Hong Kong. The address of the Hong Kong Securities and Futures Commission is 54/F, One Island East, 18 Westlands Road, Quarry Bay, Hong Kong.

HSBC Bank (USA) N.A. is a company registered in Virginia, USA with registration number CIK:0001582152 and with registered address at 1800 Tysons Blvd., Suite 50 McLean Virginia 22102, USA. For purposes of this communication, HSBC Bank (USA) N.A. is registered as a swap dealer with the U.S. Commodity Futures Trading Commission ("CFTC") and as a security-based swap dealer with the U.S. Securities and Exchange Commission ("SEC"). The address of the CFTC is Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581, USA. The address of the SEC is 100 F Street, NE, Washington, DC 20549, USA.

HSBC Securities (USA) Inc. is a company registered in New York, USA with registration number 19585 and with registered address at 452 Fifth Avenue, New York City, NY 10018, USA. For purposes of this communication, HSBC Securities (USA) Inc. is a Brokerage Firm regulated by FINRA. The address of FINRA is 1735 K Street, NW, Washington, DC 20006, USA.