



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
-------	---------------------

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 March 28, 2025

NFA ID 0209445 HSBC BANK PLC

Exempt Foreign Firm Contact Address

First Name	MICHAEL
Last Name	WEISS
Title	CHIEF COMPLIANCE OFFICER
Street Address 1	8 CANADA SQUARE
City	LONDON
Zip/Postal Code	E14 5HQ
Country	UNITED KINGDOM
Phone	00442079914153
Email	MICHAEL.C.WEISS@HSBC.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 July 14, 2026

NFA ID 0209445 HSBC BANK PLC

Individual Information

NFA ID	0577045
Name	BRANCH, SONYA JUDITH
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	03-13-2026

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	0577312
Name	DE JONG, MICHIEL GERRIT JAN
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	03-27-2026

NFA ID	0537214
Name	ELLIS, JULIET ANN
Title(s)	DIRECTOR
10% or More Interest	No
Status	APPROVED
Effective Date	06-02-2021

NFA ID 0449211
Name GEORGE, PATRICK
Title(s) HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION
10% or More Interest No
Status APPROVED
Effective Date 02-21-2025

NFA ID 0575228
Name GOH, EULEEN YIU KIANG
Title(s) DIRECTOR
10% or More Interest No
Status APPROVED
Effective Date 12-16-2025

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

NFA ID 0570007
Name HANNIGAN, DEIRDRE
Title(s) DIRECTOR
10% or More Interest No
Status APPROVED
Effective Date 03-20-2025

NFA ID 0425858
Name MURRAY, EILEEN K
Title(s) DIRECTOR
10% or More Interest No
Status APPROVED
Effective Date 03-31-2026

NFA ID 0454192
Name ODONALD, LEWIS JOHN
Title(s) DIRECTOR
10% or More Interest No
Status APPROVED

Effective Date **03-24-2023**

NFA ID **0525742**
Name **ROBERTS, MICHAEL MURRAY**
Title(s) **DIRECTOR**
10% or More Interest **No**
Status **APPROVED**
Effective Date **01-24-2025**

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 May 29, 2025

NFA ID 0209445 HSBC BANK PLC

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

Country	Regulator Name
UNITED KINGDOM	PRUDENTIAL REGULATION AUTHORITY (PRA)
UNITED KINGDOM	FINANCIAL CONDUCT AUTHORITY (FCA)
ISRAEL	BANK OF ISRAEL
LUXEMBOURG	COMMISSION DE SURVEILLANCE DU SECTEUR FINANCIER
ITALY	COMMISSIONE NAZIONALE PER LE SOCIETA E LA BORSA (CONSOB)
JERSEY ISLAND	JERSEY FINANCIAL SERVICES COMMISSION
HONG KONG	HONG KONG MONETARY AUTHORITY
SOUTH AFRICA	FINANCIAL SECTOR CONDUCT AUTHORITY
FINLAND	FINANCIAL SUPERVISION AUTHORITY
DENMARK	DANISH FINANCIAL SUPERVISORY AUTHORITY
AUSTRALIA	AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION (ASIC)
BELGIUM	FINANCIAL SERVICES AND MARKETS AUTHORITY
FRANCE	AUTORITE DE CONTROLE PRUDENTIEL ET DE RESOLUTION (ACPR)
HONG KONG	SECURITIES & FUTURES COMMISSION
ISRAEL	ISRAEL SECURITIES AUTHORITY
ISRAEL	THE TEL AVIV STOCK EXCHANGE LTD
NETHERLANDS	THE DUTCH AUTHORITY FOR THE FINANCIAL MARKETS
SOUTH AFRICA	SOUTH AFRICAN RESERVE BANK
SOUTH AFRICA	JOHANNESBURG STOCK EXCHANGE
CANADA	ALBERTA SECURITIES COMMISSION
CANADA	AUTORITÉ DES MARCHÉS FINANCIERS (AMF QUEBEC)
CANADA	BRITISH COLUMBIA SECURITIES COMMISSION

CANADA	MANITOBA SECURITIES COMMISSION
CANADA	ONTARIO SECURITIES COMMISSION
CANADA	FINANCIAL AND CONSUMER SERVICES COMMISSION (NEW BRUNSWICK)
CANADA	OFFICE OF THE SUPERINTENDENT OF SECURITIES NEWFOUNDLAND AND LABRADOR
CANADA	OFFICE OF THE SUPERINTENDENT OF SECURITIES (NORTHWEST TERRITORIES)
CANADA	OFFICE OF THE SUPERINTENDENT OF SECURITIES (NUNAVUT)
CANADA	PRINCE EDWARD ISLAND OFFICE OF THE SUPERINTENDENT OF SECURITIES
CANADA	FINANCIAL AND CONSUMER AFFAIRS AUTHORITY OF SASKATCHEWAN
CANADA	YUKON SUPERINTENDENT OF SECURITIES
CANADA	NOVA SCOTIA SECURITIES 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				

 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



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Disciplinary Information - Regulatory Disclosure Matter Summary

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)

100

entries per page

Search:

Question(s)	DMP Number	Date DMP Filed	Matter Name	Case Status	Date	Prior Filing(s)	Action
E	21245	01/08/2026	PARQUET NATIONAL FINANCIER (FRANCE) 21 351 000 065	FINAL	1/2026		
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				

Question(s)	DMP Number	Date DMP Filed	Matter Name	Case Status	Date	Prior Filing(s)	Action
	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				
	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 (3 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

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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				

?

 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	E14 5HQ
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



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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

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- Filing History

Branch Office Manager List

NFA
ID

HSBC BANK PLC

No information available.



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Filing History

Click on the Form Message link to see details.

Entity Profile Information

Entity ID

0209

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PROCESS DATE	SPONSOR ID	FORM MESSAGE	USER NAME
2026-01-08		FIRM REGULATORY DMP ADDED - 21245	FRITHM
2025-05-29		NON-U.S. REGULATOR INFORMATION - DELETED - FINANCIAL SUPERVISORY AUTHORITY OF NORWAY - NORWAY	FRITHM
2025-05-29		NON-U.S. REGULATOR INFORMATION - DELETED - BANCO DE PORTUGAL - PORTUGAL	FRITHM
2025-05-29		NON-U.S. REGULATOR INFORMATION - DELETED - FINANCIAL MARKET AUTHORITY - AUSTRIA	FRITHM
2025-05-29		NON-U.S. REGULATOR INFORMATION - DELETED - CZECH NATIONAL BANK - CZECH REPUBLIC	FRITHM
2025-05-29		NON-U.S. REGULATOR INFORMATION - DELETED - FINANCIAL SUPERVISION AUTHORITY - ESTONIA	FRITHM
2025-05-29		NON-U.S. REGULATOR INFORMATION - DELETED - AUTORITE DE CONTROLE PRUDENTIEL ET DE RESOLUTION (ACPR) - FRANCE	FRITHM
2025-05-29		NON-U.S. REGULATOR INFORMATION - DELETED - BUNDESANSTALT FÜR FINANZDIENSTLEISTUNGSAUFSICHT (BAFIN) - GERMANY	FRITHM
2025-05-29		NON-U.S. REGULATOR INFORMATION - DELETED - BANK OF GREECE - GREECE	FRITHM
2025-05-29		NON-U.S. REGULATOR INFORMATION - DELETED - GUERNSEY FINANCIAL SERVICES COMMISSION - GUERNSEY	FRITHM
2025-05-29		NON-U.S. REGULATOR INFORMATION - DELETED - MAGYAR NEMZETI BANK (THE CENTRAL BANK OF HUNGARY) - HUNGARY	FRITHM
2025-05-29		NON-U.S. REGULATOR INFORMATION - DELETED - THE CENTRAL BANK OF ICELAND - ICELAND	FRITHM
2025-05-29		NON-U.S. REGULATOR INFORMATION - DELETED - ISLE OF MAN FINANCIAL SERVICES AUTHORITY - ISLE OF MAN	FRITHM
2025-05-29		NON-U.S. REGULATOR INFORMATION - DELETED - BANK OF ITALY - ITALY	FRITHM
2025-05-29		NON-U.S. REGULATOR INFORMATION - DELETED - FINANCIAL AND CAPITAL MARKET COMMISSION - LATVIA	FRITHM
2025-05-29		NON-U.S. REGULATOR INFORMATION - DELETED - FINANCIAL MARKET AUTHORITY - LIECHTENSTEIN	FRITHM

PROCESS DATE 	SPONSOR ID 	FORM MESSAGE 	USER NAME 
2025-05-29		NON-U.S. REGULATOR INFORMATION - DELETED - BANK OF LITHUANIA - LITHUANIA	FRITHM
2025-05-29		NON-U.S. REGULATOR INFORMATION - DELETED - NATIONAL BANK OF BELGIUM - BELGIUM	FRITHM
2025-05-29		NON-U.S. REGULATOR INFORMATION - DELETED - BANK OF SPAIN - SPAIN	FRITHM
2025-05-29		NON-U.S. REGULATOR INFORMATION - DELETED - BANQUE DE FRANCE - FRANCE	FRITHM
2025-05-29		NON-U.S. REGULATOR INFORMATION - DELETED - BANK OF SLOVENIA - SLOVENIA	FRITHM
2025-05-29		NON-U.S. REGULATOR INFORMATION - DELETED - CENTRAL BANK OF CYPRUS - CYPRUS	FRITHM
2025-05-29		ANNUAL REGISTRATION UPDATE FILED	FRITHM
2025-03-28		BUSINESS LOCATIONS CHANGED	FRITHM
2024-06-07		ANNUAL REGISTRATION UPDATE FILED	CARDOSOP
2024-02-09		FIRM REGULATORY DMP ADDED - 19669	FRITHM
2023-05-19		FIRM REGULATORY DMP ADDED - 18986	FRITHM
2022-06-06		FIRM DISCIPLINARY INFORMATION FILED	FRITHM
2022-04-08		ENFORCEMENT/COMPLIANCE COMMUNICATION CONTACT INFORMATION DELETED	FRITHM
2022-04-08		BUSINESS LOCATIONS CHANGED	FRITHM
2022-03-03		BUSINESS LOCATIONS CHANGED	FRITHM
2022-01-07		FIRM REGULATORY DMP ADDED - 18000	FRITHM
2021-12-17		FIRM REGULATORY DMP ADDED - 17963	FRITHM
2021-10-29		BUSINESS LOCATIONS CHANGED	FRITHM
2021-09-29		HOLDING COMPANY DELETED FOR ID 0517294	FRITHM
2020-04-01		BUSINESS LOCATIONS CHANGED	PEDREIRABETHENCM1
2020-04-01		ENFORCEMENT/COMPLIANCE COMMUNICATION CONTACT INFORMATION DELETED	PEDREIRABETHENCM1
2020-01-23		BUSINESS LOCATIONS CHANGED	PEDREIRABETHENCM1
2019-08-23		NON-U.S. REGULATOR INFORMATION UPDATED	PEDREIRABETHENCM1
2019-08-23		U.S. REGULATOR INFORMATION ADDED	PEDREIRABETHENCM1
2019-08-12		NON-U.S. REGULATOR INFORMATION UPDATED	PEDREIRABETHENCM1
2019-08-12		NON-U.S. REGULATOR INFORMATION UPDATED	PEDREIRABETHENCM1
2019-08-12		NON-U.S. REGULATOR INFORMATION UPDATED	PEDREIRABETHENCM1
2019-08-12		NON-U.S. REGULATOR INFORMATION UPDATED	PEDREIRABETHENCM1
2019-08-12		NON-U.S. REGULATOR INFORMATION UPDATED	PEDREIRABETHENCM1
2019-08-12		NON-U.S. REGULATOR INFORMATION UPDATED	PEDREIRABETHENCM1
2019-08-12		NON-U.S. REGULATOR INFORMATION UPDATED	PEDREIRABETHENCM1
2019-08-12		NON-U.S. REGULATOR INFORMATION UPDATED	PEDREIRABETHENCM1
2019-08-12		NON-U.S. REGULATOR INFORMATION UPDATED	PEDREIRABETHENCM1
2019-08-12		NON-U.S. REGULATOR INFORMATION UPDATED	PEDREIRABETHENCM1
2018-10-18		HOLDING COMPANY INFORMATION FILED	LOPICICHR1
2018-02-20		FIRM CRIMINAL MATTER INFORMATION FILED	LOPICICHR1
2017-10-17		FIRM REGULATORY MATTER INFORMATION FILED	LOPICICHR1
2017-09-06		FIRM FINANCIAL MATTER INFORMATION FILED	LOPICICHR1
2017-09-05		FIRM FINANCIAL DISCLOSURE QUESTION J CHANGED	LOPICICHR1
2017-09-05		FIRM FINANCIAL SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED NO	LOPICICHR1
2017-09-05		FIRM REGULATORY MATTER INFORMATION FILED	LOPICICHR1
2017-09-05		FIRM REGULATORY MATTER INFORMATION FILED	LOPICICHR1
2017-09-05		FIRM CRIMINAL MATTER INFORMATION FILED	LOPICICHR1
2017-06-21		BUSINESS LOCATIONS CHANGED	LOPICICHR1

PROCESS DATE	SPONSOR ID	FORM MESSAGE	USER NAME
2017-05-17		FIRM REGULATORY MATTER INFORMATION FILED	LOPICICHR1
2017-05-17		FIRM REGULATORY DISCLOSURE QUESTION E CHANGED	LOPICICHR1
2017-05-17		FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED NO	LOPICICHR1
2017-05-16		FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED YES	LOPICICHR1
2017-04-18		BUSINESS LOCATIONS CHANGED	DONNELLYD1
2017-01-20		BUSINESS LOCATIONS CHANGED	KIME1
2017-01-05		ENFORCEMENT/COMPLIANCE COMMUNICATION CONTACT INFORMATION DELETED	DONNELLYD1
2017-01-05		BUSINESS LOCATIONS CHANGED	DONNELLYD1
2016-04-19		BUSINESS LOCATIONS CHANGED	DONNELLYD1
2016-03-10		BUSINESS LOCATIONS CHANGED	KIME1
2016-01-15		ENFORCEMENT/COMPLIANCE COMMUNICATION CONTACT INFORMATION DELETED	DONNELLYD1
2016-01-15		BUSINESS LOCATIONS CHANGED	DONNELLYD1
2015-05-14		BUSINESS LOCATIONS CHANGED	DYC
2014-12-24		FIRM REGULATORY MATTER INFORMATION FILED	BALLISATE
2014-06-06		FIRM REGULATORY MATTER INFORMATION FILED	BALLISATE
2014-06-06		FIRM REGULATORY MATTER INFORMATION FILED	BALLISATE
2014-06-06		FIRM REGULATORY MATTER INFORMATION FILED	BALLISATE
2014-05-23		FIRM REGULATORY MATTER INFORMATION FILED	BALLISATE
2014-05-01		BUSINESS LOCATIONS CHANGED	VASENDENA1
2014-04-25		BUSINESS LOCATIONS CHANGED	VASENDENA1
2014-01-28		BUSINESS LOCATIONS CHANGED	VASENDENA1
2014-01-24		BUSINESS LOCATIONS CHANGED	VASENDENA1
2013-05-29		FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED YES	VASENDENA1
2013-05-29		FIRM REGULATORY MATTER INFORMATION FILED	VASENDENA1
2013-05-13		FIRM REGULATORY DISCLOSURE QUESTION I CHANGED	NFRGCZJ
2013-01-14		FIRM REGULATORY MATTER INFORMATION FILED	BALLISATE
2013-01-14		FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED DOES NOT APPLY	BALLISATE
2013-01-14		FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED DOES NOT APPLY	BALLISATE
2013-01-14		FIRM REGULATORY SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED DOES NOT APPLY	BALLISATE
2012-12-19		FIRM APPLICATION FILED	NGAITHEJ
2006-09-19		BUSINESS LOCATIONS CHANGED	NFICCDM
2006-09-19		BUSINESS LOCATIONS CHANGED	NFICCDM
2004-09-09		BUSINESS LOCATIONS CHANGED	NFRGYXC

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