



SFTR Onboarding Form

The EU has introduced the Securities Financing Transaction Regulation (SFTR) to increase transparency in the Securities Finance markets following policies introduced by the Financial Stability Board. In order to comply, HSBC requires the below mandatory information. Please complete the below fields, sign and return the document.

1. SFTR Entity Type

Please select one of the three boxes below to indicate your SFTR entity type:

Financial Counterparty ("FC")

Non-Financial Counterparty ("NFC")

Small Non-Financial Counterparty ("NFC-")¹

2. Unique Trade Identifier (UTI) Generating Party Preference

HSBC will utilise the venue UTI where possible, and will seek to generate the UTI for all SFTR reporting in scope products, listed below. If you agree with this approach, no further action is required. If you do not agree with this approach, please contact your HSBC Representative.

- Securities Lending
- Repo & Buy-Sell Back²
- Prime Brokerage Margin Lending
- Precious Metals Leasing / Commodities Lending

3. HSBC Delegated Reporting Service

a. Non EEA-incorporated Counterparty

Under SFTR; you are not subject to the reporting obligations

b. EEA-incorporated Small Non-Financial Counterparty

The regulation mandates that HSBC report on your behalf any eligible transactions conducted between our firms. Upon completion of this form, your HSBC representative will provide you with the Mandatory Reporting documentation.

¹ If your company meets at least two of the three criteria below:

- Balance Sheet less than €20m
- Annual Revenue less than €40m
- Fewer than 250 employees

² The regulation refers to Repo & Buy-Sell Back using the terms Repurchase Transaction and Buy-Sell Back / Sell-Buy Back Transaction

c. Financial Counterparty or EEA-incorporated Non-Financial Counterparty

HSBC offers a Delegated Reporting Service. If you would like to apply, please contact your HSBC representative for more information on whether this is applicable to your entity.

4. Relevant Data. Client Data

Please provide the following information ³	
Full legal entity name ("Client") ⁴	
LEI	

³ For further information on UK SFTR please visit our dedicated UK SFTR website: <https://www.gbm.hsbc.com/financial-regulation/market-structure/sftr>

⁴ If this letter is being completed by an agent on behalf of one or more named entities, the agent must clearly identify the full legal name and LEI of each named entity either on this page or on an attached sheet. An agent may only list multiple named entities where the elections made by all such named entities are identical. Where an agent wishes to complete this letter on behalf of two or more named entities which do not have identical elections, the agent should complete separate letters for each.