

## CONFLICTS OF INTEREST Register<sup>1</sup> of Conflicts<sup>2</sup>

**For information on conflicts which cannot be managed by the Group’s established policies and procedures**

Name or type of Involved Compan(y)/(ies) or Individual <sup>3</sup>	Type of conflict identified <sup>4</sup>	Procedure used to manage the actual or potential conflict <sup>5</sup>	Point of contact for more information <sup>6</sup>	Date <sup>7</sup>	Ref <sup>8</sup>

<sup>1</sup> This register is to be maintained and recorded for a minimum period of 5 years from the date of the most recent entry.

<sup>2</sup> The information in this register should relate to conflicts which cannot be managed by the Group’s established policies and procedures.

<sup>3</sup> For reasons of confidentiality it may be necessary to use a code name or to merely state the type of compan(y)/(ies) involved.

<sup>4</sup> Potential conflicts involving (i) the HSBC Group (including its managers and employees) and its clients or (ii) between one client and another.

<sup>5</sup> Please provide a brief description of the procedure used to manage the conflict.

<sup>6</sup> This could either be a compliance contact or a business line contact.

<sup>7</sup> This should be the date on which the conflict actually arose or, in the case of an ongoing service or activity, when it was identified that it *may* arise.

<sup>8</sup> Please make a note if relevant information can be found elsewhere (other than on the client file).