
Global Investment Research Access Principles

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Global Investment Research Access – Principles

- ◆ The following principles should be followed for Global Investment Research access.
- ◆ For active client Mastergroups on Evolve Client Relationship Management (Evolve CRM), Global Investment Research access entitlements are assigned automatically based on the client status, type and segment. Any contacts within the client Mastergroups also obtain the same level of access. However, the following additional points should be noted:
 - **Exited clients** – For client Mastergroups with 'Exited' status, Global Investment Research access is terminated for associated client entities and client contacts
 - **Clients or contacts in Sensitive Sanctioned Countries** – Where the client Mastergroup or associated client contact is based in a Sensitive Sanctioned Country (SSC) as per the Global Sanctions Policy, Global Investment Research access is terminated
 - **Prospect clients** – For client Mastergroups that are 'Prospects', Global Investment Research access is not enabled, by default. Institutional prospective clients who require research access, should be referred to **Research Direct** (see below). Any access exceptions will be reviewed by Global Investment Research Management on a case-by-case basis. For any access-related inquiries, please contact Global Investment Research Support at research@hsbcib.com
 - **Clients based in mainland China, Malaysia or Taiwan** – An exception process is managed by Global Investment Research Support for new clients based in mainland China, Malaysia or Taiwan. This is due to local regulations. For such clients, please contact Global Investment Research Support at research@hsbcib.com for review and advice
 - **Non-Banking Financial Institutions (NBFI) clients** – An exception process is in place for NBFI clients. If your client is an NBFI, please contact Global Investment Research Support at research@hsbcib.com, who can review and advise further →

Global Investment Research Access – Roles and Responsibilities

- ◆ The roles and responsibilities relating to Global Investment Research access are as below:
 - **Client suitability and segmentation – Lines of Business** (Global Banking, Commercial Banking, and Wealth and Private Banking) must establish client suitability and client segment, for Global Investment Research access. This must include consideration of client needs and client understanding of the information that the client will access. They must also ensure that the client segment information held in their respective client management source systems is accurate, so that the client is then assigned the correct Global Investment Research access entitlement
 - **Client information – Lines of Business** must ensure that the client information held in their respective client management source systems (CME or Evolve CRM) is accurate, including the client’s name, status and location
 - **Client contacts information – Lines of Business Relationship Managers and/or MSS Sales** must ensure that the client contacts information held in their client management source systems (CME or Evolve CRM) is accurate, including name, client entity, email address and country
 - **Global Investment Research access entitlements** – Based on the client information provided by Lines of Business, **Global Investment Research** must ensure that Global Investment Research Access entitlements for clients are assigned correctly and automatically (as shown in the table below)
 - **Research Direct**
 - For Research Direct customers (onboarded by Global Investment Research), Global Investment Research must ensure that ‘client segmentation and suitability’, ‘client and contacts information’ is accurate
 - Global Investment Research also manages both MiFID II and Non-MiFID II free trials via Research Direct

Global Investment Research Access entitlements		Level 1	Level 2	Level 3
Line of Business	Segment	Macroeconomics + FX	Level 1 + Fixed Income	Level 1 + 2 + Equities
Commercial Banking	Business Banking	✓	✗	✗
Commercial Banking	Mid-Market Enterprises	✓	✓	✗
Commercial Banking	Innovation Banking	✓	✓	✗
Commercial Banking	Large Corporates	✓	✓	✓
Global Banking	Corporate Clients	✓	✓	✓
Global Banking	Institutional Clients	✓	✓	✓
Global Investment Research	Research Direct	✓	✓	✓
Wealth and Private Banking	As per Global Investment Research Memorandum of Understanding			

- ◆ Institutional Clients may include Asset Managers, Central Banks, Governments, Hedge Funds, Pension Funds and Sovereign Wealth Funds
- ◆ If a Commercial Banking Mid-Market Enterprises (CMB MME) client requires Global Investment Research Level 3 access, this exception should be approved by the respective Global Relationship Banker (GRB) and the GRB approval should be sent to Global Investment Research Support at research@hsbcib.com for review
- ◆ For any scenarios not covered in the above matrix, please contact Global Investment Research Support at research@hsbcib.com. These scenarios will be reviewed by Research Management on a case-by-case basis

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