Edgar Filing: HSBC HOLDINGS PLC - Form 6-K
HSBC HOLDINGS PLC Form 6-K March 12, 2019
FORM 6-K
SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549
Report of Foreign Private Issuer
Pursuant to Rule 13a - 16 or 15d - 16 of
the Securities Exchange Act of 1934
For the month of March
HSBC Holdings plc
42nd Floor, 8 Canada Square, London E14 5HQ, England
(Indicate by check mark whether the registrant files or will file annual reports under cover of Form 20-F or Form 40-F).
Form 20-F X Form 40-F
(Indicate by check mark whether the registrant by furnishing the information contained in this Form is also thereby furnishing the information to the Commission pursuant to Rule 12g3-2(b) under the Securities Exchange Act of 1934).
Yes No X
(If "Yes" is marked, indicate below the file number assigned to the registrant in connection with Rule 12g3-2(b): 82-).

## HSBC HOLDINGS PLC

12 March 2019

Notification of Transactions by Persons Discharging Managerial Responsibilities ("PDMRs")

1. Group Performance Share Plan awards (Performance Year 2013)

Deferred awards under the Group Performance Share Plan ("GPSP Awards") of US\$0.50 ordinary shares (the "Shares") in HSBC Holdings plc (the "Company") were granted in 2014 as a part of variable pay for the performance year ended 31 December 2013.

The GPSP Awards vested on 11 March 2019. The Shares must be retained while the individual is employed by HSBC. The GPSP Awards were determined by assessing performance against financial and non-financial metrics, as detailed in the Directors' Remuneration Report in the Annual Report and Accounts 2013.

#### **Directors**

Name	Additional Shares issued in lieu of the 2018 4th interim dividend1	Total number of Shares vested	Number of Shares sold at £6.2636 per Share2
John Flint	3,955	159,197	74,823
Marc Moses	11,823	475,857	223,653

#### Other PDMRs

Name	Additional Shares issued in lieu of the 2018 4th interim dividend1	Total number of Shares vested	Number of Shares sold at £6.2636 per Share2
Samir Assaf	17,633	709,649	333,536
Peter Wong	9,067	364,930	54,740

<sup>1</sup> At US\$8.2417 per Share, being the average closing price of the Company's Shares on the London Stock Exchange for the five business days between 21 and 27 February 2019, converted into USD.
2 Includes shares sold to cover withholding tax.

#### 2. Group Performance Share awards (Performance Year 2013)

Deferred awards (the "Awards") of US\$0.50 ordinary shares (the "Shares") in HSBC Holdings plc (the "Company") were granted in 2014 as a part of variable pay for the performance year ended 31 December 2013.

The Awards vested on 11 March 2019 and the following transactions took place in London.

#### Other PDMRs

Nome	Additional Shares issued in lieu of the 2018	Total number of	Number of Shares sold at
Name	4th interim dividend1	Shares vested	£6.2636 per Share2

Patrick Burk	e <sub>1,481</sub>	59,610	59,610
Paulo Maia	733	29,488	11,391
Noel Quinn	1,481	59,583	18,295
Antonio Simoes	1,601	64,418	30,277

<sup>1</sup> At US\$8.2417 per Share, being the average closing price of the Company's Shares on the London Stock Exchange for the five business days between 21 and 27 February 2019, converted into USD.

### 3. Annual Incentive awards (Performance Year 2017)

Deferred awards (the "Awards") of US\$0.50 ordinary shares (the "Shares") in HSBC Holdings plc were granted in 2018 as a part of variable pay for the performance year ended 31 December 2017.

On 11 March 2019, the first tranche of the Awards granted in 2018 vested and the following transactions took place in London.

#### Other PDMRs

Name	Total number of Shares vested	Number of Shares sold at £6.2636 per Share1
Patrick Burke	20,950	11,150
Paulo Maia	10,145	3,551
Charlie Nunn	9,807	4,610
Peter Wong	22,809	3,422

<sup>1</sup> Includes shares sold to cover withholding tax.

The following disclosures are made in accordance with Article 19 of the EU Market Abuse Regulation 596/2014.

1 - Details of the person discharging managerial responsibilities / person closely associated

Name of natural person John Flint

2 - Reason for the notification

Position/status Group Chief Executive

<sup>2</sup> Includes shares sold to cover withholding tax.

Initial notification/amendment

**Initial Notification** 

2 D-4-	11 C 41 - 1			- 1 4 4 1	1 - 4C		
3 - Deta	ils of the issuer	, emission allowanc	e market narm	cinant aliction	piamorm	-aucmoneer or	anciion moniior
2 2000	and or time inducti	, cillionion and want	e maniet parti	orpanic, auction	practicitii,	auctionicei of	auction moment

Full name of the entity HSBC Holdings plc

Legal Entity Identifier code MLU0ZO3ML4LN2LL2TL39

4 - Details of the transaction(s)

Date				
of Financial Instrument Transaction	Identification Code	Place of Transaction  London Stock  Exchange, Main  Market (XLON)		Currency
20 Ordinary shares of US\$0.50 each	GB0005405286			USD - United States Dollar
Nature of Transaction:		Price Volume		Total
Acquisition				
	Aggregated	US\$8.24 US\$8.242	3,955 3,955	US\$32,595.92 US\$32,595.92
Date of Financial Instrument Transaction	Identification Code	Place of Tr	ransaction	Currency
20004003rtylshares of US\$0.50 each	GB0005405286	London St Exchange, Market (X	Main	GBP - British Pound
Nature of Transaction:		Price	Volume	Total
Acquisition				
	A 1	£6.24		£993,389.28
	Aggregated	£6.24	139,197	£993,389.28
Date of Financial Instrument Transaction	Identification Code	Place of Tr	ransaction	Currency
2009403 rylshares of US\$0.50 each	GB0005405286	London St Exchange, Market (X	Main	GBP - British Pound
Nature of Transaction:		Price	Volume	Total
Disposal				
		£6.26	74,823	£468,661.34
	Aggregated	£6.264	74,823	£468,661.34

1 - Details of the person discharging managerial responsibilities / person closely associated

Name of natural person Marc Moses

2 - Reason for the notification

Position/status Group Chief Risk Officer

Initial notification/amendment Initial Notification

3 - Details of the issuer, emission allowance market participant, auction platform, auctioneer or auction monitor

Full name of the entity HSBC Holdings plc

Legal Entity Identifier code MLU0ZO3ML4LN2LL2TL39

4 - Details of the transaction(s)

l States Dollar
2
2
Pound
8
8

Date Place of Transaction

Transaction

London Stock

2006 Dartylshares of US\$0.50 each GB0005405286 Exchange, Main GBP - British Pound

Market (XLON)

Nature of Transaction:

Price Volume Total

Disposal

£6.26 223.653 £1,400,872.93

Aggregated £6.264 223,653 £1,400,872.93

1 - Details of the person discharging managerial responsibilities / person closely associated

Name of natural person Samir Assaf

2 - Reason for the notification

Position/status Chief Executive, Global Banking and Markets

Initial notification/amendment Initial Notification

3 - Details of the issuer, emission allowance market participant, auction platform, auctioneer or auction

monitor

Transaction

Acquisition

Full name of the entity

HSBC Holdings plc

Legal Entity Identifier code MLU0ZO3ML4LN2LL2TL39

4 - Details of the transaction(s)

Transaction(s) summary table

Date
of Financial Instrument
Identification Code
Transaction

Currency

London Stock

20 Ordinary shares of US\$0.50 each GB0005405286 Exchange, Main USD - United States Dollar

Market (XLON)

Nature of Transaction:

Price Total

Volume

US\$8.24 17,633 US\$145,325.90

Aggregated US\$8.24217,633 US\$145,325.90

Date of Financial Instrument Transaction	Identification Code	Place of Transaction	Currency
2000H03rtylshares of US\$0.50 each	GB0005405286	London Stock Exchange, Main Market (XLON)	
Nature of Transaction:		Price Volume	Total
Acquisition		C6 24 700 640	C4 429 200 76
	Aggregated	£6.24 709,649 £6.24 709,649	
Date ofFinancial Instrument Transaction	Identification Code	Place of Transaction	Currency
2	Identification Code GB0005405286	11000 01	GBP - British Pound
ofFinancial Instrument Transaction		Transaction London Stock Exchange, Main	GBP - British Pound
ofFinancial Instrument Transaction 2009103rtylshares of US\$0.50 each		Transaction London Stock Exchange, Main Market (XLON) Price Volume	GBP - British Pound Total
ofFinancial Instrument Transaction  2000/03rtylshares of US\$0.50 each Nature of Transaction:		Transaction London Stock Exchange, Main Market (XLON)	GBP - British Pound Total

1 - Details of the person discharging managerial responsibilities / person closely associated

Name of natural person Patrick Burke

2 - Reason for the notification

Position/status President and Chief Executive of HSBC US

Initial notification/amendment Initial Notification

3 - Details of the issuer, emission allowance market participant, auction platform, auctioneer or auction monitor

Full name of the entity HSBC Holdings plc

Legal Entity Identifier code MLU0ZO3ML4LN2LL2TL39

4 - Details of the transaction(s)

Date of Financial Instrument Transaction	Identification Code	Place of Transaction Currency		Currency
20 <b>Ordinary</b> shares of US\$0.50 each	GB0005405286	London Stock Exchange, Main Market (XLON)		USD - United States Dollar
Nature of Transaction:		Price	Volume	Total
Acquisition	Aggregated	US\$8.24 US\$8.242	1,481 1,481	US\$12,205.96 US\$12,205.96
Date of Financial Instrument Transaction	Identification Code	Place of Ti	ansaction	Currency
2000 Alimary Ishares of US\$0.50 each	GB0005405286	London Ste Exchange, Market (X	Main	GBP - British Pound
		Price		
Nature of Transaction:		Price	Volume	Total
Nature of Transaction: Acquisition				
	Aggregated	£6.24	80,560	£502,694.40
Acquisition	Aggregated			
	Aggregated  Identification Code	£6.24 £6.24	80,560 80,560	£502,694.40 £502,694.40
Acquisition  Date ofFinancial Instrument		£6.24 £6.24	80,560 80,560 ransaction ock Main	£502,694.40 £502,694.40
Acquisition  Date ofFinancial Instrument Transaction	Identification Code	£6.24 £6.24 Place of Tr London Sto Exchange,	80,560 80,560 ransaction ock Main	£502,694.40 £502,694.40 Currency
Date of Financial Instrument Transaction  2000/03/rylshares of US\$0.50 each	Identification Code	£6.24 £6.24 Place of Tr London Ste Exchange, Market (X	80,560 80,560 ransaction ock Main LON)	£502,694.40 £502,694.40 Currency GBP - British Pound
Date of Financial Instrument Transaction  2000/03/rlylshares of US\$0.50 each Nature of Transaction:	Identification Code	£6.24 £6.24 Place of Tr London Ste Exchange, Market (X	80,560 80,560 ransaction ock Main LON)	£502,694.40 £502,694.40 Currency GBP - British Pound

1 - Details of the person discharging managerial responsibilities / person closely associated

Name of natural person Paulo Maia

2 - Reason for the notification

Position/status Chief Executive, Latin America

Initial notification/amendment

**Initial Notification** 

3 - Details of the issuer, emission al	lowance market participant	t, auction platform, auctione	er or auction
monitor			

Full name of the entity HSBC Holdings plc

Legal Entity Identifier code MLU0ZO3ML4LN2LL2TL39

4 - Details of the transaction(s)

Date of Financial Instrument Transaction	Identification Code	Place of Transaction	Currency
20 Ordinary shares of US\$0.50 each	GB0005405286	London Stock Exchange, Main Market (XLON)	USD - United States Dollar
Nature of Transaction:		Price Volume	Total
Acquisition			
		US\$8.24 733	US\$6,041.17
	Aggregated	US\$8.24 <b>2</b> 733	US\$6,041.17
Date ofFinancial Instrument Transaction	Identification Code	Place of Transaction	Currency
2008+003-rlylshares of US\$0.50 each	GB0005405286	London Stock Exchange, Main Market (XLON)	GBP - British Pound
Nature of Transaction:		Price Volume	Total
Acquisition			
4		£6.24 39,633	£247,309.92
	Aggregated	£6.24 39,633	£247,309.92
Date of Financial Instrument Transaction	Identification Code	Place of Transaction	Currency
2009H03rtylshares of US\$0.50 each	GB0005405286	London Stock Exchange, Main Market (XLON)	GBP - British Pound
Nature of Transaction:		Price Volume	Total
Disposal		, 5121110	
		£6.26 14,942	£93,590.71

£93,590.71 Aggregated £6.264 14.942

1 - Details of the person discharging managerial responsibilities / person closely associated

Name of natural person Charlie Nunn

2 - Reason for the notification

Chief Executive, Retail Banking and Position/status

Wealth Management

Initial notification/amendment **Initial Notification** 

3 - Details of the issuer, emission allowance market participant, auction platform, auctioneer or auction monitor

Full name of the entity HSBC Holdings plc

Legal Entity Identifier code MLU0ZO3ML4LN2LL2TL39

4 - Details of the transaction(s)

Transaction(s) summary table

Date Place of ofFinancial Instrument **Identification Code** Currency Transaction

Transaction

London Stock

Exchange, Main GBP - British Pound 200191303 rtylshares of US\$0.50 each GB0005405286

Market (XLON)

Nature of Transaction: Price Total

Volume

Acquisition 9,807 £61,195.68 £6.24

Aggregated £6.24 £61,195.68 9,807

Date

Place of ofFinancial Instrument **Identification Code** Currency Transaction Transaction

2000 Phi Dartylshares of US\$0.50 each GB0005405286 Exchange, Main GBP - British Pound

Market (XLON)

London Stock

Nature of Transaction: Price Total

Volume

Disposal

£6.26 4,610 £28,875.20

Aggregated £6.264 4,610 £28,875.20

1 - Details of the person discharging managerial responsibilities / person closely associated

Name of natural person Noel Quinn

2 - Reason for the notification

Position/status Chief Executive, Global Commercial Banking

Initial notification/amendment Initial Notification

3 - Details of the issuer, emission allowance market participant, auction platform, auctioneer or auction monitor

Full name of the entity

HSBC Holdings plc

Legal Entity Identifier code MLU0ZO3ML4LN2LL2TL39

4 - Details of the transaction(s)

Transaction(s) summary table

Date

of Financial Instrument Identification Code Place of Transaction Currency

Transaction

London Stock

20**Or**-Oracle shares of US\$0.50 each GB0005405286 Exchange, Main USD - United States Dollar

Market (XLON)

Nature of Transaction:

Price
Total

Volume

Acquisition

US\$8.24 1,481 US\$12,205.96

Aggregated US\$8.242 1,481 US\$12,205.96

Date

ofFinancial Instrument Identification Code Place of Transaction Currency

Transaction

London Stock

20064003rtylshares of US\$0.50 each GB0005405286 Exchange, Main GBP - British Pound

Market (XLON)

Nature of Transaction:

Price
Total

Volume

Acquisition

	Aggregated	£6.24 £6.24	59,583 59,583	£371,797.92 £371,797.92
Date of Financial Instrument Transaction	Identification Code	Place of T	ransaction	Currency
2008+03-rylshares of US\$0.50 each	GB0005405286	London St Exchange, Market (X	Main	GBP - British Pound
Nature of Transaction:		Price	Volume	Total
Disposal				C114 502 56
		£6.26	18,295	£114,592.56
	Aggregated	£6.264	18,295	£114,592.56

1 - Details of the person discharging managerial responsibilities / person closely associated

Name of natural person Antonio Simoes

2 - Reason for the notification

Position/status Chief Executive, Global Private Banking

Initial notification/amendment **Initial Notification** 

3 - Details of the issuer, emission allowance market participant, auction platform, auctioneer or auction

monitor

Full name of the entity HSBC Holdings plc

Legal Entity Identifier code MLU0ZO3ML4LN2LL2TL39

4 - Details of the transaction(s)

Date of Financial Instrument Transaction	Identification Code	Place of Transaction	Currency
20 <b>0</b> स्वीतिवां y shares of US\$0.50 each	GB0005405286	London Stock Exchange, Main	USD - United States Dollar
Nature of Transaction:		Market (XLON) Price Volume	Total

### Acquisition

Aggregated		-	US\$13,194.96 US\$13,194.96
Identification Code	Place of Transaction London Stock Exchange, Main Market (XLON)		Currency
GB0005405286			GBP - British Pound
	Price	Volume	Total
Aggregated	£6.24 £6.24	64,418 64,418	£401,968.32 £401,968.32
Identification Code	Place of Transaction London Stock Exchange, Main Market (XLON)		Currency
GB0005405286			GBP - British Pound
	Price	Volume	Total
	£6.26	30,277	£189,643.02
Aggregated	£6.264	30,277	£189,643.02
	Identification Code  GB0005405286  Aggregated  Identification Code  GB0005405286	Aggregated US\$8.2  Identification Code Place of Transact London Exchan Market Price  Aggregated £6.24  Aggregated £6.24  Identification Code Place of Transact London Exchan Market Price  GB0005405286 Exchan Market Price  £6.26	Identification Code  GB0005405286  CB0005405286  CBCChange, Main Market (XLON)  Price  Volume  Flace of Transaction  Volume  Flace of Transaction  Identification Code  CB0005405286  CB0005405286  CBCCC Volume  Flace of Transaction  London Stock  Exchange, Main Market (XLON)  Price  Volume  Flace of Transaction  London Stock  Exchange, Main Market (XLON)  Price  Volume

1 - Details of the person discharging managerial responsibilities / person closely associated

Name of natural person Peter Wong

2 - Reason for the notification

Deputy Chairman and Chief Executive, The Hongkong and Shanghai Banking Corporation Limited

Initial notification/amendment Initial Notification

3 - Details of the issuer, emission allowance market participant, auction platform, auctioneer or auction monitor

Full name of the entity HSBC Holdings plc

Legal Entity Identifier code MLU0ZO3ML4LN2LL2TL39

4 - Details of the transaction(s)

Transaction(s) summary table

Date of Financial Instrument Transaction	Identification Code	Place of Transaction	Currency
20 Ordinary shares of US\$0.50 each	GB0005405286	London Stock Exchange, Main Market (XLON)	
Nature of Transaction:		Price Volum	e Total
Acquisition	Aggregated	US\$8.24 9,067 US\$8.2429,067	US\$74,727.49 US\$74,727.49
Date of Financial Instrument Transaction	Identification Code	Place of Transaction	Currency
2000403 rlylshares of US\$0.50 each	GB0005405286	London Stock Exchange, Main Market (XLON)	
Nature of Transaction:		Price Volume	Total
Acquisition			
	Aggregated	£6.24 387,739 £6.24 387,739	
Date		Place of	
ofFinancial Instrument Transaction	Identification Code	Transaction	Currency
2000 Philipper Survey Ishares of US\$0.50 each	GB0005405286	London Stock Exchange, Main Market (XLON)	
Nature of Transaction:		Price Volume	Total
Disposal		£6.26 58,162	£364,303.50
	Aggregated	£6.264 58,162	£364,303.50

For any queries related to this notification, please contact:

Larissa Wilson Shareholder Services 020 7991 0595

### **SIGNATURE**

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned, thereunto duly authorized.

HSBC Holdings plc

By:

Name: Ben J S Mathews

Title: Group Company Secretary

Date: 12 March 2019