

**Modifications of Securities and Futures (Professional Investor) Rules granted under section 134 of the Securities and Futures Ordinance**

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
1.	HSBC Broking Securities (Asia) Ltd (ABX727)	26 June 2003	Valid until amendment or revocation	<ol style="list-style-type: none"> <li>1. Modification of the requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual's portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit the portfolio of a corporation whose sole business is to hold investments and which is wholly owned by the individual also to be taken into account.</li> <li>2. Modification of the requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to be wholly owned by a corporation which is a professional investor within the description in section 3(c) of the Rules.</li> <li>3. Modification of the requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to be wholly owned by more than one individual provided that each individual falls within the description in section 3(b) of the Rules.</li> </ol>	--

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2.	The Hongkong and Shanghai Banking Corporation Limited (AAA523)	14 July 2003	Valid until amendment or revocation	<ol style="list-style-type: none"> <li>1. Modification of the requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual's portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit the portfolio of a corporation whose sole business is to hold investments and which is wholly owned by the individual also to be taken into account.</li> <li>2. Modification of the requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual's portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit a share of a portfolio held in a joint account by individuals who are not associates also to be taken into account where The Hongkong and Shanghai Banking Corporation Limited is reasonably satisfied that each of the individuals is beneficially entitled to a share of the portfolio of not less than \$8 million.</li> <li>3. Modification of the requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to be wholly owned by a corporation which is a professional investor within the description in section 3(c) of the Rules.</li> <li>4. Modification of the requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to be wholly owned by more than one individual provided that each individual falls within the description in section 3(b) of the Rules.</li> </ol>	--

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3.	HSBC Republic Bank (Suisse) SA (AGN346)	14 July 2003	Valid until amendment or revocation	<ol style="list-style-type: none"> <li>1. Modification of the requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual's portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit the portfolio of a corporation whose sole business is to hold investments and which is wholly owned by the individual also to be taken into account.</li> <li>2. Modification of the requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual's portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit a share of a portfolio held in a joint account by individuals who are not associates also to be taken into account where HSBC Republic Bank (Suisse) SA is reasonably satisfied that each of the individuals is beneficially entitled to a share of the portfolio of not less than \$8 million.</li> <li>3. Modification of the requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to be wholly owned by a corporation which is a professional investor within the description in section 3(c) of the Rules.</li> <li>4. Modification of the requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to be wholly owned by more than one individual provided that each individual falls within the description in section 3(b) of the Rules.</li> </ol>	--

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4.	HSBC Securities (Asia) Ltd (AAB241)	19 September 2003	Valid until amendment or revocation	<ol style="list-style-type: none"> <li>1. Modification of the requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual's portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit the portfolio of a corporation whose sole business is to hold investments and which is wholly owned by the individual also to be taken into account.</li> <li>2. Modification of the requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to be wholly owned by a corporation which is a professional investor within the description in section 3(c) of the Rules.</li> <li>3. Modification of the requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to be wholly owned by more than one individual provided that each individual falls within the description in section 3(b) of the Rules.</li> </ol>	--
5.	Morgan Stanley Dean Witter Asia Limited (AAD291)	16 December 2003	Valid until amendment or revocation	<ol style="list-style-type: none"> <li>1. The requirement of section 3(a) of the Rules that for the purposes of ascertaining whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than \$40 million reference should be made to: <ol style="list-style-type: none"> <li>i. the most recent audited financial statement prepared in respect of the trust corporation within 16 months before the relevant date;</li> <li>ii. the most recent audited financial statement or statements prepared in respect of the trust or any of the trusts within 16 months before the relevant date; or</li> <li>iii. one or more custodian statements issued to the trust corporation in respect of the trust or any of the trusts within</li> </ol> </li> </ol>	--

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>12 months before the relevant date</p> <p>is modified to permit reference also to be made to:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside of Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate issued by an auditor, a professional accountant or a custodian of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. The requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual's portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit the portfolio of a corporation whose principal businesses include the holding of investments and which is wholly owned by the individual also to be taken into account.</p> <p>3. The requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual's portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit a share of a portfolio held in a joint account by individuals who are not associates also to be taken into account where Morgan Stanley Dean Witter Asia Limited is reasonably satisfied that each of the individuals is beneficially entitled to a share of the portfolio of not less than \$8 million each.</p> <p>4. The requirement of section 3(b) of the Rules that for the purposes of ascertaining whether an individual, either alone or with any of his associates on a joint account, has a portfolio of not less than \$8 million reference should be made to:</p> <p>i. a certificate issued by an auditor or a professional accountant of the individual within 12 months before the relevant date; or</p> <p>ii. one or more custodian statements issued to the individual</p>	

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				<p>(either alone or with the associate) within 12 months before the relevant date</p> <p>is modified to permit reference also to be made to:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside of Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate issued by a custodian of the individual within 12 months before the relevant date.</p> <p>5. The requirement of section 3(c) of the Rules that for the purposes of ascertaining whether a corporation or partnership has a portfolio of not less than \$8 million or total assets of not less than \$40 million reference should be made to:</p> <p>i. the most recent audited financial statement prepared in respect of the corporation or partnership within 16 months before the relevant date; or</p> <p>ii. one or more custodian statements issued to the corporation or partnership within 12 months before the relevant date</p> <p>is modified to permit reference also to be made to:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside of Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate issued by an auditor, a professional accountant or a custodian of the corporation or partnership within 12 months before the relevant date.</p> <p>6. The requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to</p>	

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				<p>have principal businesses including the holding of investments provided that it is wholly owned by one or more persons, each of whom falls within the descriptions in sections 3(b), 3(c) or 3(d) of the Rules or paragraphs (a), (d), (e), (f), (g) or (h) of the definition for "professional investor" in Part 1 of Schedule 1 to the Securities and Futures Ordinance.</p>	
6.	Morgan Stanley Dean Witter Futures (Hong Kong) Limited (AAE964)	16 December 2003	Valid until amendment or revocation	<p>1. The requirement of section 3(a) of the Rules that for the purposes of ascertaining whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than \$40 million reference should be made to:</p> <ul style="list-style-type: none"> <li>i. the most recent audited financial statement prepared in respect of the trust corporation within 16 months before the relevant date;</li> <li>ii. the most recent audited financial statement or statements prepared in respect of the trust or any of the trusts within 16 months before the relevant date; or</li> <li>iii. one or more custodian statements issued to the trust corporation in respect of the trust or any of the trusts within 12 months before the relevant date</li> </ul> <p>is modified to permit reference also to be made to:</p> <ul style="list-style-type: none"> <li>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside of Hong Kong within 12 months before the relevant date; or</li> <li>B. a certificate issued by an auditor, a professional accountant or a custodian of the trust or any of the trusts within 12 months before the relevant date.</li> </ul> <p>2. The requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual's portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account</p>	--

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				<p>is modified to permit the portfolio of a corporation whose principal businesses include the holding of investments and which is wholly owned by the individual also to be taken into account.</p> <p>3. The requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual's portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit a share of a portfolio held in a joint account by individuals who are not associates also to be taken into account where Morgan Stanley Dean Witter Futures (Hong Kong) Limited is reasonably satisfied that each of the individuals is beneficially entitled to a share of the portfolio of not less than \$8 million each.</p> <p>4. The requirement of section 3(b) of the Rules that for the purposes of ascertaining whether an individual, either alone or with any of his associates on a joint account, has a portfolio of not less than \$8 million reference should be made to:</p> <ul style="list-style-type: none"> <li>i. a certificate issued by an auditor or a professional accountant of the individual within 12 months before the relevant date; or</li> <li>ii. one or more custodian statements issued to the individual (either alone or with the associate) within 12 months before the relevant date</li> </ul> <p>is modified to permit reference also to be made to:</p> <ul style="list-style-type: none"> <li>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside of Hong Kong within 12 months before the relevant date; or</li> <li>B. a certificate issued by a custodian of the individual within 12 months before the relevant date.</li> </ul> <p>5. The requirement of section 3(c) of the Rules that for the purposes of ascertaining whether a corporation or partnership has a portfolio of not less than \$8 million or total assets of not less than \$40 million reference should be made to:</p>	

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				<p>i. the most recent audited financial statement prepared in respect of the corporation or partnership within 16 months before the relevant date; or</p> <p>ii. one or more custodian statements issued to the corporation or partnership within 12 months before the relevant date</p> <p>is modified to permit reference also to be made to:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside of Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate issued by an auditor, a professional accountant or a custodian of the corporation or partnership within 12 months before the relevant date.</p> <p>6. The requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to have principal businesses including the holding of investments provided that it is wholly owned by one or more persons, each of whom falls within the descriptions in sections 3(b), 3(c) or 3(d) of the Rules or paragraphs (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Securities and Futures Ordinance.</p>	

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7.	Hang Seng Bank Limited (AAH297)	2 January 2004	Valid until amendment or revocation	<ol style="list-style-type: none"> <li>1. Modification of the requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual's portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit the portfolio of a corporation whose sole business is to hold investments and which is wholly owned by the individual also to be taken into account.</li> <li>2. Modification of the requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual's portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit a share of a portfolio held in a joint account by individuals who are not associates also to be taken into account where Hang Seng Bank Limited is reasonably satisfied that each of the individuals is beneficially entitled to a share of the portfolio of not less than \$8 million.</li> <li>3. Modification of the requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to be wholly owned by a corporation which is a professional investor within the description in section 3(c) of the Rules.</li> <li>4. Modification of the requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to be wholly owned by more than one individual provided that each individual falls within the description in section 3(b) of the Rules.</li> </ol>	--

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8.	Goldman Sachs (Asia) L.L.C. (ACC536)	5 March 2004	Valid until amendment or revocation	<p>1. The requirement of section 3(a) of the Rules that for the purposes of ascertaining whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than \$40 million reference should be made to:</p> <ul style="list-style-type: none"> <li>i. the most recent audited financial statement prepared in respect of the trust corporation within 16 months before the relevant date;</li> <li>ii. the most recent audited financial statement or statements prepared in respect of the trust or any of the trusts within 16 months before the relevant date; or</li> <li>iii. one or more custodian statements issued to the trust corporation in respect of the trust or any of the trusts within 12 months before the relevant date</li> </ul> <p>is modified to permit reference also to be made to:</p> <ul style="list-style-type: none"> <li>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside of Hong Kong within 12 months before the relevant date; or</li> <li>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</li> </ul> <p>2. The requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual's portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit the portfolio of a corporation whose principal businesses include the holding of investments and which is wholly owned by the individual also to be taken into account.</p> <p>3. The requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual's portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account</p>	--

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				<p>is modified to permit a share of a portfolio held in a joint account by individuals who are not associates also to be taken into account where <i>Goldman Sachs (Asia) L.L.C.</i> is reasonably satisfied that each of the individuals is beneficially entitled to a share of the portfolio of not less than \$8 million each.</p> <p>4. The requirement of section 3(b) of the Rules that for the purposes of ascertaining whether an individual, either alone or with any of his associates on a joint account, has a portfolio of not less than \$8 million reference should be made to:</p> <ul style="list-style-type: none"> <li>i. a certificate issued by an auditor or a professional accountant of the individual within 12 months before the relevant date; or</li> <li>ii. one or more custodian statements issued to the individual (either alone or with the associate) within 12 months before the relevant date</li> </ul> <p>is modified to permit reference also to be made to:</p> <ul style="list-style-type: none"> <li>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside of Hong Kong within 12 months before the relevant date; or</li> <li>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</li> </ul> <p>5. The requirement of section 3(c) of the Rules that for the purposes of ascertaining whether a corporation or partnership has a portfolio of not less than \$8 million or total assets of not less than \$40 million reference should be made to:</p> <ul style="list-style-type: none"> <li>i. the most recent audited financial statement prepared in respect of the corporation or partnership within 16 months before the relevant date; or</li> <li>ii. one or more custodian statements issued to the corporation or partnership within 12 months before the relevant date</li> </ul> <p>is modified to permit reference also to be made to:</p>	

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				<p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside of Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. The requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to have principal businesses including the holding of investments provided that it is wholly owned by one or more persons, each of whom falls within the descriptions in sections 3(b), 3(c) or 3(d) of the Rules or paragraphs (a), (d), (e), (f), (g) or (h) of the definition for "professional investor" in Part 1 of Schedule 1 to the Securities and Futures Ordinance.</p>	
9.	BNP Paribas Peregrine Securities Limited (AAF669)	6 August 2004	Valid until amendment or revocation	<p>1. The requirement of section 3(a) of the Rules that for the purposes of ascertaining whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than \$40 million, reference should be made to:</p> <p>i. the most recent audited financial statement prepared in respect of the trust corporation within 16 months before the relevant date;</p> <p>ii. the most recent audited financial statement or statements prepared in respect of the trust or any of the trusts within 16 months before the relevant date; or</p> <p>iii. one or more custodian statements issued to the trust corporation in respect of the trust or any of the trusts within 12 months before the relevant date</p> <p>is modified to permit reference also to be made to:</p>	-

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				<p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside of Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. The requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual's portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit the portfolio of a corporation whose principal businesses include the holding of investments and which is wholly owned by the individual also to be taken into account.</p> <p>3. The requirement of section 3(b) of the Rules that for the purposes of ascertaining whether an individual, either alone or with any of his associates on a joint account, has a portfolio of not less than \$8 million, reference should be made to:</p> <p>i. a certificate issued by an auditor or a professional accountant of the individual within 12 months before the relevant date; or</p> <p>ii. one or more custodian statements issued to the individual (either alone or with the associate) within 12 months before the relevant date</p> <p>is modified to permit reference also to be made to:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside of Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>4. The requirement of section 3(c) of the Rules that for the purposes</p>	

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				<p>of ascertaining whether a corporation or partnership has a portfolio of not less than \$8 million or total assets of not less than \$40 million, reference should be made to:</p> <ul style="list-style-type: none"> <li>i. the most recent audited financial statement prepared in respect of the corporation or partnership within 16 months before the relevant date; or</li> <li>ii. one or more custodian statements issued to the corporation or partnership within 12 months before the relevant date</li> </ul> <p>is modified to permit reference also to be made to:</p> <ul style="list-style-type: none"> <li>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside of Hong Kong within 12 months before the relevant date; or</li> <li>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</li> </ul> <p>5. The requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to have principal businesses that is wholly owned by one or more persons, each of whom falls within the descriptions in sections 3(b) or 3(c) of the Rules or paragraph (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Securities and Futures Ordinance.</p>	

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10.	KGI Asia Limited ("KGIA")	16 February 2005	Valid until amendment or revocation	<ol style="list-style-type: none"> <li>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than \$40 million, KGIA may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or: <ol style="list-style-type: none"> <li>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</li> <li>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</li> </ol> </li> <li>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than \$8 million, KGIA may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</li> <li>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than \$8 million, KGIA may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that KGIA is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than \$8 million (or its equivalent in any other currency) of the portfolio held in that joint account.</li> <li>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than \$8 million, KGIA may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</li> </ol>	KGIA shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than \$8 million or total assets of not less than \$40 million, KGIA may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				Ordinance.”	
11.	Standard Chartered Bank (Hong Kong) Limited (“SCBHK”) (AJ1614)	25 April 2007	Valid until amendment or revocation	<ol style="list-style-type: none"> <li>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than \$40 million, SCBHK may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or: <ol style="list-style-type: none"> <li>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</li> <li>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</li> </ol> </li> <li>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than \$8 million, SCBHK may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</li> <li>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than \$8 million, SCBHK may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that SCBHK is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than \$8 million (or its equivalent in any other currency) of the portfolio held in that joint account.</li> <li>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than \$8 million, SCBHK may make reference to any of the documents specified in subparagraph (i) or</li> </ol>	SCBHK shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>(ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than \$8 million or total assets of not less than \$40 million, SCBHK may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c),</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”	
12.	Deutsche Bank Aktiengesellschaft, Hong Kong Branch (“DBHK”)	12 June 2007	Valid until amendment or revocation	<ol style="list-style-type: none"> <li>1. Modification of the requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual’s portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit the portfolio of a corporation whose sole business is to hold investments and which is wholly owned by the individual also to be taken into account.</li> <li>2. Modification of the requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual’s portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit a share of a portfolio held in a joint account by individuals who are not associates also to be taken into account where DBHK is reasonably satisfied that each of the individuals is beneficially entitled to a share of the portfolio of not less than \$8 million.</li> <li>3. Modification of the requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to be wholly owned by more than one individual provided that each individual falls within the description in section 3(b) of the Rules.</li> <li>4. Modification of the requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to be wholly owned by a corporation which is a</li> </ol>	<p>The modification was granted on the following condition:</p> <p>DBHK shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.</p>

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				professional investor within the description in section 3(c) of the Rules.	
13.	Societe Generale Bank & Trust ("SGBT")	28 September 2007	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), SGBT may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), SGBT may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), SGBT may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that SGBT is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any</p>	SGBT shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>other currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any other currency), SGBT may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), SGBT may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	
14.	BOCI Securities Limited ("BOCIS") (AAC298)	23 November 2007	Valid until amendment or revocation	<p>1. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BOCIS may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BOCIS may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that BOCIS is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BOCIS may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p>	BOCIS shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>4. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BOCIS may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>5. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	
15.	BNP Paribas Private Bank (“BNPPPB”) (AHR124)	15 April 2008	Valid until amendment or revocation	<ol style="list-style-type: none"> <li>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BNPPPB may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or: <ol style="list-style-type: none"> <li>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</li> <li>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</li> </ol> </li> <li>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BNPPPB may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</li> <li>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BNPPPB may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates,</li> </ol>	BNPPPB shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>provided that BNPPPB is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BNPPPB may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BNPPPB may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	
16.	Lehman Brothers Asia Limited (“LBAL”) (AAE689)	15 April 2008	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), LBAL may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), LBAL may also take into account the portfolio of</p>	LBAL shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), LBAL may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that LBAL is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any other currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any other currency), LBAL may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), LBAL may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>B. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>C. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(iii) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(iv) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	
17.	Lehman Brothers Futures Asia Limited (“LBFAL”) (ACN180)	15 April 2008	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), LBFAL may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p>	LBFAL shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), LBFAL may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), LBFAL may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that LBFAL is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any other currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any other currency), LBFAL may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), LBFAL may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	
18.	Lehman Brothers Securities Asia Limited (“LBSAL”) (AAE656)	15 April 2008	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), LBSAL may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside</p>	LBSAL shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), LBSAL may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), LBSAL may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that LBSAL is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any other currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any other currency), LBSAL may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation</p>	material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), LBSAL may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	
19.	Bank SinoPac (“BSP”) (ABR747)	16 June 2008	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BSP may make reference to any of the documents specified in subparagraph (i) to</p>	BSP shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>(iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BSP may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BSP may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that BSP is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BSP may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant</p>	<p>in support of the application is or has become false or misleading in a material particular.</p>

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BSP may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as:</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				definition for "professional investor" in Part 1 of Schedule 1 to the Ordinance.	
20.	Credit Suisse ("CS") (AAP920)	23 June 2008	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CS may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CS may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CS may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that CS is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any</p>	CS shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CS may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CS may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	
21.	Credit Suisse (Hong Kong) Limited (“CSHK”) (AAO017)	23 June 2008	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CSHK may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSHK may also take into account the portfolio of any corporation which is wholly owned by</p>	CSHK shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSHK may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that CSHK is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSHK may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CSHK may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	
22.	Credit Suisse Securities (Hong Kong) Limited (“CSSHK”) (ACB048)	23 June 2008	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CSSHK may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any</p>	CSSHK shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSSHK may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSSHK may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that CSSHK is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSSHK may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CSSHK may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
23.	Credit Suisse Futures (Hong Kong) Limited ("CSFHK") (ACO143)	23 June 2008	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CSFHK may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSFHK may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSFHK may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that CSFHK is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p>	CSFHK shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSFHK may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CSFHK may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	
24.	Credit Suisse Asset Management (Hong Kong) Limited (“CSAMHK”) (ALP545)	23 June 2008	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CSAMHK may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSAMHK may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p>	CSAMHK shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSAMHK may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that CSAMHK is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSAMHK may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CSAMHK may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	
25.	Credit Suisse Solution Partners (Hong Kong) Limited (“CSSPHK”) (ALC490)	23 June 2008	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CSSPHK may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a</p>	CSSPHK shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSSPHK may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSSPHK may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that CSSPHK is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSSPHK may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CSSPHK may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	
26.	Fubon Bank (Hong Kong) Limited (“FBHK”) (AAA582)	11 July 2008	Valid until amendment or	Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign	FBHK shall notify the Commission in writing within 2 business days

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
			revocation	currency), FBHK may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.	of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.
27.	Deutsche Bank Aktiengesellschaft, Hong Kong Branch ("DBHK") (AAK077)	24 July 2008	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), DBHK may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), DBHK may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p>	DBHK shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>3. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), DBHK may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p>	
28.	UBS AG (AEP554)	10 November 2008	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), UBS AG may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate issued by an auditor, a professional accountant or a custodian of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its</p>	UBS AG shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>equivalent in any foreign currency), UBS AG may also take into account the portfolio of a corporation whose sole business is to hold investments and which is wholly owned by the individual.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), UBS AG may also take into account a share of a portfolio held in a joint account by the individuals who are not associates, provided that UBS AG is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), UBS AG may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate issued by a custodian of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), UBS AG may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate issued by an auditor, a professional accountant or a custodian of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	
29.	RBS Coutts Bank AG ("RBS Coutts") (ABR813)	14 November 2008	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), RBS Coutts may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:-</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p>	RBS Coutts shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), RBS Coutts may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), RBS Coutts may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that RBS Coutts is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), RBS Coutts may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:-</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), RBS Coutts may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:-</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
30.	BNP Paribas Futures (Hong Kong) Limited ("BNPPF") (ACR577)	9 December 2008	Valid until amendment or revocation	<ol style="list-style-type: none"> <li>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BNPPF may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or: <ol style="list-style-type: none"> <li>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</li> <li>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</li> </ol> </li> <li>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BNPPF may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</li> <li>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BNPPF may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that BNPPF is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</li> <li>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an</li> </ol>	BNPPF shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BNPPF may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BNPPF may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”	
31.	BNP Paribas Hong Kong Branch (“BNPPHK”) (ARF328)	25 March 2009	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BNPPHK may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BNPPHK may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BNPPHK may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that BNPPHK is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8</p>	BNPPHK shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BNPPHK may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BNPPHK may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				(ii) description in paragraph (b); or the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of "professional investor" in Part 1 of Schedule 1 to the Ordinance."	
32.	ING Asia Private Bank Limited ("INGAPB") (ALB135)	8 July 2009	Valid until amendment or revocation	Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), INGAPB may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.	INGAPB shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.
33.	LGT Investment Management (Asia) Limited ("LGTIM") (AAC801)	13 November 2009	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), LGTIM may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the</p>	LGTIM shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p style="text-align: center;">relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), LGTIM may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), LGTIM may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that LGTIM is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), LGTIM may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p style="margin-left: 20px;">A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p style="margin-left: 20px;">B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), LGTIM may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
34.	ING Asia Private Bank Limited ("INGAPB") (ALB135)	1 December 2009	Valid until amendment or revocation	Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), INGAPB may also take into account a share of portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that INGAPB is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.	INGAPB shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.
35.	Bank of China International Limited ("BOCIL") (AAN851)	21 December 2009	Valid until amendment or revocation	<ol style="list-style-type: none"> <li>1. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BOCIL may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</li> <li>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BOCIL may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that BOCIL is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</li> <li>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BOCIL may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or: <ol style="list-style-type: none"> <li>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</li> <li>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</li> </ol> </li> <li>4. Section 3(c) of the Rules shall be modified to the extent that for the</li> </ol>	BOCIL shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BOCIL may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>5. Section 3(d) of the Rules shall be modified to read as “any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
36.	Sarasin Rabo Investment Management Limited ("SRIML") (ADV625)	2 February 2010	Valid until amendment or revocation	<ol style="list-style-type: none"> <li>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), SRIML may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or: <ol style="list-style-type: none"> <li>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</li> <li>B. a certificate issued by an auditor, a professional accountant or a custodian of the trust or any of the trusts within 12 months before the relevant date.</li> </ol> </li> <li>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), SRIML may also take into account the portfolio of a corporation whose sole business is to hold investments and which is wholly owned by the individual.</li> <li>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), SRIML may also take into account a share of a portfolio held in a joint account by the individuals who are not associates, provided that SRIML is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</li> <li>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its</li> </ol>	SRIML shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>equivalent in any foreign currency), SRIML may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate issued by a custodian of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), SRIML may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate issued by an auditor, a professional accountant or a custodian of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”	
37.	Bank Sarasin & Cie AG, Hong Kong Branch ("BSCHK") (AHX499)	13 April 2010	Valid until amendment or revocation	<ol style="list-style-type: none"> <li>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BSCHK may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or: <ol style="list-style-type: none"> <li>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</li> <li>B. a certificate issued by an auditor, a professional accountant or a custodian of the trust or any of the trusts within 12 months before the relevant date.</li> </ol> </li> <li>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BSCHK may also take into account the portfolio of a corporation whose sole business is to hold investments and which is wholly owned by the individual.</li> <li>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BSCHK may also take into account a share of a portfolio held in a joint account by the individuals who are not associates, provided that BSCHK is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</li> <li>4. Section 3(b) of the Rules shall be modified to the extent that for the</li> </ol>	BSCHK shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BSCHK may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate issued by a custodian of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BSCHK may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate issued by an auditor, a professional accountant or a custodian of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”	
38.	Dah Sing Bank, Limited (“DSB”) (AAK565)	8 June 2010	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), DSB may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), DSB may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), DSB may also take into account a share of a portfolio held in a joint account by the</p>	DSB shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>individual and other individual(s) who are not associates, provided that DSB is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), DSB may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), DSB may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	
39.	CCB International Securities Limited (“CCBIS”) (AMB276)	31 August 2010	Valid until amendment or revocation	<p>1. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CCBIS may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>2. Section 3(d) of the Rules shall be modified to read as</p>	CCBIS shall notify the Commission in writing within 2 business days of it becoming aware that any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>“any corporation</p> <p>i. the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>ii. the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in this subparagraph or paragraph (b), (c), or subparagraph (d)(i) of section 3 of these Rules, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	
40.	BSI Investment Advisors Limited (“BSIIA”) (AUZ717)	12 November 2010	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BSIIA may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BSIIA may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p>	BSIIA shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BSIIA may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that BSIIA is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BSIIA may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BSIIA may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	
41.	Clariden Leu Asset Management (Hong Kong) Limited (“CLAM”) (AAZ959)	4 January 2011	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CLAM may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p>	CLAM shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CLAM may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CLAM may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that CLAM is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CLAM may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>equivalent in any foreign currency), CLAM may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in section 3(b), (c) of the Rules, subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
42.	Bank of Singapore Limited ("BOS") (ALB135)	15 February 2011	Valid until amendment or revocation	<ol style="list-style-type: none"> <li>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BOS may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or: <ol style="list-style-type: none"> <li>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</li> <li>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</li> </ol> </li> <li>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BOS may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or: <ol style="list-style-type: none"> <li>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</li> <li>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</li> </ol> </li> <li>3. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign</li> </ol>	BOS shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>currency), BOS may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>4. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in this subparagraph or paragraph (b), (c) or subparagraph (d)(i) of section 3 of these Rules, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	
43.	Renaissance Capital (Hong Kong) Limited (“RCHK”) (AVI442)	29 March 2011	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), RCHK may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p>	RCHK shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), RCHK may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), RCHK may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that RCHK is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), RCHK may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual</p>	<p>application is or has become false or misleading in a material particular.</p>

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), RCHK may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>i. the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>ii. the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in section 3(b), (c) of the Rules, subparagraph (i), this subparagraph, or</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				paragraph (a), (d), (e), (f), (g) or (h) of the definition of "professional investor" in Part 1 of Schedule 1 to the Ordinance."	
44.	EFG Bank AG Hong Kong ("EFG Bank") (AFV863)	29 June 2011	Valid until amendment or revocation	<ol style="list-style-type: none"> <li>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), EFG Bank may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or: <ol style="list-style-type: none"> <li>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</li> <li>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</li> </ol> </li> <li>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), EFG Bank may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</li> <li>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), EFG Bank may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that EFG Bank is reasonably satisfied that each of the</li> </ol>	EFG Bank to notify the SFC in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in the material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), EFG Bank may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), EFG Bank may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in section 3(b), (c) of the Rules, subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	
45.	Morgan Stanley Hong Kong Securities Limited (“MSHK”) (AAD401)	7 July 2011	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), MSHK may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its</p>	MSHK shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>equivalent in any foreign currency), MSHK may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), MSHK may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that MSHK is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), MSHK may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), MSHK may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>1. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in section 3(b), (c) of the Rules, subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	
46.	Lombard Odier Darier Hentsch (Asia) Limited (“LODHAL”) (AAI957)	5 September 2011	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), LODHAL may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation</p>	LODHAL shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), LODHAL may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), LODHAL may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that LODHAL is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), LODHAL may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the</p>	<p>become false or misleading in a material particular.</p>

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), LODHAL may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>D. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>E. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(v) the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(vi) the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in section 3(b), (c) of the Rules, subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				(h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”	
47.	DBS Bank (Hong Kong) Limited (“DBSHK”) (AAL664)	10 October 2011	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), DBSHK may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), DBSHK may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), DBSHK may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that DBSHK is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency)</p>	DBSHK shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), DBSHK may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), DBSHK may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>(i) the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	
48.	Credit Agricole (Suisse) SA (“CAS”) (AGM683)	13 October 2011	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CAS may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CAS may also take into account the portfolio of any corporation which is wholly owned by</p>	CAS shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CAS may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that CAS is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CAS may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CAS may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in section 3(b), (c) of the Rules, subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	
49.	LGT Bank in Liechtenstein AG (“LGTBL”) (AWF529)	4 November 2011	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), LGTBL may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the</p>	LGTBL shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), LGTBL may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), LGTBL may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that LGTBL is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), LGTBL may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), LGTBL may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>i. the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>ii. the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
50.	Bank Julius Baer & Co. Ltd. ("BJBHK")	14 December 2011	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BJBHK may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BJBHK may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BJBHK may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that BJBHK is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for</p>	BJBHK shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BJBHK may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BJBHK may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in section 3(b), (c) of the Rules, subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	
51.	ABN AMRO Bank N.V. ("AAB") (AUR972)	18 January 2012	Valid until amendment or revocation	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), AAB may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), AAB may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p>	AAB shall notify the Commission in writing within 2 business days of it becoming aware of any of the representations made in support of the application is or has become false or misleading in a material particular.

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), AAB may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>4. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), AAB may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p>	

	Name of the person (CE number)	Date of grant of the modifications	Period of Validity	Particulars of the Modifications	Conditions imposed
				<p>5. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in section 3(b), (c) of the Rules, subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>	