SECURITIES AND
FUTURES COMMISSION
證券及期貨事務監察委員會

NOTICE OF APPROVAL TO PROVIDE SECURITIES REGISTRAR SERVICES

Pursuant to section 101AAG(6) of the Securities and Futures Ordinance (Cap 571, **SFO**), the Securities and Futures Commission hereby approves **TRICOR INVESTOR SERVICES LIMITED** to provide securities registrar services, namely:

- maintenance in Hong Kong of registers of holders of prescribed securities;
- provision and operation of an uncertificated securities registration and transfer (UNSRT) system in respect of prescribed securities;
- services in connection with the public offer of prescribed securities, as described in rule 3(1)(a) of the Securities and Futures (Approved Securities Registrars) Rules (Cap 571AT, **ASR Rules**); and
- services in connection with corporate actions in respect of prescribed securities, as described in rule 3(1)(b) of the ASR Rules.

This approval comes into effect on the day on which Part IIIAA of the SFO comes into effect.

Dated: 12 October 2026

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