

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHEN Fan ("the Applicant") (BNC876) | 6 January 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

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| MORI Masashi ("the Applicant") (BMN428) | 6 January 2021 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> <p>to:-</p> <p>"This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:</p> <p>(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or</p> <p>(ii) 6 July 2021 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 1 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> | Nil |

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| TSANG Man Shun ("the Applicant") (AFS253) | 7 January 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

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| iFAST Platform Services (HK) Limited ("the Applicant") (ANH692) | 8 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not engage in stock brokering activities." | Nil |
| Tang Wealth International Limited ("the Applicant") (BNZ066) | 8 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance." | Nil |

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| TAN Ming Kiu, John ("the Applicant") (AEK216) | 13 January 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| TTB Partners Limited ("the Applicant") (BJE870) | 14 January 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance."</p> | Nil |

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| BOND Jonathan Simon ("the Applicant") (BJF053) | 14 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance." | Nil |
| TEAGUE Teresa Anne ("the Applicant") (ARH062) | 14 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance." | Nil |
| SCOULAR Christopher ("the Applicant") (BJH133) | 14 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance." | Nil |
| LI Hon Leung ("the Applicant") (AJC118) | 18 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

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| CHEUNG Man Yu ("the Applicant") (ADV638) | 20 January 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| LIU Xiaodong ("the Applicant") (BPC299) | 20 January 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

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| WONG Yung Steven ("the Applicant") (BIH982) | 20 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| Wonderland International Asset Management Limited ("the Applicant") (BGP105) | 20 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance." | Nil |

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| Wonderland International Asset Management Limited ("the Applicant") (BGP105) | 20 January 2021 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation."</p> <p>to: -</p> <p>"For Type 9 regulated activity, the licensee shall only carry on a business in the management of: (a) discretionary accounts; and (b) collective investment schemes that are offered to professional investors only. The terms "collective investment scheme" and "professional investor" are defined under the Securities and Futures Ordinance and its subsidiary legislation (where applicable)."</p> | Nil |

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| WONG Kin Fung ("the Applicant") (BIN571) | 22 January 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| XU Kuo ("the Applicant") (BNX682) | 25 January 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

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| CHEN Feng ("the Applicant") (BKW447) | 25 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| LI Yuansheng ("the Applicant") (BMN481) | 25 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHU Xiaofei ("the Applicant") (BNQ604) | 25 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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| REN Guanlei ("the Applicant") (BFX733) | 25 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZOU Longwen ("the Applicant") (BLN436) | 25 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| XU Ying ("the Applicant") (BHZ165) | 25 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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| LAN Yuefei ("the Applicant") (BPG761) | 25 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| WANG Xiao ("the Applicant") (BFC903) | 25 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHOU Yu ("the Applicant") (AZP063) | 25 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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| JIANG Zhiwei ("the Applicant") (BBK034) | 25 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| LUO Chenyan ("the Applicant") (BND569) | 25 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| LIU Yixuan ("the Applicant") (BNU065) | 25 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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| WANG Yusi ("the Applicant") (BNJ267) | 25 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHAO Xinyue ("the Applicant") (BNN872) | 26 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| WU Qiang ("the Applicant") (ADT384) | 26 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

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| <p>Excelerate Fund Management Limited ("the Applicant")</p> <p>(BJP857)</p> | 27 January 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."</p> | Nil |
| <p>LEUNG Chi Wai ("the Applicant")</p> <p>(ACB019)</p> | 28 January 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

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| AI Yuanyuan ("the Applicant") (APK575) | 28 January 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| YE Xin ("the Applicant") (BEP116) | 29 January 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

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| QI Fei ("the Applicant") (BCU239) | 29 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| YE Wangzhen ("the Applicant") (BMS461) | 29 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| LI Xiang ("the Applicant") (BFX734) | 29 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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| XIAN Tinghong ("the Applicant") (BMI592) | 29 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| AI Yu ("the Applicant") (BHO463) | 29 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| DU Yixing ("the Applicant") (BMG090) | 29 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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| SUN Jingxuan ("the Applicant") (BNX657) | 29 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| SUN Shuren ("the Applicant") (BOB088) | 29 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| CHENG Chen ("the Applicant") (BKZ934) | 29 January 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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| LI Lingxuan ("the Applicant") (BKV919) | 1 February 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| MA Sichong ("the Applicant") (BNB375) | 1 February 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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| WONG Chi Man ("the Applicant") (BFS288) | 2 February 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| XU Zhichao ("the Applicant") (BNJ183) | 3 February 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| SHI Lingyi ("the Applicant") (AZR299) | 3 February 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| HUANG Yujian ("the Applicant") (BOC869) | 4 February 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHEN Fang ("the Applicant") (BOK895) | 4 February 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| CHEN Bo ("the Applicant") (BGE258) | 4 February 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| MENG Jiao ("the Applicant") (BCU745) | 4 February 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| MA Jiajia ("the Applicant") (BNU675) | 4 February 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| LENG Xiaomao ("the Applicant") (BJA623) | 4 February 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| WU Dan ("the Applicant") (BDA716) | 4 February 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YANG Yichao ("the Applicant") (BJH752) | 4 February 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |
| ZHU Shirong ("the Applicant") (AVI743) | 8 February 2021 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to:-</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Realord Asia Pacific Asset Management Limited ("the Applicant") (BDR381) | 9 February 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance." | Nil |
| Realord Asia Pacific Asset Management Limited ("the Applicant") (BDR381) | 9 February 2021 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation." to:- "For Type 9 regulated activity, the licensee shall only carry on a business in the management of: (a) discretionary accounts; and (b) collective investment schemes that are offered to professional investors only. The terms "collective investment scheme" and "professional investor" are defined under the Securities and Futures Ordinance and its subsidiary legislation (where applicable)." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|----------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YING Chi Kwan ("the Applicant") (ALZ863) | 10 February 2021 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to:- "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |
| Zhong Ou Asset Management International Limited ("the Applicant") (BLR959) | 10 February 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------------------|-----------------------------------------------------|-------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Redwood Asset Management Limited ("the Applicant") (BOI465) | 10 February 2021 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance." to:- "For Type 9 regulated activity, the licensee shall only carry on a business in the management of: (a) discretionary accounts; and (b) collective investment schemes that are offered to professional investors only. The terms "collective investment scheme" and "professional investor" are defined under the Securities and Futures Ordinance and its subsidiary legislation (where applicable)." | Nil |
| WONG Yat Lam ("the Applicant") (AHY120) | 10 February 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SU Xiaobo ("the Applicant") (BNV856) | 10 February 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |
| HANDS Duncan Alexander ("the Applicant") (BPR486) | 11 February 2021 | Valid until amendment or revocation | <p>Modified the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|--------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| | | | <p>"This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> | |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|--------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| | | | <p>"This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> <p>to: -</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| MACFARLANE Gavin James ("the Applicant") (BPQ194) | 11 February 2021 | Valid until amendment or revocation | <p>Modified the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> <p>"This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|--------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| | | | <p>"This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> <p>to: -</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| MORTON Peter Douglas ("the Applicant") (ADO886) | 16 February 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| Centaline Wealth Management Limited ("the Applicant") (AJF358) | 5 February 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Centaline Wealth Management Limited ("the Applicant") (AJF358) | 5 February 2021 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall not provide a service of managing a portfolio of futures contracts for another person." to: - "For Type 9 regulated activity, the licensee shall not provide a service of managing a portfolio of futures contracts for another person unless it is for hedging purpose only." | Nil |
| TAN Eugenio T. ("the Applicant") (ACM304) | 19 Febraury 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|----------------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| DL Securities (HK) Limited ("the Applicant") (AZN279) | 11 February 2021 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Repurchases issued by the Commission.</p> <p>to: -</p> <p>For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to the condition.</p> | Nil |
| CHENG Wang Ming ("the Applicant") (AXA014) | 11 February 2021 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to: -</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to the condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YEN Chanan ("the Applicant") (ARM750) | 11 February 2021 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to: -</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to the condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| XIAO Yuan ("the Applicant") (AZB291) | 22 February 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| TING Zaixiong Shaun ("the Applicant") (BOK227) | 1 March 2021 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee: (1) shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year; and (2) shall not provide related services to any person other than a professional investor unless the licensee is accompanied at all times by a licensed person in performing the regulated activity(ies) in Hong Kong. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules."</p> <p>to:-</p> <p>"This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YAN Chi Kwan ("the Applicant") (AGL147) | 2 March 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| China Orient International Asset Management Limited ("the Applicant") (AZD667) | 2 March 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance." | Nil |
| LEE Jeremy Chai Yuen ("the Applicant") (BHJ188) | 3 March 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHAN Yee Mee, Emily ("the Applicant") (AAE427) | 5 March 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |
| MAK Kit Ping ("the Applicant") (AIR528) | 5 March 2021 | Valid until amendment or revocation | Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Jun Hui International Finance Limited ("the Applicant") (BOE739) | 5 March 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |
| Aspenwood Capital Limited ("the Applicant") (BHY235) | 9 March 2021 | Valid until amendment or revocation | Waived the following conditions which were imposed on the licence granted to the Applicant: "The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation." "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| AU Tsan Sang ("the Applicant") (AAF445) | 10 March 2020 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LUI Kin Wai ("the Applicant") (ANM045) | 10 March 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| PAN Yinglong ("the Applicant") (BLH884) | 10 March 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| WONG Shing Hang ("the Applicant") (AVM747) | 11 March 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LEE Che Chiu ("the Applicant") (AAZ110) | 12 March 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SO Kwok Yan, Robert ("the Applicant") (ABA369) | 12 March 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| WANG Ziwei ("the Applicant") (BOZ639) | 12 March 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| CHEN Jiayi ("the Applicant") (BFX533) | 12 March 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YU Xiaoxiao ("the Applicant") (BNA992) | 12 March 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |
| GONG Shu ("the Applicant") (AXD116) | 15 March 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| KOK Sen Kan ("the Applicant") (AUC483) | 15 March 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| GFM Group Limited ("the Applicant") (BGT035) | 15 March 2021 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."</p> <p>to: -</p> <p>"For Type 9 regulated activity, the licensee shall only carry on a business in the management of: (a) discretionary accounts; and (b) collective investment schemes that are offered to professional investors only. The terms "collective investment scheme" and "professional investor" are defined under the Securities and Futures Ordinance and its subsidiary legislation (where applicable)."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| HIZON Karen Louise Hilado ("the Applicant") (BDU666) | 16 March 2021 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee: (1) shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year; and (2) shall not provide related services to any person other than a professional investor unless the licensee is accompanied at all times by a licensed person in performing the regulated activity(ies) in Hong Kong. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules."</p> <p>to: -</p> <p>"This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:</p> <p>(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or</p> <p>(ii) on 16/09/2021 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 1 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|----------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| MARCON Stephen James Neville ("the Applicant") (AAD512) | 17 March 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| MOK Siu Hong ("the Applicant") (BIY801) | 17 March 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YANG Bo ("the Applicant") (BMV352) | 18 March 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| XING Yifan ("the Applicant") (BJX197) | 18 March 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| WANG Yiqiu ("the Applicant") (BKH331) | 18 March 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WU Jiaqing ("the Applicant") (BFU119) | 18 March 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|----------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| <p>Springs Capital (Hong Kong) Limited ("the Applicant")</p> <p>(AWQ098)</p> | 23 March 2021 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation."</p> <p>to:-</p> <p>"For Type 4 regulated activity, the licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation."</p> <p>"For Type 9 regulated activity, the licensee shall only provide services to professional investors, employees of the licensee and employees of subsidiaries of the licensee. The terms "subsidiary" and "professional investor" are defined under the Securities and Futures Ordinance."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|----------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Eurizon Capital Asia Limited ("the Applicant") (BHO750) | 30 March 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity, the licensee shall not provide a service of managing a portfolio of futures contracts for another person."</p> | Nil |
| AccFin Corporate Finance Limited ("the Applicant") (BIV442) | 31 March 2021 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to: -</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHUNG Chi Kin, Kenneth ("the Applicant") (ARB660) | 31 March 2021 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to: -</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SUNG Ting Yee ("the Applicant") (AUW414) | 31 March 2021 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to: -</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YIP Ka Lung ("the Applicant") (ADZ376) | 31 March 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| Powership Capital Management Limited ("the Applicant") (BIV461) | 1 April 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| KWAN Sin Hang ("the Applicant") (AVF586) | 1 April 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHOW Chun Kit ("the Applicant") (AL1715) | 1 April 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|---------------------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| COFCO Asset Management (International) Company Limited ("the Applicant") (AZY974) | 1 April 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance"</p> <p>"The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation."</p> | Nil |
| CHAN Suk Chi ("the Applicant") (AEI844) | 7 April 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YEUNG Chun Yin ("the Applicant") (BBZ245) | 7 April 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| ZHANG Zhiyu ("the Applicant") (AYQ807) | 8 April 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| JOSEPH Michael Eric ("the Applicant") (ARH187) | 12 April 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHEN Wen-Liang ("the Applicant") (BHE181) | 13 April 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| CHUNG Francis Chuan-pu ("the Applicant") (AEU334) | 13 April 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| AN Liyan ("the Applicant") (AHS161) | 14 April 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHEUNG Kam Ping ("the Applicant") (AEX966) | 20 April 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|---------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Somerley Capital Limited ("the Applicant") (BAU754) | 20 April 2021 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance." to:- "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance." "The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation." | Nil |
| OceanVast Capital Limited ("the Applicant") (BPT399) | 21 April 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LEE Hin Pong ("the Applicant") (BBQ604) | 21 April 2021 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to: -</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LIU Yicheng ("the Applicant") (BNI544) | 23 April 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| LIANG Yue ("the Applicant") (BIL738) | 23 April 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SU Zijian ("the Applicant") (BNV821) | 23 April 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |
| CHEN Han ("the Applicant") (BGK953) | 23 April 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WU Andrew Kai ("the Applicant") (BAK957) | 23 April 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHIU Simon Siu Hung ("the Applicant") (ALW291) | 23 April 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|---------------------------------------------------------------------------------|-----------------------------------------------------|------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| <p>Solomon Capital Management Limited ("the Applicant")</p> <p>(BOF835)</p> | <p>23 April 2021</p> | <p>Valid until amendment or revocation</p> | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."</p> <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation."</p> <p>to:-</p> <p>"For Type 9 regulated activity, the licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation."</p> | <p>Nil</p> |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Donvex Asia Capital Limited ("the Applicant") (BAV343) | 27 April 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."</p> | Nil |
| MA Hoi Wai ("the Applicant") (ADS048) | 27 April 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ZHUANG Xiao ("the Applicant") (BEB093) | 30 April 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHU Yiqi ("the Applicant") (BDQ465) | 30 April 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| LIU Qingchuan ("the Applicant") (BDF375) | 30 April 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| MAPS Capital Management Limited ("the Applicant") (AZK853) | 3 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance." | Nil |
| DANG Yi ("the Applicant") (BOK337) | 3 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YU Ziyi ("the Applicant") (BFX990) | 3 May 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |
| YAN Jie ("the Applicant") (BJC920) | 3 May 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YIN Hang ("the Applicant") (BKX400) | 3 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| YANG Rui ("the Applicant") (BKS167) | 5 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| XU Feifei ("the Applicant") (AYU593) | 6 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHANG Yuan ("the Applicant") (BOA246) | 6 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ZHANG Hongyi ("the Applicant") (BFX877) | 6 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHANG Xuekong ("the Applicant") (BPD573) | 6 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ZENG Zizhang ("the Applicant") (BOS824) | 6 May 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |
| HUI Wai Yan, Kelly ("the Applicant") (APZ793) | 6 May 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| TAN Zi Lin, Vera ("the Applicant") (ANH747) | 7 May 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| KUNGSEN David Sinyuan ("the Applicant") (BDI064) | 10 May 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YEUNG Sau Hing ("the Applicant") (ALV262) | 10 May 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| Silk Road International Capital Limited ("the Applicant") (AEG139) | 11 May 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| KONG Yun ("the Applicant") (BHL738) | 11 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance." | Nil |
| Yee Tai Capital Limited (the "Applicant") (BNN736) | 7 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation." | Nil |
| MA Qinghai ("the Applicant") (BER549) | 13 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| TAN Pan ("the Applicant") (BMS475) | 13 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| FENG Xue ("the Applicant") (AQA574) | 13 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| Ascentium Group Limited ("the Applicant") (BPL883) | 14 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall only carry on a business of dealing in collective investment scheme. The terms "dealing" and "collective investment scheme" are as defined in the Securities and Futures Ordinance." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LOU Xinyu ("the Applicant") (BBV148) | 20 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHANG Bin ("the Applicant") (BMH285) | 20 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHAO Jie ("the Applicant") (BMH292) | 20 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WANG Zhuyan ("the Applicant") (BND729) | 20 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| WANG Jing ("the Applicant") (BEZ370) | 20 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LEE Tak Long, Felix ("the Applicant") (AWX605) | 20 May 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SIN Pun To ("the Applicant") (ACI993) | 20 May 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| | | | <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | |
| QIAO Xiaowei ("the Applicant") (BGQ506) | 21 May 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LING Qian ("the Applicant") (BNQ548) | 21 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| WANG Jue ("the Applicant") (BIS260) | 21 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Wingate Asset Management Limited ("the Applicant") (BHD398) | 24 May 2021 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall not conduct business other than (1) communicating offers to effect dealing in securities in the names of the persons from whom those offers are received and (2) introducing persons to effect dealing in securities or make offers to deal in securities, through another intermediary or financial institution that is licensed and/or registered with the Securities and Futures Commission for Type 1 regulated activity, or authorities or organizations that perform similar functions and/or regulate banking or other financial services to deal in securities." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|--------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| | | | <p>to: -</p> <p>"For Type 1 regulated activity, the licensee shall not conduct business other than:</p> <p>(1) dealing in collective investment schemes;</p> <p>(2) communicating offers to effect dealing in securities in the names of the persons from whom those offers are received; and</p> <p>(3) introducing persons to effect dealing in securities or make offers to deal in securities, through another intermediary that is (a) licensed or registered for Type 1 regulated activity with the Commission, or (b) under an authorisation (however described) to deal in securities by an authority or regulatory organisation outside Hong Kong that performs similar functions of the Commission.</p> <p>The terms "collective investment scheme" and "dealing" are as defined in the Securities and Futures Ordinance."</p> | |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LAI Hing Kwong, Joseph (the "Applicant") (ADJ211) | 25 May 2021 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: - "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |
| AROSTI Marco (the "Applicant") (APZ595) | 25 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YING Jianjia ("the Applicant") (BII932) | 26 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| LEUNG Kwok Kit, Donald ("the Applicant") (ALF251) | 26 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." | Nil |
| CHEN Han ("the Applicant") (BIK403) | 26 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ZHOU Yuzhe ("the Applicant") (BNU269) | 26 May 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |
| CHU Yat Pang, Terry ("the Applicant") (AFS636) | 27 May 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Repurchases issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| BADALIA Rikhit ("the Applicant") (BNF533) | 28 May 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee: (1) shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year; and (2) shall not provide related services to any person other than a professional investor unless the licensee is accompanied at all times by a licensed person in performing the regulated activity(ies) in Hong Kong. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHENG Ho Ming ("the Applicant") (BCQ328) | 28 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| Prime China Investments and Advisory Limited ("the Applicant") (BOE729) | 28 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|---------------------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Yau Wai International Asset Management Company Limited ("the Applicant") (BOJ954) | 28 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance." | Nil |
| WANG Bangyi ("the Applicant") (BHY291) | 28 May 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YANG Zheng ("the Applicant") (AZL146) | 4 June 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| YEUNG Ham ("the Applicant") (ANU667) | 8 June 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHENG Man Kwong ("the Applicant") (AXL920) | 9 June 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LUI Man Wah ("the Applicant") (AQA809) | 10 June 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|--------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| | | | <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| AGARWAL Vishal ("the Applicant") (BOB456) | 10 June 2021 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> <p>to:-</p> <p>"This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:</p> <p>(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or</p> <p>(ii) 10 December 2021 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 1 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| | | | <p>"This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:</p> <p>(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or</p> <p>(ii) 10 December 2021 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 1 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> | |
| WEN Qiang ("the Applicant") (BOR190) | 10 June 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LIU Yuqi ("the Applicant") (APZ538) | 15 June 2021 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |
| ZHOU Kai ("the Applicant") (AVT474) | 15 June 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WANG Zhaowen ("the Applicant") (BPJ850) | 15 June 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WONG Man Ming, Melinda ("the Applicant") (AIZ873) | 18 June 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WANG Lei ("the Applicant") (ATV187) | 23 June 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

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|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Rostrum Grand Limited ("the Applicant") (BLH635) | 24 June 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance." | Nil |
| AHYA Chetan Kishore ("the Applicant") (ALI601) | 25 June 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee: (1) shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year; and (2) shall not provide related services to any person other than a professional investor unless the licensee is accompanied at all times by a licensed person in performing the regulated activity(ies) in Hong Kong. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| KAM Yong Kang Derrick ("the Applicant") (AXH544) | 25 June 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee: (1) shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year; and (2) shall not provide related services to any person other than a professional investor unless the licensee is accompanied at all times by a licensed person in performing the regulated activity(ies) in Hong Kong. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules."</p> | Nil |

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|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LYU Su ("the Applicant") (BGX914) | 28 June 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| LIU Wenbo ("the Applicant") (BQW323) | 28 June 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| XUE Dai ("the Applicant") (BRF109) | 28 June 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHUO Qianren ("the Applicant") (BRA888) | 28 June 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHEN Yali ("the Applicant") (AWY297) | 28 June 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| TONG Heyang ("the Applicant") (BNG509) | 28 June 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| FU Bin ("the Applicant") (BPD575) | 28 June 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |
| CHEN Xue ("the Applicant") (BCU613) | 28 June 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YU Hongxin ("the Applicant") (BQW341) | 28 June 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |
| CHEN Yue ("the Applicant") (BPL702) | 28 June 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| HUANG Heng ("the Applicant") (BRA892) | 28 June 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| KIM Sangwoo ("the Applicant") (BHL893) | 30 June 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YEUNG Sau San, Eric ("the Applicant") (ADL089) | 5 July 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| KWOK Ka Lok, Stanley ("the Applicant") (ARL159) | 5 July 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SUN Kin Kong, James ("the Applicant") (AFT382) | 5 July 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| KAO Cheng Yung ("the Applicant") (AUW023) | 6 July 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant: -</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHAN Chun Kin ("the Applicant") (AZC678) | 7 July 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| ZHENG Joanne Xisheng ("the Applicant") (BFY842) | 8 July 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|----------------------------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| American Century Investment Management (Asia Pacific) Limited ("the Applicant") (ATW644) | 9 July 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall not engage in or provide stock broking services to clients." | Nil |
| BIL Wealth Management Limited ("the Applicant") (BMR629) | 13 July 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance." | Nil |
| Celadon Partners (Asia Pacific) Limited ("the Applicant") (BPN457) | 13 July 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant "For Type 1 regulated activity, the licensee shall only carry on the business of dealing in collective investment schemes. The terms "collective investment scheme" and "dealing" are as defined under the Securities and Futures Ordinance." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Alpha Wealth Management Limited ("the Applicant") (ANR899) | 14 July 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance." | Nil |
| WONG Kwok King ("the Applicant") (AFC358) | 14 July 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance." | Nil |
| L.V. Continuum & Co Limited ("the Applicant") (BPF355) | 15 July 2021 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "The licensee shall only provide services to institutional professional investors. The term "institutional professional investor" is specified under paragraph 15.2 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission." to: - "The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LIU Zhiyang ("the Applicant") (BIZ274) | 16 July 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| DU Mengting ("the Applicant") (BLW083) | 16 July 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LAU Ka Yip, Eddy ("the Applicant") (ACD286) | 19 July 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 3 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| PANG Andrew Chee On ("the Applicant") (BGR455) | 21 July 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------------------|-----------------------------------------------------|-------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Susquehanna Hong Kong Limited ("the Applicant") (ARM224) | 22 July 2021 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "The licensee shall only carry out regulated activity on its own account and on behalf of its group affiliates." to: - "The licensee shall only provide services to professional investors or group affiliates of the licensee. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LUO Hua ("the Applicant") (AWJ906) | 28 July 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| SBI China Capital Hong Kong Securities Limited ("the Applicant") (BOJ011) | 28 July 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not act as sponsor in respect of an application for the listing on a recognized stock market of any securities."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| MAK Chak Hung ("the Applicant") (AAC295) | 2 August 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |
| LI Pak Wang, Daniel ("the Applicant") (APW942) | 2 August 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|---------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Avenue Investment Management Limited ("the Applicant") (BOD498) | 2 August 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: For Type 1 regulated activity, the licensee shall only carry on the business of dealing in collective investment schemes. The terms "collective investment scheme" and "dealing" are as defined under the Securities and Futures Ordinance. | Nil |
| WU Yutong ("the Applicant") (BQZ909) | 3 August 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHANG Tianye ("the Applicant") (BQY963) | 3 August 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| GUO Yuehua ("the Applicant") (BKW494) | 3 August 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| GAO Yingtong ("the Applicant") (BPG768) | 3 August 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| WANG Kun ("the Applicant") (BHH023) | 3 August 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHEN Jiaqi ("the Applicant") (BQV632) | 3 August 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| WU Qingyan ("the Applicant") (BIW801) | 3 August 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHEN Hao ("the Applicant") (BOR969) | 3 August 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LAW Thin Ken ("the Applicant") (BDN247) | 4 August 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| Harmony Advisors Limited ("the Applicant") (BCM666) | 5 August 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."</p> | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHEUNG Chi Lok ("the Applicant") (AWC705) | 5 August 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| YANG Mei Ni ("the Applicant") (AGG980) | 5 August 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LYNCH Fergus Michael ("the Applicant") (AZT328) | 3 August 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| LIANG Jun ("the Applicant") (BIN429) | 10 August 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance."</p> | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ALEXANDER Sean Philip ("the Applicant") (AHA619) | 13 August 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| Techne Asset Management Limited ("the Applicant") (BJT660) | 16 August 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance." | Nil |

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|--------------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Chief Management Limited ("the Applicant") (BOP062) | 19 August 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LAW Pui Cheung ("the Applicant") (BEA069) | 19 August 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHAN Wing Yau, George ("the Applicant") (AAC044) | 19 August 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ZENG Haibo ("the Applicant") (BAH456) | 19 August 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|---------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| uSmart Securities Limited ("the Applicant") (BJA907) | 20 August 2021 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity, the licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation."</p> <p>to:</p> <p>"For Type 9 regulated activity, the licensee shall only carry on a business in the management of:</p> <p>(a) discretionary accounts; and</p> <p>(b) collective investment schemes that are offered to professional investors only.</p> <p>The terms "collective investment scheme" and "professional investor" are defined under the Securities and Futures Ordinance and its subsidiary legislation (where applicable)."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SHEN Yiming ("the Applicant") (BLB918) | 20 August 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LEE Pui Shan ("the Applicant") (AFU414) | 24 August 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| WONG Sze Ip ("the Applicant") (AQU491) | 24 August 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WU Kin San, Alfred ("the Applicant") (APR819) | 27 August 2021 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to:-</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WANG Yu ("the Applicant") (BHK872) | 27 August 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| HSIAO Roy ("the Applicant") (BCD423) | 31 August 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| WANG Yue ("the Applicant") (APF190) | 1 September 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------------------|-----------------------------------------------------|-------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Deutsche Securities Asia Limited ("the Applicant") (AAJ984) | 1 September 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not act as sponsor in respect of an application for the listing on a recognized stock market of any securities." | Nil |
| Sigma Capital Management Limited ("the Applicant") (AQG407) | 2 September 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall only engage in (i) market making and broking activities for Sigma Equity VA Fund (the "Fund") and/or the subsidiary(ies) of the Fund; and (ii) distribution and marketing of collective investment schemes. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance" | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YUEN Lai Yan, Darius ("the Applicant") (ACO079) | 6 September 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LIANG Zhengping ("the Applicant") (BMW182) | 3 September 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LU Xiaomeng ("the Applicant") (BQV486) | 6 September 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| FANG Jike ("the Applicant") (BQS950) | 6 September 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WEN Zhimin ("the Applicant") (AID045) | 8 September 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| TAN Hui Yeng ("the Applicant") (BCP982) | 10 September 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LI Tze Yan, Janet ("the Applicant") (ATN771) | 10 September 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LI Xi ("the Applicant") (ASU033) | 10 September 2021 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: - "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |
| Wisdom Bright Asset Management Limited ("the Applicant") (BNU507) | 10 September 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WANG Chaolue ("the Applicant") (BPM763) | 10 September 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| HAN Lingxiao ("the Applicant") (BLL163) | 10 September 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| YIU Ho Yin ("the Applicant") (AEI004) | 13 September 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LAU Chun Chung ("the Applicant") (AWS123) | 14 September 2021 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to:</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------------------|-----------------------------------------------------|-------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Merrill Lynch Far East Limited ("the Applicant") (AAC352) | 17 September 2021 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not act as sponsor in respect of an application for the listing on a recognized stock market of any securities apart from completing sponsor or compliance adviser work which it became contractually bound to complete prior to 8 October 2020" to: - "For Type 6 regulated activity, the licensee shall not act as sponsor in respect of an application for the listing on a recognized stock market of any securities." | Nil |
| WONG Chung Hin ("the Applicant") (BID361) | 14 September 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|---------------------------------------------------------------------|-----------------------------------------------------|-------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Admiralty Harbour Capital Limited ("the Applicant") (BHI134) | 28 September 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." | Nil |
| LIU Bei ("the Applicant") (ANN276) | 28 September 2021 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LEE Pui Yee ("the Applicant") (BJZ506) | 28 September 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LI Runnan ("the Applicant") (BIZ046) | 29 September 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |
| DENG Yuting ("the Applicant") (BJU908) | 29 September 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ZHENG Zekuang ("the Applicant") (BRK334) | 29 September 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| NAN Yan ("the Applicant") (BRH665) | 29 September 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| YANG Zhixin ("the Applicant") (BMW319) | 29 September 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LIANG Jin ("the Applicant") (BEW537) | 29 September 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |
| HE Yajing ("the Applicant") (BRM048) | 4 October 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| TAO Sha ("the Applicant") (AYJ250) | 4 October 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |
| Goldlink Capital (Corporate Finance) Limited ("the Applicant") (BJV693) | 6 October 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not act as sponsor in respect of an application for the listing on a recognized stock market of any securities."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SONG Xinli ("the Applicant") (BFW858) | 6 October 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ZHANG Yue ("the Applicant") (BNL473) | 7 October 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WONG Kwong Tung ("the Applicant") (AXL541) | 8 September 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| FONG Wai Lok, Raymond ("the Applicant") (AFT306) | 17 September 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Saxo Capital Markets HK Limited ("the Applicant") (AVD061) | 4 October 2021 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not provide discretionary account services to clients." to: - "For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients." | Nil |
| CHEN Zhe ("the Applicant") (BOG853) | 6 October 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong" | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| FANG Pei Wei ("the Applicant") (AGB884) | 7 October 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| FEI Xiang ("the Applicant") (AOV610) | 8 October 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHAN Ming Hang ("the Applicant") (BJT505) | 8 October 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| PENG Yuyu ("the Applicant") (ATV436) | 8 October 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WONG Yau Pong ("the Applicant") (ACZ528) | 8 October 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| BERNSTEIN Steven A ("the Applicant") (AUQ299) | 15 October 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LI Wen Han ("the Applicant") (AQG472) | 20 October 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| SHI Yu ("the Applicant") (AOX368) | 21 October 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHAN Wai Sze Stephanie ("the Applicant") (BDU330) | 25 October 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|----------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| GEO Securities Limited ("the Applicant") (BAI290) | 27 October 2021 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."</p> <p>to: -</p> <p>"For Type 9 regulated activity, the licensee shall only carry on a business in the management of: (a) discretionary accounts; and (b) collective investment schemes that are offered to professional investors only. The terms "collective investment scheme" and "professional investor" are defined under the Securities and Futures Ordinance and its subsidiary legislation (where applicable)."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHEUNG Wing Hong Shannon ("the Applicant") (AEL680) | 28 October 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| LEUNG Wang Kit, James ("the Applicant") (ACC013) | 28 October 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YU Qiyuan Chloe ("the Applicant") (BMR082) | 28 October 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| LAI Tai Yan ("the Applicant") (BFI937) | 2 November 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| E D & F Man Capital Markets Hong Kong Limited ("the Applicant") (BBD066) | 2 November 2021 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant: -</p> <p>"For Type 2 regulated activity, the licensee shall not conduct business other than -</p> <p>(a) communicating offers to effect dealings in futures contracts or options contracts to E D & F Man Capital Markets Limited and E D & F Capital Markets Inc., in the names of the persons from whom those offers are received; and</p> <p>(b) introducing persons to E D & F Man Capital Markets Limited and E D & F Capital Markets Inc., in order that they may -</p> <p>(i) effect dealings in futures contracts or options contracts; or</p> <p>(ii) make offers to deal in futures contracts or options contracts."</p> <p>to: -</p> <p>"For Type 2 regulated activity, the licensee shall not conduct business other than -</p> <p>(a) communicating offers to effect dealings in futures contracts or options contracts to E D & F Man Capital Markets Limited and E D & F Capital Markets Inc., in the names of the persons from whom those offers are received;</p> <p>(b) introducing persons to E D & F Man Capital Markets Limited and E D & F Capital Markets Inc., in order that they may -</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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|-------------------------------------------------------------------|-----------------------------------------------------|-------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| | | | (i) effect dealings in futures contracts or options contracts; or (ii) make offers to deal in futures contracts or options contracts; and (c) facilitating client orders for futures contracts or options contracts for clients of E D & F Man Capital Markets Limited so that the licensee may deal and make offers to deal in futures contracts and options contracts on the London Metal Exchange regarding such client orders." | |
| Akron Corporate Finance Limited ("the Applicant") (BBJ828) | 3 November 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee/[person] shall not act as sponsor in respect of an application for the listing on a recognized stock market of any securities." | Nil |
| XU Ziyi ("the Applicant") (BQW633) | 29 October 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LIU Yunpeng ("the Applicant") (BRG479) | 29 October 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| LI Mengzhu ("the Applicant") (BNM966) | 29 October 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| WANG Hui ("the Applicant") (BRG637) | 29 October 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ZHOU Shaolong ("the Applicant") (BMP334) | 29 October 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| YUE Sumeng ("the Applicant") (BRD850) | 29 October 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| YANG Deyuan ("the Applicant") (BRG726) | 29 October 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| XUE Mei ("the Applicant") (BRK336) | 29 October 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| XU Dan ("the Applicant") (BMV224) | 29 October 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| LI Chao ("the Applicant") (BRI228) | 29 October 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CAO Rui ("the Applicant") (BQQ968) | 29 October 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |
| ZHAO Heran ("the Applicant") (BRA093) | 29 October 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |
| LI Geng ("the Applicant") (BHD851) | 29 October 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHEN Jianjun ("the Applicant") (BKH376) | 1 November 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHANG Weixian ("the Applicant") (BEA638) | 1 November 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHANG Zhihao ("the Applicant") (ASP248) | 1 November 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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|---------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Sensible Asset Management Limited ("the Applicant") (ALO057) | 2 November 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance." | Nil |
| YAN Guicheng ("the Applicant") (BNS315) | 11 November 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LEE Che Chiu ("the Applicant") (AAZ110) | 12 November 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LIANG Zhengwei ("the Applicant") (BOK497) | 12 November 2021 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall not provide related services to any person other than a professional investor. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules."</p> <p>to:-</p> <p>"This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:</p> <p>(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or</p> <p>(ii) 12 May 2022 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 1 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Elstone Asset Management Limited ("the Applicant") (BQE227) | 15 November 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance." | Nil |
| TSANG Michael ("the Applicant") (ADX573) | 17 November 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|----------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Checkmate Asset Management Limited ("the Applicant") (BFY889) | 19 November 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance." | Nil |
| ZHANG Huimin ("the Applicant") (BNN661) | 19 November 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong. | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| VBG Capital Limited ("the Applicant") (AME341) | 19 November 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance." | Nil |
| GAO Ronghua ("the Applicant") (BJR058) | 22 November 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WONG Hoe Choon Reddy ("the Applicant") (ABR276) | 22 November 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|--------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| | | | <p>"For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YUEN Darren Lok San ("the Applicant") (AFQ635) | 23 November 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not provide discretionary account services to clients." | Nil |
| LIU Yi ("the Applicant") (AQO338) | 24 November 2021 | Valid until amendment or revocation | Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| HEW Yew Wah ("the Applicant") (AWE266) | 30 November 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| DROPKIN Martin Baron ("the Applicant") (BQH284) | 30 November 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| MUI Suet Yee, Phoebe ("the Applicant") (AGK771) | 25 November 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YANG Jianxin ("the Applicant") (ASC682) | 3 December 2021 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity, the licensee shall only carry on the business of dealing in collective investment schemes. The terms "collective investment scheme" and "dealing" are as defined under the Securities and Futures Ordinance."</p> <p>to:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| JIA Hongrui ("the Applicant") (BFZ382) | 6 December 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licences granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| | | | For Type 9 regulated activity (the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | |
| TSANG Sai Hong ("the Applicant") (BHC363) | 7 December 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| HO King Fai ("the Applicant") (ANV293) | 13 December 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| LIU Liang ("the Applicant") (BBS596) | 13 December 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| KU-MARTIN Rina, Man Sai ("the Applicant") (BNB164) | 13 December 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

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|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHEN Fengqiao ("the Applicant") (BRI331) | 13 December 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| WENG Songlan ("the Applicant") (BMV356) | 13 December 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LIN Tong ("the Applicant") (BHJ408) | 16 December 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licences granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| TANG Yingda ("the Applicant") (BRV887) | 21 December 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LIN Yue ("the Applicant") (BRH486) | 21 December 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| SHEN Yuxing ("the Applicant") (BRA106) | 21 December 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| BAI Guangxin ("the Applicant") (BQN454) | 21 December 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|----------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| DING Hanzhi ("the Applicant") (ARA149) | 20 December 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant: -</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| Avantua Capital Management Limited ("the Applicant") (BBE598) | 21 December 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Gear Asset Management Limited ("the Applicant") (AQG413) | 22 December 2021 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: - "The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation." to: - "For Type 9 regulated activity, the licensee shall only carry on a business in the management of: (a) discretionary accounts; and (b) collective investment schemes that are offered to professional investors only. The terms "collective investment scheme" and "professional investor" are defined under the Securities and Futures Ordinance and its subsidiary legislation (where applicable)." | Nil |
| LEUNG Hiu Yan ("the Applicant") (AUY597) | 21 December 2021 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|----------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| DU Stephen Songhai ("the Applicant") (BHU114) | 21 December 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |
| Trenda Corporate Finance Limited ("the Applicant") (BQB884) | 23 December 2021 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant: -</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to: -</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| NG Kin Kwan ("the Applicant") (AYT810) | 23 December 2021 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant: -</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to: -</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WANG Yang ("the Applicant") (BPM753) | 23 December 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licences granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| Mighty Divine Investment Management Limited ("the Applicant") (BCQ145) | 23 December 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant: -</p> <p>"The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SHANG Quanxi ("the Applicant") (BIQ844) | 24 December 2021 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licences granted to the Applicant: -</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHEUNG Kit Shing ("the Applicant") (BEJ868) | 29 December 2021 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ZHANG Hanshu ("the Applicant") (BNU396) | 3 January 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> <p>to:-</p> <p>"This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:</p> <p>(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or</p> <p>(ii) 29 June 2022 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 1 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Hectoron Global Capital Management ("the Applicant") (BNK363) | 4 January 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance." | Nil |
| TANG Dewen ("the Applicant") (BNG653) | 5 January 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| Future Growth Asset Management Limited ("the Applicant") (AUS318) | 10 January 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall not provide a service of managing a portfolio of futures contracts for another person unless it is for hedging purpose only." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHEUNG Keung Tak ("the Applicant") (ANU725) | 17 January 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|----------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Victory Securities Company Limited ("the Applicant") (ABN091) | 14 January 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the person shall not provide a service of managing a portfolio of futures contracts for another person." | Nil |
| WONG Hur Ming ("the Applicant") (BNU552) | 21 January 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------------------|-----------------------------------------------------|-------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Bison Corporate Finance Limited ("the Applicant") (BPC515) | 21 January 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." | Nil |
| CHEUNG Shun Lim Ignatius ("the Applicant") (AVI083) | 21 January 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SUN Kit Cheung ("the Applicant") (AXA194) | 21 January 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to:-</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| FU Jifeng ("the Applicant") (ASL081) | 25 January 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| GF Asset Management (Hong Kong) Limited ("the Applicant") (APV768) | 26 January 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance." | Nil |
| LAU Chin Yung, Andy ("the Applicant") (AGH950) | 26 January 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|---------------------------------------------------------------------|-----------------------------------------------------|------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| <p>CHEUNG Robert Lock Yen ("the Applicant")</p> <p>(BEQ539)</p> | <p>4 February 2022</p> | <p>Valid until amendment or revocation</p> | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | <p>Nil</p> |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LEE Yong Ha ("the Applicant") (AVJ141) | 4 February 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------------------|-----------------------------------------------------|-------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Moelis & Company Asia Limited ("the Applicant") (AT1285) | 4 February 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance." | Nil |
| ORDERS Richard Wallace d'Arcy ("the Applicant") (AA1719) | 4 February 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ZHANG Xiuping ("the Applicant") (AJL094) | 4 February 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance." | Nil |
| L.V. Continuum & Co Limited ("the Applicant") (BPF355) | 7 February 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LIU Wing Yin, Wendy ("the Applicant") (ANE330) | 8 February 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |
| TSAI Yeung ("the Applicant") (ATS683) | 10 February 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ZHANG Qi ("the Applicant") (BRP008) | 17 February 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |
| WONG Kar Fung, Kenneth ("the Applicant") (APL374) | 9 February 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to:-</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LEUNG Wai Kei ("the Applicant") (AKR467) | 11 February 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." ;and</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ZHAO Tianwei ("the Applicant") (BQC687) | 17 February 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LO Marco Man Ho ("the Applicant") (BHM103) | 21 February 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."; and</p> <p>"For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|---------------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Constance Capital Limited ("the Applicant") (BIH639) | 21 February 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."</p> <p>to: -</p> <p>"For Type 9 regulated activity, the licensee shall only carry on a business in the management of: (a) discretionary accounts; and (b) collective investment schemes that are offered to professional investors only. The terms "collective investment scheme" and "professional investor" are defined under the Securities and Futures Ordinance and its subsidiary legislation (where applicable)."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------------------------|-----------------------------------------------------|--------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| <p>PEDRONO Benoit Vincent Gerard ("the Applicant")</p> <p>(APY405)</p> | <p>22 February 2022</p> | <p>Valid until amendment or revocation</p> | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | <p>Nil</p> |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| South China Capital Limited ("the Applicant") (AAI635) | 23 February 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not act as sponsor in respect of an application for the listing on a recognized stock market of any securities apart from completing sponsor or compliance adviser work which it became contractually bound to complete prior to 30 November 2020".</p> <p>to: -</p> <p>"For Type 6 regulated activity, the licensee shall not act as sponsor in respect of an application for the listing on a recognized stock market of any securities."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| HUANG Jiayi ("the Applicant") (BRP298) | 28 February 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------------------------|-----------------------------------------------------|--------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| <p>FELIX-CASARES Ricardo Javier ("the Applicant")</p> <p>(BPU098)</p> | <p>1 March 2022</p> | <p>Valid until amendment or revocation</p> | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | <p>Nil</p> |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SHUM Kei Yiu, Daniel ("the Applicant") (ALY610) | 3 March 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| HSIEH Fu Chi (the "Applicant") (BKB201) | 28 February 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."; and</p> <p>"For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |
| LIU Zongjing ("the Applicant") (BRK388) | 1 March 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHEN Dan ("the Applicant") (BNC681) | 9 March 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| WANG Yue ("the Applicant") (BEO127) | 9 March 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SHI Ping ("the Applicant") (BAL748) | 9 March 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| LAI Sin Wan, Jenny ("the Applicant") (ACS303) | 9 March 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|----------------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ZHANG Ruiyang ("the Applicant") (BRD876) | 9 March 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| Futu Securities International (Hong Kong) Limited ("The Applicant") (AZT137) | 10 March 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Mont Avenir Capital Limited ("the Applicant") (BOG353) | 11 March 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not act as sponsor in respect of an application for the listing on a recognized stock market of any securities apart from completing sponsor or compliance adviser work which it became contractually bound to complete prior to 26 October 2021"</p> | Nil |
| ZHOU Qiwei ("the Applicant") (BPN627) | 11 March 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LEE Shuk Ying, Nancy (the "Applicant") (AAI586) | 15 March 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in her capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| LEUNG Spencer Yu Cheong ("the Applicant") (AML738) | 15 March 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LAM Wang Tat ("the Applicant") (AOE015) | 16 March 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| XU Chenming ("the Applicant") (BQB328) | 16 March 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Mercer Investments (HK) Limited ("the Applicant") (ALR969) | 17 March 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall only carry on the business of dealing in collective investment schemes. The terms "collective investment scheme" and "dealing" are as defined under the Securities and Futures Ordinance." | Nil |
| CHAN Chi Hung ("the Applicant") (AGL461) | 18 March 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SHEA Miu Yu ("the Applicant") (ARP337) | 21 March 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| EG Management Limited ("the Applicant") (BOL775) | 22 March 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|----------------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| EG Management Limited ("the Applicant") (BOL775) | 22 March 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity, the licensee shall not conduct business other than introducing persons to other intermediaries, in order that they may: (i) effect dealings in securities; or (ii) make offers to deal in securities."</p> <p>to:-</p> <p>"For Type 1 regulated activity, the licensee shall not conduct business other than: (a) marketing and distributing of securities; and (b) introducing persons to other intermediaries, in order that they may: (i) effect dealings in securities; or (ii) make offers to deal in securities. The term "securities" is as defined under the Securities and Futures Ordinance."</p> | Nil |
| Zhong Yang Capital Limited ("the Applicant") (BLG119) | 22 March 2022 | Valid until amendment or revocation | <p>Waived the following condition which were imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Zero2IPO Capital Limited ("the Applicant") (BRH906) | 28 March 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to: -</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| JIANG Jun ("the Applicant") (AQI866) | 28 March 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to: -</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YANG Peng ("the Applicant") (AUG860) | 28 March 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to: -</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|----------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Goldstream Capital Management Limited ("the Applicant") (AYU472) | 29 March 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------------------|-----------------------------------------------------|-------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Grand Capital Securities Limited ("the Applicant") (BOM170) | 31 March 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation." to: - "For Type 9 regulated activity, the licensee shall only carry on a business in the management of: (a) discretionary accounts; and (b) collective investment schemes that are offered to professional investors only. The terms "collective investment scheme" and "professional investor" are defined under the Securities and Futures Ordinance and its subsidiary legislation (where applicable)." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LI Kwok Tai, James ("the Applicant") (AFS293) | 31 March 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance."</p> <p>to:-</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LI Xiaochen ("the Applicant") (BHK044) | 31 March 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |
| XU Yuanyuan ("the Applicant") (BQT572) | 31 March 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LIU Junwei ("the Applicant") (BQR365) | 31 March 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| THOMSON Charles Rupert Edward ("the Applicant") (ABZ129) | 1 April 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------------------------|-----------------------------------------------------|-------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Global Prime Partners (Asia) Limited ("the Applicant") (BDO930) | 1 April 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance." | Nil |
| CHUI Kit Man ("the Applicant") (AFI537) | 4 April 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Safari Asia Limited ("the Applicant") (AUM670) | 6 April 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity, the licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation."</p> | Nil |
| RuiLian Financial Group Company Limited ("the Applicant") (BIK036) | 6 April 2022 | Valid until amendment or revocation | <p>Modified the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."</p> <p>and</p> <p>"For Type 1 regulated activity, the licensee shall not conduct business other than - (a) effecting dealings in securities through other securities dealers, for the persons from whom the related dealing offers are received; (b) introducing persons to other securities dealers, in order that such persons may - (i) effect dealings in securities; or (ii) make offers to deal in securities; and (c) dealing in collective investment schemes. The terms "collective investment scheme" and "dealing" are as defined under the Securities and Futures Ordinance."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|--------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| | | | <p>to:-</p> <p>"For Type 9 regulated activity, the licensee shall only carry on a business in the management of:</p> <p>(a) discretionary accounts; and</p> <p>(b) collective investment schemes that are offered to professional investors only.</p> <p>The terms "collective investment scheme" and "professional investor" are defined under the Securities and Futures Ordinance and its subsidiary legislation (where applicable)."</p> | |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHUNG Derek Leigh ("the Applicant") (AOD515) | 7 April 2022 | Valid until amendment or revocation | <p>Waived the following condition which were imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| HESSE Jakob Fabian ("the Applicant") (AYC692) | 8 April 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance."</p> <p>To:-</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHAN Micky Conita ("the Applicant") (BJH452) | 11 April 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------------------------------|-----------------------------------------------------|------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| <p>Wingate Asset Management Limited ("the Applicant")</p> <p>(BHD398)</p> | <p>11 April 2022</p> | <p>Valid until amendment or revocation</p> | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity, the licensee shall not conduct business other than: (1) dealing in collective investment schemes; (2) communicating offers to effect dealing in securities in the names of the persons from whom those offers are received; and (3) introducing persons to effect dealing in securities or make offers to deal in securities, through another intermediary that is (a) licensed or registered for Type 1 regulated activity with the Commission, or (b) under an authorisation (however described) to deal in securities by an authority or regulatory organisation outside Hong Kong that performs similar functions of the Commission. The terms "collective investment scheme" and "dealing" are as defined in the Securities and Futures Ordinance."</p> | <p>Nil</p> |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------------------------|-----------------------------------------------------|-------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Huafu International Finance Limited ("the Applicant") (BQC240) | 12 April 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation."</p> <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to:-</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHAU Choi Lam ("the Applicant") (ARJ516) | 12 April 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to:-</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SAM CHANG Segundo Willy ("the Applicant") (AHE451) | 12 April 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to:-</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| XIA Lisi ("the Applicant") (BRE261) | 12 April 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to:- "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |
| MAK Siu Man, Rebecca ("the Applicant") (AHA802) | 13 April 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ZHONG Li ("the Applicant") (BAR460) | 13 April 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |
| CHEN Xiaohua ("the Applicant") (BAM436) | 13 April 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WONG Nam Fu, Andy ("the Applicant") (ADB026) | 19 April 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Wellington Management Hong Kong Limited ("the Applicant") (AJB478) | 20 April 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation."</p> <p>to:</p> <p>"For Type 1 regulated activity, in respect of dealing in securities other than collective investment schemes, the licensee shall only provide services to professional investors. The terms "collective investment scheme" and "professional investor" are as defined under the Securities and Futures Ordinance and its subsidiary legislation (where applicable)."</p> <p>"For Type 2 regulated activity, the licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation."</p> <p>"For Type 9 regulated activity, the licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LAU Chi Ho (the "Applicant") (AJD618) | 21 April 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| TOLEDANO Roy ("the Applicant") (AXY961) | 22 April 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to:</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------------------------|-----------------------------------------------------|-------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Torq Capital Management (HK) Limited ("the Applicant") (BHY417) | 26 April 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation." to: - "The licensee shall only provide services to professional investors, employees of the licensee and employees of those companies in the same group of companies as the licensee. The terms "professional investor" and "group of companies" are as defined under the Securities and Futures Ordinance." | Nil |
| Advent Corporate Finance Limited ("the Applicant") (BMY734) | 29 April 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to:- "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| TONG Kai Tak ("the Applicant") (BHQ333) | 29 April 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to:- "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |
| HUI Chi Tung Denny ("the Applicant") (AWS746) | 29 April 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to:- "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|---------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| VG Asset Management Limited ("the Applicant") (BNM911) | 4 May 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance." | Nil |
| WEI Qinghua ("the Applicant") (BRH454) | 11 May 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| YUAN Hong ("the Applicant") (BHU231) | 11 May 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| REN Xinhang ("the Applicant") (BRJ143) | 9 March 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SHEN Yue ("the Applicant") (APK242) | 10 May 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: - "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |
| LIN Peicong ("the Applicant") (ANB735) | 10 May 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Sun Hung Kai Capital Partners Limited ("the Applicant") (BQL519) | 12 May 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall only carry on the business of dealing in collective investment schemes. The terms "collective investment scheme" and "dealing" are as defined under the Securities and Futures Ordinance." | Nil |
| CHIU Chun Lung ("the Applicant") (BHX544) | 17 May 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|----------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| BTL Asset Management Company Limited ("the Applicant") (BFJ113) | 18 May 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."</p> <p>"For Type 1 regulated activity, the licensee shall not conduct business other than - (a) effecting dealings in securities through other securities dealers, for the persons from whom the related dealing offers are received; (b) introducing persons to other securities dealers, in order that such persons may: (i) effect dealings in securities; or (ii) make offers to deal in securities; and (c) dealing in collective investment schemes. The terms "collective investment scheme" and "dealing" are as defined under the Securities and Futures Ordinance."</p> <p>"For Type 2 regulated activity, the licensee shall not conduct business other than effecting dealings in futures contracts through other intermediaries, for the persons from whom the related dealing offers are received."</p> | Nil |
| Fides Capital Group Limited ("the Applicant") (BPY497) | 23 May 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHEN Hao ("the Applicant") (ATB830) | 26 May 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| Lazard Asia (Hong Kong) Limited ("the Applicant") (AAG627) | 26 May 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Repurchases issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LIN Xiangli ("the Applicant") (BJP018) | 24 May 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| TAM Leo Ho Kei ("the Applicant") (BEK751) | 31 May 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |
| LU Yilin ("the Applicant") (AOG682) | 1 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| HE Juying ("the Applicant") (ASZ591) | 1 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LI Gang ("the Applicant") (AZX180) | 2 June 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LIU Jiangfan ("the Applicant") (BKW230) | 6 June 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| WU Chaoze ("the Applicant") (BEM208) | 6 June 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SBI China Capital Hong Kong Securities Limited ("the Applicant") (BOJ011) | 7 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." | Nil |
| FAN Ching Yee ("the Applicant") (AHR797) | 7 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Huarong International Capital Limited ("The Applicant") (BGY986) | 8 June 2022 | Valid until amendment or revocation | <p>Waived the following conditions which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation."</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> <p>"For Type 6 regulated activity, the licensee shall not act as sponsor in respect of an application for the listing on a recognized stock market of any securities apart from completing sponsor or compliance adviser work which it became contractually bound to complete prior to 31 October 2018."</p> | Nil |
| GONG Li ("the Applicant") (BHV427) | 8 June 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| MANGARAJ Sambit ("the Applicant") (ANR871) | 9 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| Emmanuel Investments Managers Company Limited ("the Applicant") (BIC696) | 10 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHAN Ramand Wai Ming ("the Applicant") (ANS053) | 10 June 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHUA Sui Yee ("the Applicant") (BBA488) | 10 June 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| EMERY Alexandre Frederic Akira ("the Applicant") (AWZ018) | 10 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| YAU Ho Pan ("the Applicant") (AWS533) | 13 June 2022 | Valid until amendment or revocation | Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SAMPSON Machiko ("the Applicant") (AJI380) | 17 June 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WILLIS Benjamin Adam ("the Applicant") (BEV552) | 17 June 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| SOO Sk Sean ("the Applicant") (AFD468) | 17 June 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YAN Charlie Cong ("the Applicant") (BOG407) | 17 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| SHI Chang ("the Applicant") (BRQ660) | 23 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| JIAO Shan ("the Applicant") (BRQ187) | 23 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LIU Decong ("the Applicant") (BRS669) | 23 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| PENG Lulu ("the Applicant") (BJT944) | 23 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| CUI Shichen ("the Applicant") (BRW150) | 23 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| CHEN Yilang ("the Applicant") (BRR534) | 24 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| FANG Wei ("the Applicant") (BRS364) | 24 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| YAN Chongda ("the Applicant") (BRQ831) | 24 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHANG Shuhua ("the Applicant") (BSA006) | 24 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHANG Zhejia ("the Applicant") (BOT247) | 24 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|---------------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Gentleman Capital Limited ("the Applicant") (BIJ793) | 27 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance." | Nil |
| LAM Chun Shing Jerry ("the Applicant") (BJK930) | 27 June 2022 | Valid until amendment or revocation | Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YEUNG Shing Lone Gerald ("the Applicant") (BBF103) | 27 June 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| GUO Sicheng ("the Applicant") (BGQ507) | 29 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| HU Yuxiang ("the Applicant") (BRR190) | 29 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| WANG Junbo ("the Applicant") (BOS359) | 29 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| WANG Liru ("the Applicant") (BRQ077) | 29 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YAN Wenwen ("the Applicant") (BRR542) | 29 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| YANG Chao ("the Applicant") (BDI839) | 30 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| CHAN Kit Tak ("the Applicant") (AOY488) | 30 June 2022 | Valid until amendment or revocation | Waived the following conditions which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LAM Wai Ho ("the Applicant") (AVS360) | 27 June 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 3 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| LACOURTE Amaury, Athanase, Dominique-Marie (the "Applicant") (ATG721) | 6 July 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition.</p> <p>For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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|---------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| FTAG Financial Limited ("The Applicant") (BNO308) | 6 July 2022 | Valid until amendment or revocation | <p>Waived the following conditions which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."</p> | Nil |
| Principal Asset Management Company (Asia) Limited ("the Applicant") (AFA235) | 11 July 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity, the licensee shall not provide a service of managing a portfolio of futures contracts for another person."</p> <p>to:</p> <p>"For Type 9 regulated activity, the licensee shall not provide a service of managing a portfolio of futures contracts for another person unless it is for hedging purpose only."</p> | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Goldlink Capital (Corporate Finance) Limited ("the Applicant") (BJV693) | 12 July 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: - "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |
| CHEUNG Ho Kong ("the Applicant") (APC384) | 12 July 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: - "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LOK Ka Fai ("the Applicant") (AYL132) | 12 July 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: - "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |
| VS Capital Limited ("the Applicant") (BNJ121) | 30 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." | Nil |
| CHAN Chi Hung ("the Applicant") (AMY772) | 30 June 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WAN Ka Nin, Kenneth ("the Applicant") (ANN397) | 18 July 2022 | Valid until amendment or revocation | <p>Waived the following conditiona which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

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|----------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| QUAH Hock Teong Dennis ("the Applicant") (BID354) | 21 July 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.</p> <p>to</p> <p>"The licensee: (1) shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year; and (2) shall not provide related services to any person other than a professional investor unless the licensee is accompanied at all times by a licensed person in performing the regulated activity(ies) in Hong Kong. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules."</p> | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Goldhorse Capital Management (HK) Limited ("the Applicant") (BDR769) | 25 July 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity, the licensee shall not conduct business other than:- (a) dealing in collective investment schemes. The term "collective investment scheme" and "dealing" are as defined under the Securities and Futures Ordinance; (b) introducing persons to a corporation that is licensed by or registered with the Securities and Futures Commission for Type 1 regulated activity, in order that they may:- (i) effect dealings in securities; or (ii) make offers to deal in securities; and (c) placing, marketing and distribution of securities."</p> <p>to: -</p> <p>"For Type 1 regulated activity, the licensee shall not conduct business other than:- (a) dealing in collective investment schemes and structured products. The terms "dealing", "collective investment scheme" and "structured products" are as defined under the Securities and Futures Ordinance; (b) introducing persons to a corporation that is licensed by or registered with the Securities and Futures Commission for Type 1 regulated activity, in order that they may:- (i) effect dealings in securities; or (ii) make offers to deal in securities; and (c) placing, marketing and distribution of securities."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Pyxis Wealth Advisors Limited ("the Applicant") (BOG966) | 26 July 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation." to: - "For Type 9 regulated activity, the licensee shall only carry on a business in the management of: (a) discretionary accounts; and (b) collective investment schemes that are offered to professional investors only. The terms "collective investment scheme" and "professional investor" are defined under the Securities and Futures Ordinance and its subsidiary legislation (where applicable)." | Nil |
| HEBER PERCY Peter Hugh ("the Applicant") (BJH745) | 27 July 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Zhong Ou Asset Management International Limited ("the Applicant") (BLR959) | 27 July 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance." | Nil |
| CHANG Aaron Zai Yuen ("the Applicant") (AZN927) | 28 July 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: - "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHAN Hiu Shan ("the Applicant") (AXG598) | 28 July 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to: -</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHENG Kang ("the Applicant") (BOH183) | 26 July 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WONG Shue Ngar, Sheila ("the Applicant") (BDH258) | 27 July 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| WENG Alexander I-Chi ("the Applicant") (AMV312) | 28 July 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |
| SHEN Dayou ("the Applicant") (AOZ004) | 28 July 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| JE Siu Ming ("the Applicant") (BGX730) | 29 July 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHOW Ka Keung ("the Applicant") (ACZ377) | 29 July 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| FU Shiwei ("the Applicant") (BFS397) | 1 August 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |
| XIANG Xi ("the Applicant") (BAP836) | 1 August 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| MOK Kon Lim ("the Applicant") (ABS236) | 2 August 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LAI Wai Nam ("the Applicant") (BNY633) | 8 August 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LEE Hoi Yan ("the Applicant") (AXZ043) | 9 August 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission. to: - For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |
| CHAN Justin Chang Yi ("the Applicant") (ARL414) | 9 August 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| XU Bo ("the Applicant") (AXG732) | 11 August 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| MARSH-JR Alan Reid ("the Applicant") (BEL251) | 11 August 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> <p>to: -</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Oak Hill Advisors (Hong Kong) Limited ("the Applicant") (BEO444) | 12 August 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall only carry on the business of dealing in collective investment schemes managed by its group of companies. The terms "collective investment scheme", "dealing" and "group of companies" are as defined under the Securities and Futures Ordinance." | Nil |
| Sun Hung Kai Capital Partners Limited ("the Applicant") (BQL519) | 12 August 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance." | Nil |
| MAK Ho Leung ("the Applicant") (BNQ526) | 15 August 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Ge Shang Investment (Hong Kong) Limited ("the Applicant") (AFR854) | 15 August 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance." | Nil |
| CHEUNG Sai Sai ("the Applicant") (APP369) | 16 August 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| SBI China Capital Hong Kong Securities Limited ("the Applicant") (BOJ011) | 17 August 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Seeds International Asset Management Limited ("the Applicant") (BNZ010) | 22 August 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation." to:- "For Type 9 regulated activity, the licensee shall only carry on a business in the management of: (a) discretionary accounts; and (b) collective investment schemes that are offered to professional investors only. The terms "collective investment scheme" and "professional investor" are defined under the Securities and Futures Ordinance and its subsidiary legislation (where applicable)." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WANG Wei ("the Applicant") (BGK772) | 23 August 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHUNG Siu Wah ("the Applicant") (AGC128) | 12 August 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |
| LEUNG Wing Shing ("the Applicant") (AEQ444) | 26 August 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Silverbricks Securities Company Limited ("the Applicant") (BLN458) | 30 August 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to:- "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |
| CHAN Wai Fung ("the Applicant") (ARB852) | 30 August 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to:- "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|---------------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHEUNG Fan Lin, Flora ("the Applicant") (ACS617) | 30 August 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WAI To Chung, Andy ("the Applicant") (AKP396) | 31 August 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |
| XU Liu ("the Applicant") (BRQ808) | 31 August 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ZHONG Yue ("the Applicant") (BSB839) | 31 August 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| GUO Mengge ("the Applicant") (BSG708) | 31 August 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| LU Zitian ("the Applicant") (BRW743) | 31 August 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| SHENG Jiangyue ("the Applicant") (BRO769) | 31 August 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------------------|-----------------------------------------------------|-------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| BUXTON Charles Robert James ("the Applicant") (BNV161) | 2 September 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| Greater China Capital Limited ("the Applicant") (ABG072) | 2 September 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."</p> <p>"For Type 9 regulated activity, the licensee shall not provide a service of managing a portfolio of futures contracts for another person."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|---------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| FDB Financial Group Limited ("The Applicant") (AHT876) | 7 September 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, with effect from 1 January 2007, the licensee shall not act as sponsor in respect of an application for the listing on a recognized stock market of any securities."</p> <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to:-</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHEUNG Kam Hong ("the Applicant") (AVT081) | 7 September 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to:- "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |
| Kietex Capital Limited ("the Applicant") (BPH785) | 8 September 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LIU Kwok Hang ("the Applicant") (BJM358) | 8 September 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| HUANG Hongyan ("the Applicant") (BCQ552) | 9 September 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| HUI Yik Bun ("the Applicant") (AEF109) | 14 September 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| Anli Asset Management Limited ("the Applicant") (AEL743) | 14 September 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation."</p> <p>to: -</p> <p>"For Type 9 regulated activity, the licensee shall only carry on a business in the management of:</p> <p>(a) discretionary accounts; and</p> <p>(b) collective investment schemes that are offered to professional investors only.</p> <p>The terms "collective investment scheme" and "professional investor" are defined under the Securities and Futures Ordinance and its subsidiary legislation (where applicable)."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YAU Chi Man, Benjamin ("the Applicant") (ATL435) | 14 September 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 10 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| LI Jianyang ("the Applicant") (AWS028) | 15 September 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LAW Irene ("the Applicant") (BDO174) | 15 September 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| Silverstone Investments Limited ("the Applicant") (AFU657) | 20 September 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall not provide a service of managing a portfolio of futures contracts for another person." | Nil |
| Messis Capital Limited ("the Applicant") (AHH635) | 21 September 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not act as sponsor in respect of an application for the listing on a recognized stock market of any securities apart from completing sponsor or compliance adviser work which it became contractually bound to complete prior to 12 November 2021." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Chung Koon Wah, Jonathan ("the Applicant") (ADH522) | 21 September 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| SCHANTZ Andrew Robertson ("the Applicant") (AQY133) | 23 September 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ZHANG Yu ("the Applicant") (BMM427) | 29 September 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |
| CHAN Tsz Kit ("the Applicant") (BEI582) | 29 September 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LIANG Guozhong ("the Applicant") (AJG523) | 30 September 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| CHEN Hanjue ("the Applicant") (BSB859) | 30 September 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHANG Hengrui ("the Applicant") (BRS552) | 30 September 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| QU Yiyang ("the Applicant") (BRS306) | 30 September 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LEI Jingyi ("the Applicant") (BRR372) | 30 September 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| WANG Sisi ("the Applicant") (BNJ531) | 30 September 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| CHOI Cheuk Heng, Zenith ("the Applicant") (BEE961) | 5 October 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LIU Luchan ("the Applicant") (BGQ378) | 7 October 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| CHIU Chun Lung ("the Applicant") (BHX544) | 7 October 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| XU Guobin ("the Applicant") (BNP647) | 13 October 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| YE Qing ("the Applicant") (BHR576) | 19 October 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

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|-------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| MARTIN Charlotte Delphine Cindy ("the Applicant") (BGE260) | 20 October 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee: (1) shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year; and (2) shall not provide related services to any person other than a professional investor unless the licensee is accompanied at all times by a licensed person in performing the regulated activity(ies) in Hong Kong. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules."</p> | Nil |
| XU Dan ("the Applicant") (BJC231) | 21 October 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| HE Jingjia ("the Applicant") (BIM420) | 25 October 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| WANG Wenjia ("the Applicant") (BRS349) | 31 October 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| GU Yulong ("the Applicant") (BRP706) | 31 October 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| HE Taihong ("the Applicant") (BRI328) | 31 October 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| HE Muzhi ("the Applicant") (BND561) | 31 October 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| LIANG Baoyue ("the Applicant") (BRY591) | 31 October 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| XIE Xianming ("the Applicant") (BKH367) | 31 October 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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|-------------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YANG Yunfan ("the Applicant") (BNI529) | 31 October 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHANG Jing ("the Applicant") (BNG711) | 31 October 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| WU Yao ("the Applicant") (BSA091) | 31 October 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| DL Capital (HK) Limited ("the Applicant") (BRB150) | 31 October 2022 | Valid until amendment or revocation | Waived the following conditions which was imposed on the licence granted to the Applicant: "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|---------------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Altus Investments Limited ("the Applicant") (ALG044) | 31 October 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance." | Nil |
| CHANG Sean Pey ("the Applicant") (AGC368) | 31 October 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance." | Nil |
| HO Shuk Yee, Samantha ("the Applicant") (AAA935) | 31 October 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance." | Nil |
| IP Tin Chee, Arnold ("the Applicant") (ABX240) | 31 October 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance." | Nil |
| LEUNG Churk Yin, Jeanny ("the Applicant") (ACA326) | 31 October 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WANG Zheng ("the Applicant") (BRY565) | 31 October 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| TAO Leyi ("the Applicant") (BQP304) | 31 October 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| WANG Yidong ("the Applicant") (BRQ359) | 31 October 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| LI Yuanda ("the Applicant") (BSD473) | 1 November 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LU Yuqian ("the Applicant") (BSB853) | 1 November 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHU Bingge ("the Applicant") (BSB838) | 1 November 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| YU Xitong ("the Applicant") (BSD812) | 1 November 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| XU Jia (the "Applicant") (BBH324) | 1 November 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to: -</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |
| SHI Dai (the "Applicant") (BEQ696) | 1 November 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to: -</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SIN Tak Keung (the "Applicant") (BJG757) | 1 November 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: - "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |
| LIU Jiangyue (the "Applicant") (BEZ909) | 1 November 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: - "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| GAO Shu (the "Applicant") (AWQ627) | 1 November 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to: -</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |
| LIANG Jin (the "Applicant") (BEW537) | 1 November 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to: -</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ZHANG Hongyi (the "Applicant") (BFX877) | 1 November 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: - "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |
| CHEN Wan (the "Applicant") (ALV331) | 1 November 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: - "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |

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On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| JIANG Zhiwei (the "Applicant") (BBK034) | 1 November 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: - "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |
| LI Xiang (the "Applicant") (BFX734) | 1 November 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: - "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LEUNG Sui Pan (the "Applicant") (AXF284) | 2 November 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to: -</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WU Jianfeng ("the Applicant") (BAA705) | 2 November 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| WANG Yu ("the Applicant") (BIR339) | 2 November 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| DU Yiping ("the Applicant") (BOA881) | 3 November 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| CHAN Hon Shui Leo ("the Applicant") (APG915) | 3 November 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| MA Cuifang ("the Applicant") (BHP401) | 4 November 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| LI Zhengxian ("the Applicant") (BAK269) | 7 November 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| ZHOU Fei ("the Applicant") (BEM286) | 8 November 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance."</p> | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| DU Qing ("the Applicant") (AMT911) | 9 November 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Priority Asset Management Group Limited ("the Applicant") (BIS161) | 9 November 2022 | Valid until amendment or revocation | <p>Modified the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation."</p> <p>"For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."</p> <p>to:</p> <p>"For Type 9 regulated activity, the licensee shall only carry on a business in the management of: (a) discretionary accounts; and (b) collective investment schemes that are offered to professional investors only. The terms "collective investment scheme" and "professional investor" are defined under the Securities and Futures Ordinance and its subsidiary legislation (where applicable)."</p> | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHEUNG Ka Yin, Catherine ("the Applicant") (AJC823) | 9 November 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| WU Tingting ("the Applicant") (AYQ131) | 4 November 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WANG Minyue ("the Applicant") (BMR107) | 11 November 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| NIE Xuan ("the Applicant") (BRK324) | 15 November 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| HONG Taoli ("the Applicant") (BOH186) | 16 November 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SUTTON James Peter ("the Applicant") (ANU041) | 16 November 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| QU Yi ("the Applicant") (BRQ726) | 17 November 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| WANG Ruoyu ("the Applicant") (BRQ340) | 17 November 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| FANG Zeyu ("the Applicant") (BRS366) | 17 November 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| SUN Zewen ("the Applicant") (BRA092) | 17 November 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| WU Xiaotong ("the Applicant") (BST012) | 17 November 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| Somerley Capital Limited ("the Applicant") (BAU754) | 17 November 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation." | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| West Bull Securities Limited ("the Applicant") (BHT553) | 17 November 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation." to: "For Type 9 regulated activity, the licensee shall only carry on a business in the management of: (a) discretionary accounts; and (b) collective investment schemes that are offered to professional investors only. The terms "collective investment scheme" and "professional investor" are defined under the Securities and Futures Ordinance and its subsidiary legislation (where applicable)." | Nil |
| Advent Corporate Finance Limited ("the Applicant") (BMY734) | 21 November 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |

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On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| TFI Capital Limited ("the Applicant") (BPW736) | 18 November 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not act as sponsor in respect of an application for the listing on a recognized stock market of any securities."</p> <p>and</p> <p>"The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation."</p> | Nil |
| HUI Yik Bun ("the Applicant") (AEF109) | 21 November 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 7 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Westock Securities International (HK) Limited ("the Applicant") (AQS774) | 22 November 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "Mr. CHAN Chuen Leung, the substantial shareholder of Capitec Securities Limited (formerly known as Hiu Fung Securities Limited), shall not be involved in the day-to-day management or operations of the business that Capitec Securities Limited is licensed to carry on under the Securities and Futures Ordinance." | Nil |
| CHAN Ka Chun, Karl ("the Applicant") (BFF021) | 25 November 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|---------------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Daintree Partners Limited ("the Applicant") (BNP767) | 28 November 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."</p> | Nil |
| HAN Zhen ("the Applicant") (BQS919) | 29 November 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |
| HAN Jichuan ("the Applicant") (BRH485) | 29 November 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |
| LUO Jing ("the Applicant") (BSG406) | 29 November 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| HU Haotian ("the Applicant") (BSP513) | 29 November 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| NIE Sitong ("the Applicant") (BRJ342) | 29 November 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------|-----------------------------------------------------|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Midas Securities Limited ("the Applicant") (BIK715) | 29 November 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."</p> <p>to:-</p> <p>"For Type 9 regulated activity, the licensee shall only carry on a business in the management of: (a) discretionary accounts; and (b) collective investment schemes that are offered to professional investors only. The terms "collective investment scheme" and "professional investor" are defined under the Securities and Futures Ordinance and its subsidiary legislation (where applicable)."</p> | Nil |
| GHANI Tanvir Shahriar ("the Applicant") (ANT230) | 30 November 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------|-----------------------------------------------------|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LEE Cheuk Kwan, Vulcan (the "Applicant") (ATW421) | 1 December 2022 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: - "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: - "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |
| XIE Yi ("the Applicant") (BKZ932) | 1 December 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| WEI Xiang ("the Applicant") (BRW013) | 1 December 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WEI Xianyong ("the Applicant") (BNG029) | 1 December 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHANG Wei ("the Applicant") (BFE571) | 1 December 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHUO Delin ("the Applicant") (BSE161) | 1 December 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| LI Lingzhi ("the Applicant") (BSF619) | 1 December 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YUE Chuangwei ("the Applicant") (BRR374) | 1 December 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:-</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |
| ZHOU Yuting ("the Applicant") (BNQ425) | 2 December 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WONG Wai Kwan ("the Applicant") (AWA381) | 5 December 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| TSOI Chin Pang ("the Applicant") (AUB775) | 8 December 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

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|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Opus Capital Limited ("the Applicant") (BCU710) | 12 December 2022 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant: -</p> <p>"For Type 1 regulated activity, the licensee shall not engage in dealing activities other than - (a) underwriting and placing of securities; and (b) introducing persons to an intermediary which is licensed or registered under the Securities and Futures Ordinance, in order that such persons may: (i) effect dealings in securities; or (ii) make offers to deal in securities."</p> <p>to</p> <p>"The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."</p> | Nil |

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|-------------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| BOND Jonathan Simon ("the Applicant") (BJF053) | 13 December 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

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|---------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SCOLAR Christopher ("the Applicant") (BJH133) | 13 December 2022 | Valid until amendment or revocation | Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

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|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LI Zhengyi ("the Applicant") (APJ994) | 13 December 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: - "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| LAM Yuen Hei ("the Applicant") (AXF651) | 14 December 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: - "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

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|-------------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHAN Wing Shing, Wilson ("the Applicant") (AFA800) | 15 December 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant: -</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| TSANG Michael ("the Applicant") (ADX573) | 16 December 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

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|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LIU Jun ("the Applicant") (BOD394) | 20 December 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:-</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

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|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHEN Xiaofang ("the Applicant") (BNR541) | 20 December 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:-</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

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|------------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHEUNG Wing On, Rickey ("the Applicant") (AJE323) | 22 December 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

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|------------------------------------------------------------------|-----------------------------------------------------|-------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| OSL Digital Securities Limited ("the Applicant") (BPJ213) | 22 December 2022 | Valid until amendment or revocation | <p>The following licensing condition was imposed on the licence granted to the Applicant:</p> <p>"The licensee must comply with the attached "Terms and Conditions for Virtual Asset Trading Platform Operators" (as amended from time to time)."</p> <p><u>Modified paragraph 4.8 of the "Terms and Conditions for Virtual Asset Trading Platform Operators" from:</u></p> <p>"A Platform Operator should not provide any financial accommodation for its clients to acquire virtual assets, and should ensure, to the extent possible, that no corporation within the same group of companies as the Platform Operator does so."</p> <p>to:</p> <p>"A Platform Operator should not provide any financial accommodation for its clients to acquire virtual assets. It should also ensure, to the extent possible, that no corporation within the same group of companies as the Platform Operator provide financial accommodation to its clients to acquire virtual assets, except for providing financial accommodation to its institutional professional investor clients for satisfying the pre-funded trades requirement under paragraph 4.7 above and the financial accommodation should be repaid within 2 business days"</p> <p><u>Modified paragraph 10.2 of the "Terms and Conditions for Virtual Asset Trading Platform</u></p> | Nil |

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|-----------------------------------------------------|-----------------------------------------------------|--------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| | | | <p><u>Operators" from:</u></p> <p>"A Platform Operator should not engage in proprietary trading. For the purpose of this paragraph, "proprietary trading" refers to trading activities conducted for:</p> <p>(a) the account of the Platform Operator, trading as principal;</p> <p>(b) the account of any user which is a company within the same group of companies as the Platform Operator, trading as principal; or</p> <p>(c) any account in which the Platform Operator, or any user which is a company within the same group of companies as the Platform Operator, has an interest."</p> <p>to:</p> <p>"Unless in limited specific circumstances and with the consent of the Commission, a Platform Operator should not engage in proprietary trading. For the purpose of this paragraph, "proprietary trading" refers to trading activities conducted for:</p> <p>(a) the account of the Platform Operator, trading as principal;</p> <p>(b) the account of any user which is a company within the same group of companies as the Platform Operator, trading as principal; or</p> <p>(c) any account in which the Platform Operator, or any user which is a company within the same group of companies as the Platform Operator, has an interest."</p> | |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WONG Tracy Po-yi ("the Applicant") (BCA264) | 28 December 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CAO Yiqi ("the Applicant") (BSI519) | 28 December 2022 | Valid until amendment or revocation | <p>Modified the following conditions which were imposed on the licence granted to the Applicant:-</p> <p>"This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> <p>"This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|--------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| | | | <p>"This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:</p> <p>(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or</p> <p>(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> <p>to: -</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ZHAO Xiaohu ("the Applicant") (BQQ972) | 28 December 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| LEUNG Ho Ming ("the Applicant") (AJH302) | 29 December 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHAN Kwok Wai ("the Applicant") (ALG542) | 29 December 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| SONG Sijia ("the Applicant") (BIY897) | 23 December 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| BAI Yun ("the Applicant") (BNC036) | 23 December 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CAI Xiaoyu ("the Applicant") (BRQ348) | 23 December 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| CUI Yiran ("the Applicant") (BMW693) | 23 December 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| DAI Anna ("the Applicant") (BRZ469) | 23 December 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ZHU Yingying ("the Applicant") (BRK327) | 23 December 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| FU Dongyang ("the Applicant") (BSB858) | 23 December 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| JIANG Fan ("the Applicant") (BSS227) | 23 December 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ZHANG Yi ("the Applicant") (BRV431) | 23 December 2022 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:-</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |
| NG Mei Kuen, Vivian ("the Applicant") (AEK109) | 22 December 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| BU Yunzhi ("the Applicant") (BOS102) | 30 December 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| LUO Jing ("the Applicant") (BOS477) | 30 December 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| YANG Wanggege ("the Applicant") (BSA396) | 30 December 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| DARGIE Peter Clarke ("the Applicant") (BEO577) | 3 January 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: - "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| NG Hoi Kam ("the Applicant") (AGP053) | 3 January 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|---------------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| GENG Hua ("the Applicant") (BPW013) | 23 December 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |
| Orient Securities Limited ("the Applicant") (AFP038) | 3 January 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YANG Tianxiao ("the Applicant") (AVA662) | 5 January 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: - "For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance." | Nil |
| CHEUNG Wai Hung ("the Applicant") (AUN717) | 5 January 2023 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant:- "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to:- "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WAI Kwai Fong ("the Applicant") (AWQ619) | 5 January 2023 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant:- "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to:- "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |
| China Industrial Securities International Capital Limited ("the Applicant") (BAK956) | 9 January 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Innovax Asset Management Limited ("the Applicant") (BIB970) | 11 January 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: - "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance." | Nil |
| Ares SSG Capital Management (Hong Kong) Limited ("the Applicant") (ASS687) | 11 January 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall not provide a service of dealing in securities for any party other than: (a) a related corporation; and (b) a portfolio or discretionary account or collective investment scheme, advised or managed by a related corporation. The terms "related corporation" and "collective investment scheme" are as defined in Schedule 1 to the Securities and Futures Ordinance." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WONG Ka Shing ("the Applicant") (ARL160) | 13 January 2023 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer,</p> | Nil |

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|-----------------------------------------------------|-----------------------------------------------------|--------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| | | | when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHENG Tao ("the Applicant") (BLY758) | 16 January 2023 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHUNG Chang Won ("the Applicant") (APO123) | 20 January 2023 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:-</p> <p>"The licensee: (1) shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year; and (2) shall not provide related services to any person other than a professional investor unless the licensee is accompanied at all times by a licensed person in performing the regulated activity(ies) in Hong Kong. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules."</p> <p>to:-</p> <p>"This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHEUNG Chun Fai ("the Applicant") (AQD310) | 26 January 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| LENTCHNER Jesse Hart ("the Applicant") (ADS586) | 27 January 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LO Ting Hei ("the Applicant") (BQL232) | 30 January 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHIU Cheuk Man ("the Applicant") (ASS493) | 31 January 2023 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

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|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SUNG Ting Yee ("the Applicant") (AUW414) | 31 January 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LI Xiaoxi ("the Applicant") (BGH408) | 1 February 2023 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHAN Wai Ching ("the Applicant") (ALS556) | 1 February 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| Mercer Investments (HK) Limited ("the Applicant") (ALR969) | 2 February 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance." | Nil |
| SHI Kaiyuan ("the Applicant") (BRR370) | 2 February 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| QU Haoyuan ("the Applicant") (BSW232) | 3 February 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| CHEUK Sze Lok ("the Applicant") (ADM251) | 3 February 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| YUEN Kam Lun, Jackson ("the Applicant") (AFE588) | 3 February 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| BAZZONI Federico ("the Applicant") (ADP682) | 7 February 2023 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:</p> <p>(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or</p> <p>(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|--------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| | | | <p>"This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:</p> <p>(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or</p> <p>(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> <p>"For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LAM Long Hin, Hiram ("the Applicant") (AUX369) | 6 February 2023 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |
| LE Jing ("the Applicant") (AZC823) | 10 February 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| TSO Yan Yee ("the Applicant") (ACD710) | 10 February 2023 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |
| CHEN Yi ("the Applicant") (ANM687) | 14 February 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| MENG Kehan ("the Applicant") (BQK878) | 14 February 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHU Jun ("the Applicant") (AFN536) | 16 February 2023 | Valid until amendment or revocation | Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|----------------------------------------------------------------|-----------------------------------------------------|-------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| M&F Asset Management Limited ("the Applicant") (AAD002) | 16 February 2023 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."</p> <p>to:-</p> <p>"For Type 9 regulated activity, the licensee shall only carry on a business in the management of: (a) discretionary accounts; and (b) collective investment schemes that are offered to professional investors only. The terms "collective investment scheme" and "professional investor" are defined under the Securities and Futures Ordinance and its subsidiary legislation (where applicable)."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| KE Fengzhou ("the Applicant") (BOJ940) | 16 February 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee: (1) shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year; and (2) shall not provide related services to any person other than a professional investor unless the licensee is accompanied at all times by a licensed person in performing the regulated activity(ies) in Hong Kong. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| HU Tao ("the Applicant") (BIC655) | 22 February 2023 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WANG Haowei ("the Applicant") (BMR381) | 22 February 2023 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |
| MA Yan ("the Applicant") (BST413) | 22 February 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

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Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| XIE Jingxin ("the Applicant") (BJC937) | 22 February 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| CHAN Chun Kit ("the Applicant") (ANM375) | 24 February 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| AU Yu Ching ("the Applicant") (ABT384) | 24 February 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WONG Wai ("the Applicant") (BAC295) | 24 February 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance. " | Nil |
| GONG Jie ("the Applicant") (ARO415) | 24 February 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WU Chun Wah ("the Applicant") (AHA661) | 27 February 2023 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| SCHER Mark Evan ("the Applicant") (BHR653) | 27 February 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SCHER Ashley Jo ("the Applicant") (BHR659) | 27 February 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| CAI Linzhi ("the Applicant") (BHH998) | 2 March 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

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|-----------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ROBBINS William Ralph Quentin ("the Applicant") (APJ520) | 3 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 3 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| AROSTI Marco ("the Applicant") (APZ595) | 3 March 2022 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ABBOTT Giles David Cameron ("the Applicant") (AVQ399) | 3 March 2022 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| CHAN Wai Yu ("the Applicant") (BHH219) | 3 March 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LAI Sze Yau Vivien ("the Applicant") (BEZ139) | 7 March 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| Ngai Ho Wai, Christopher ("the Applicant") (BFY250) | 9 March 2023 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to: -</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

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|------------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LAI Chun Leung, Barton ("the Applicant") (ARF922) | 9 March 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |
| FUNG Man Heng ("the Applicant") (BDN973) | 10 March 2023 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to:-</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

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|-------------------------------------------------------------------------------------|-----------------------------------------------------|-------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Barclays Capital Asia Limited ("the Applicant") (AAC257) | 13 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not act as sponsor in respect of an application for the listing on a recognized stock market of any securities apart from completing sponsor or compliance adviser work which it became contractually bound to complete prior to 30 June 2020." | Nil |
| CPIC Investment Management (H.K.) Company Limited ("the Applicant") (AVQ695) | 13 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance." | Nil |
| Zhang YU ("the Applicant") (AQS656) | 16 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| TAN Jolene ("the Applicant") (BPC553) | 16 March 2023 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| WANG Vanessa ("the Applicant") (BIS581) | 17 March 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| <p>XI Xuanhua ("the Applicant")</p> <p>(AHX572)</p> | 17 March 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| <p>Macquarie Markets Trading Limited ("the Applicant")</p> <p>(BPU280)</p> | 20 March 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."</p> | Nil |
| <p>Guo Jie Investment Holdings Limited (the "Applicant")</p> <p>(BSA416)</p> | 27 March 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|---------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LAM Shui Chuen ("the Applicant") (AAH552) | 27 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| Wonder Capital Group Limited ("the Applicant") (BGT920) | 27 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall only carry on the business of dealing in collective investment schemes. The terms "collective investment scheme" and "dealing" are as defined under the Securities and Futures Ordinance." | Nil |
| CHEN Zhu ("the Applicant") (BLO224) | 28 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LIANG Zun ("the Applicant") (BNL470) | 28 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHANG Ao ("the Applicant") (BOA239) | 28 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| CHEN Xianfan ("the Applicant") (BRO897) | 28 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| JIANG Hongkun ("the Applicant") (BSZ507) | 28 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WANG Shuyuan ("the Applicant") (BON563) | 28 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| GU Hanxiao ("the Applicant") (BSW747) | 28 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| XIE Zhenghong ("the Applicant") (BRR537) | 28 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| TIAN Yujie ("the Applicant") (BSV548) | 28 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|---------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| XIAO Zichen ("the Applicant") (BSA087) | 28 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| DE VRIES Pier Christiaan ("the Applicant") (ABM870) | 29 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| LONG Hai ("the Applicant") (BSQ419) | 30 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WANG Yanjun ("the Applicant") (BSW137) | 30 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| SHI Wenyue ("the Applicant") (BRR188) | 30 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHU Zirui ("the Applicant") (BTE316) | 30 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| HUANG Xinyi ("the Applicant") (BNC835) | 30 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CAO Zeyuan ("the Applicant") (BRQ155) | 30 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| LIANG Yuanpeng ("the Applicant") (BRT136) | 30 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHOU Yiran ("the Applicant") (BRA091) | 30 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHANG Chi ("the Applicant") (BRY577) | 30 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CAO Ruolin ("the Applicant") (BTF732) | 30 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| XU Yiren ("the Applicant") (BRY544) | 30 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| JIN Zhouyang ("the Applicant") (BTE085) | 30 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| YANG Kai ("the Applicant") (BRS092) | 30 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| JIN Yijie ("the Applicant") (BSU990) | 30 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| HE Yuan ("the Applicant") (BRB787) | 30 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHANG Yang ("the Applicant") (BQG368) | 30 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHANG Peihong ("the Applicant") (BSG572) | 30 March 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YI Xin ("the Applicant") (BRP651) | 30 March 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall not provide related services to any person other than a professional investor. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules."</p> | LR1 |
| ZHANG Junhan ("the Applicant") (BRJ505) | 30 March 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall not provide related services to any person other than a professional investor. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules."</p> | LR1 |

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|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| KWONG Wing Man ("the Applicant") (AFC448) | 30 March 2023 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| KWOK Shun Tim ("the Applicant") (AJG509) | 4 April 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

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|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| EMBREE Colin Ashley ("the Applicant") (BEH950) | 6 April 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 3 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| KRKALO Hrvoje ("the Applicant") (AJO212) | 11 April 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

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|-------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WANG Deli ("the Applicant") (BBP491) | 13 April 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| Arete Capital Asia Limited ("the Applicant") (BHY177) | 13 April 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance." | Nil |
| CNCB (Hong Kong) Capital Limited ("the Applicant") (AEQ982) | 13 April 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, where the licensee manages any collective investment scheme, it shall only provide such services to professional investors only. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance." | Nil |

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|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SIU Mei Wan ("the Applicant") (AJC718) | 4 April 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| ZHANG Xiaoyu ("the Applicant") (BMQ071) | 17 April 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| YANG Fan ("the Applicant") (BRD819) | 18 April 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YU Hiu To ("the Applicant") (AGM902) | 19 April 2023 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to: -</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

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|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LIANG Sihai ("the Applicant") (BMQ165) | 19 April 2023 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LIM Tak Hung ("the Applicant") (AXP028) | 19 April 2023 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LIU Yujie ("the Applicant") (BNZ883) | 19 April 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| WU Yen Sheng ("the Applicant") (BMG512) | 20 April 2023 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WONG Vivien ("the Applicant") (ARR811) | 24 April 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| SIT Kwan Kit ("the Applicant") (AZQ787) | 24 April 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SONG Yang ("the Applicant") (BTB620) | 26 April 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| XCap Partners Limited ("the Applicant") (BOP567) | 26 April 2023 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission."</p> <p>to:-</p> <p>"For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| VALIENTE Maria Nancy ("the Applicant") (ACB486) | 26 April 2023 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to:- "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |
| POON Cho Fai ("the Applicant") (ADH524) | 26 April 2023 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to:- "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SATO Hiromi ("the Applicant") (ANS087) | 27 April 2023 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHEN Weicheng ("the Applicant") (BHA091) | 2 May 2023 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| CAO Yiqi ("the Applicant") (BSI519) | 3 May 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| TSAO Raymond W ("the Applicant") (BPI438) | 8 May 2023 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |
| WANG Jiayu ("the Applicant") (BFO084) | 8 May 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| TSE Kevin Ka Bun ("the Applicant") (AJE849) | 8 May 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 3 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| TSANG Yim Fan, Josephine ("the Applicant") (AGY049) | 8 May 2023 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YIM Yu Tak ("the Applicant") (AIR501) | 9 May 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YAMANAKA Yuta ("the Applicant") (BMV319) | 11 May 2023 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee: (1) shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year; and (2) shall not provide related services to any person other than a professional investor unless the licensee is accompanied at all times by a licensed person in performing the regulated activity(ies) in Hong Kong. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules."</p> <p>to: -</p> <p>"This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or (ii) on 11 November 2023 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 1 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------------------------------|-----------------------------------------------------|-------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| | | | <p>"This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:</p> <p>(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or</p> <p>(ii) on 11 November 2023 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 1 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> <p>"This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:</p> <p>(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or</p> <p>(ii) on 11 November 2023 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 1 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> | |
| SDHG International Asset Management Limited ("the Applicant") (ARI207) | 17 May 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LO Chun Fai, Geoffrey ("the Applicant") (APU210) | 18 May 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| TSUI Suk Yan ("the Applicant") (BJY226) | 18 May 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ZHANG Yifan ("the Applicant") (BMP514) | 19 May 2023 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> <p>to: -</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall not provide related services to any person other than a professional investor. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHUNG Yong Ho ("the Applicant") (AQI680) | 19 May 2023 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> <p>to: -</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall not provide related services to any person other than a professional investor. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LI Huan ("the Applicant") (BSJ167) | 19 May 2023 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> <p>to: -</p> <p>"This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:</p> <p>(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or</p> <p>(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|--------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| | | | <p>"This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:</p> <p>(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or</p> <p>(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> | |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ZHONG Jiale ("the Applicant") (BSF844) | 22 May 2023 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> <p>to: -</p> <p>"This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:</p> <p>(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or</p> <p>(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| | | | <p>"This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:</p> <p>(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or</p> <p>(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> | |
| KU Sanqi ("the Applicant") (AZC762) | 23 May 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHENG Man Yu, Duncan ("the Applicant") (AGH568) | 23 May 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| Brocade River Merchants Capital Limited ("the Applicant") (BNR589) | 29 May 2023 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."</p> <p>"The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation."</p> <p>"For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ZHU Jun ("the Applicant") (AFN536) | 29 May 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|---------------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| CHEUNG Hoi Wa, Howard ("the Applicant") (BNY336) | 30 May 2023 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| STEEN Jeremy David ("the Applicant") (BHR493) | 1 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| FANG Leyao ("the Applicant") (BSW135) | 1 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHANG Yingmiao ("the Applicant") (BTG208) | 1 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SHI Qinxu ("the Applicant") (BSR340) | 1 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| CAI Yuxia ("the Applicant") (BSA005) | 1 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| XU Yifei ("the Applicant") (BKZ936) | 1 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| WU Zherui ("the Applicant") (BTC789) | 1 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LI Changzhi ("the Applicant") (BRR100) | 1 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| CHEN Yijia ("the Applicant") (BSL527) | 1 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHANG Fa ("the Applicant") (BSW271) | 1 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| CHEN Yilin ("the Applicant") (BTD899) | 1 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| XU Shiting ("the Applicant") (BRY583) | 1 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZOU Yuwei ("the Applicant") (BRJ898) | 6 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| HE Fang ("the Applicant") (BRJ899) | 6 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| CHEN Xi ("the Applicant") (BRG672) | 6 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SONG Yixin ("the Applicant") (BSJ255) | 6 June 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> | Nil |
| BARWICK Richard John ("the Applicant") (ART684) | 6 June 2023 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> <p>to: -</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall not provide related services to any person other than a professional investor. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ZHAO Hai Hua ("the Applicant") (AYG618) | 7 June 2023 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"For Type 3 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| AROSTI Marco ("the Applicant") (APZ595) | 7 June 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| NG Siu Wai ("the Applicant") (AYD102) | 2 June 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| TROUBLAIEWITCH Rachel ("the Applicant") (BOF677) | 7 June 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| JE Siu Ming ("the Applicant") (BGX730) | 9 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| SONG Haoyuan ("the Applicant") (BSJ839) | 9 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| SHEN Yutong ("the Applicant") (BRW882) | 9 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| YOU He ("the Applicant") (BRY645) | 9 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| WANG Xinyang ("the Applicant") (BRZ751) | 9 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| ZHU Qipei ("the Applicant") (BRZ754) | 9 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| South China Capital Limited ("the Applicant") (AAI635) | 9 June 2023 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to:- "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy- backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |
| South China Capital Limited ("the Applicant") (AAI635) | 9 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not act as sponsor in respect of an application for the listing on a recognized stock market of any securities." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| MA Chi Wah ("the Applicant") (AFF507) | 9 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| SUN Miaoling ("the Applicant") (ATM483) | 13 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| CHUNG Kok Fook ("the Applicant") (ASY849) | 19 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition". | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Evercore Asia Limited ("the Applicant") (AVT295) | 19 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition." | Nil |
| LAM Kong Wah ("the Applicant") (BNO549) | 19 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| JANSSEN Remco ("the Applicant") (BNT196) | 20 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Open Asset Management Limited (the "Applicant") (AAU795) | 23 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance." | Nil |
| LEUNG Ho Yin ("the Applicant") (BJY143) | 23 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall not provide related services to any person other than a professional investor. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ZHONG Wei ("the Applicant") (BCD291) | 27 June 2023 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."</p> <p>to: -</p> <p>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall not provide related services to any person other than a professional investor. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| JIANG Jun ("the Applicant") (AQI866) | 28 June 2023 | Valid until amendment or revocation | Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance." to:- "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| WU Yuanyi ("the Applicant") (BRX088) | 28 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| BAGRIY Volodymyr ("the Applicant") (BTM708) | 28 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| MENG Yue ("the Applicant") (BRP552) | 28 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| CHEN Yiliang ("the Applicant") (BRQ408) | 30 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| MI Jiale ("the Applicant") (BSX540) | 30 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| WAN Shutong ("the Applicant") (BTH029) | 30 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| SHI Shuihua ("the Applicant") (BTD900) | 30 June 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

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|----------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Chenghe Capital Management Limited ("the Applicant") (BSU322) | 4 July 2023 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity, the licensee shall only carry on the business of dealing in collective investment schemes. The terms "collective investment scheme" and "dealing" are as defined under the Securities and Futures Ordinance."</p> <p>to:-</p> <p>"For Type 1 regulated activity, the licensee shall not conduct business other than:-</p> <p>(a) distributing and marketing of securities. The term "securities" is as defined under the Securities and Futures Ordinance;</p> <p>(b) underwriting and placing of securities. The term "securities" is as defined under the Securities and Futures Ordinance;</p> <p>(c) communicating offers to effect dealings in securities to a corporation that is licensed by or registered with the Securities and Futures Commission for Type 1 regulated activity, in the names of the persons from whom those offers are received; and</p> <p>(d) introducing persons to a corporation that is licensed by or registered with the Securities and Futures Commission for Type 1 regulated activity, in order that they may:</p> <p>(i) effect dealings in securities; or</p> <p>(ii) make offers to deal in securities."</p> | Nil |

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| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| Peakhouse Asset Management Limited ("the Applicant") (BSQ506) | 5 July 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance." | Nil |
| Huarong International Capital Limited ("the Applicant") (BGY986) | 5 July 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not act as sponsor in respect of an application for the listing on a recognized stock market of any securities apart from completing sponsor or compliance adviser work which it became contractually bound to complete prior to 20 March 2023." | Nil |
| CHAN Tak Hong ("the Applicant") (AUZ339) | 6 July 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|--------------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| HUANG Xiaomi ("the Applicant") (BOA522) | 6 July 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| YAN Jiahui ("the Applicant") (BNF177) | 6 July 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| Doo Financial HK Limited ("the Applicant") (BSM562) | 6 July 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| TONG Wing Sze, Mimi ("the Applicant") (ABE943) | 13 July 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |
| BTL Asset Management Company Limited ("the Applicant") (BFJ113) | 14 July 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation." | Nil |
| CMB International Asset Management Limited ("the Applicant") (AVA101) | 21 July 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall only provide services to professional investors and its employees. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| SHEN Wenbin ("the Applicant") (BRQ659) | 24 July 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| WEN Baoqi ("the Applicant") (BPH716) | 24 July 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| YANG Yingqi ("the Applicant") (BRT117) | 24 July 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| XIAO Jingying ("the Applicant") (BSZ662) | 24 July 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| MAO Xinyu ("the Applicant") (BKU176) | 24 July 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." | Nil |
| WANG Dayong ("the Applicant") (BDN294) | 26 July 2023 | Valid until amendment or revocation | Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-----------------------------------------------------|-----------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ZHU Jiang ("the Applicant") (BNB630) | 26 July 2023 | Valid until amendment or revocation | <p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> <p>"For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |
| JIA Jing ("the Applicant") (BFD829) | 1 August 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|-------------------------------------------------------|-----------------------------------------------------|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| LAM Wing Hi ("the Applicant") (AJK480) | 2 August 2023 | Valid until amendment or revocation | <p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> | Nil |
| Hash Blockchain Limited ("the Applicant") (BPL992) | 3 August 2023 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee must only provide services to professional investors. The term "professional investor" is as defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance together with the Securities and Futures (Professional Investor) Rules."</p> <p>to:-</p> <p>"The licensee shall at all times be in compliance with the requirements under paragraphs 7.1 to 7.14 (Token admission and review committee and due diligence on virtual assets), 9.3 to 9.7 (Access to trading services and know your client), 9.17 to 9.23 (Suitability obligations), 9.25 to 9.29 (Disclosure), 10.19 (Disclosure to clients) and Schedule 2 (Risk disclosure statements) of the Guidelines for Virtual Asset Trading Platform Operators issued by the Commission."</p> | Nil |

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)

On or after 1 January 2021

Last Update : 4 August 2023

| Name of the applicant (CE number, if applicable) | Date of grant of the modifications or waivers | Period of validity | Particulars of the modifications or waivers granted | Conditions imposed |
|------------------------------------------------------------------|-----------------------------------------------------|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| OSL Digital Securities Limited ("the Applicant") (BPJ213) | 3 August 2023 | Valid until amendment or revocation | <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee must only provide services to professional investors. The term "professional investor" is as defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance together with the Securities and Futures (Professional Investor) Rules."</p> <p>to:-</p> <p>"The licensee shall at all times be in compliance with the requirements under paragraphs 7.1 to 7.14 (Token admission and review committee and due diligence on virtual assets), 9.3 to 9.7 (Access to trading services and know your client), 9.17 to 9.23 (Suitability obligations), 9.25 to 9.29 (Disclosure), 10.19 (Disclosure to clients) and Schedule 2 (Risk disclosure statements) of the Guidelines for Virtual Asset Trading Platform Operators issued by the Commission."</p> | Nil |