

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

Last Update : 29 September 2023

Name of the applicant (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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<p>Wonderland International Asset Management Limited ("the Applicant")</p> <p>(BGP105)</p>	<p>20 January 2021</p>	<p>Valid until amendment or revocation</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 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>	<p>Nil</p>

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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
Al 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

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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

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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 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

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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 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

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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 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

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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
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

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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
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

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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
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

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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
SU Xiaobo ("the Applicant") (BNV856)	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 not carry out the regulated activity(ies) in Hong Kong for more than 30 days 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
HANDS Duncan Alexander ("the Applicant") (BPR486)	11 February 2021	Valid until amendment or revocation	Modified the following conditions which were imposed on the licence granted to the Applicant: "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."	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 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>	

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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 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>	

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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
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

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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 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>	

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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

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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
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

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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
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

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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

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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

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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

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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	<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
MAK Kit Ping ("the Applicant") (AIR528)	5 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 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
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

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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
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

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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 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

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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
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

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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 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

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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
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 : 29 September 2023

Name of the applicant (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	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
GONG Shu ("the Applicant") (AXD116)	15 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 : 29 September 2023

Name of the applicant (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

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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
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 : 29 September 2023

Name of the applicant (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

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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
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

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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 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

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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 Jiaqing ("the Applicant") (BFU119)	18 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

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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>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)

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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
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)

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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 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

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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
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

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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
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

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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
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

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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
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

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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
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

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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
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

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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

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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

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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

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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 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

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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
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

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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 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

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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 Yicheng ("the Applicant") (BNI544)	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
LIANG Yue ("the Applicant") (BIL738)	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

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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
SU Zijian ("the Applicant") (BNV821)	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
CHEN Han ("the Applicant") (BGK953)	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

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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 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

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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 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

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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>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 : 29 September 2023

Name of the applicant (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)
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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
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

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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
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)

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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
YU Ziyi ("the Applicant") (BFX990)	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
YAN Jie ("the Applicant") (BJC920)	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)

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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
YIN Hang ("the Applicant") (BKX400)	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
YANG Rui ("the Applicant") (BKS167)	5 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 activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:</p> <p>(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
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

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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
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

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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
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

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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 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

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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

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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
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

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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
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

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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

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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

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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

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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

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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

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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 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

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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
LING Qian ("the Applicant") (BNQ548)	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
WANG Jue ("the Applicant") (BIS260)	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

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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
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

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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 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>	

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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 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

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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
YING Jianjia ("the Applicant") (BII932)	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>"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 Kwok Kit, Donald ("the Applicant") (ALF251)	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>"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
CHEN Han ("the Applicant") (BIK403)	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

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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 Yuzhe ("the Applicant") (BNU269)	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
CHU Yat Pang, Terry ("the Applicant") (AFS636)	27 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 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."	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
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

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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 Ho Ming ("the Applicant") (BCQ328)	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>"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
Prime China Investments and Advisory Limited ("the Applicant") (BOE729)	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 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
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

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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

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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

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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

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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>	

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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
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

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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>	
<p>WEN Qiang ("the Applicant")</p> <p>(BOR190)</p>	<p>10 June 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 carry out the regulated activity(ies) in Hong Kong for more than 30 days 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>Nil</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
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

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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 Zhaowen ("the Applicant") (BPJ850)	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

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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

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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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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
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

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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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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
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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Name of the applicant (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 Dai ("the Applicant") (BRF109)	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
ZHUO Qianren ("the Applicant") (BRA888)	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

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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 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

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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
FU Bin ("the Applicant") (BPD575)	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
CHEN Xue ("the Applicant") (BCU613)	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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Name of the applicant (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	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 Yue ("the Applicant") (BPL702)	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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Name of the applicant (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

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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

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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
SUN Kin Kong, James ("the Applicant") (AFT382)	5 July 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
KAO Cheng Yung ("the Applicant") (AUW023)	6 July 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

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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 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

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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

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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

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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 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)

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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
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

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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
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

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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
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

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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
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

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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

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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
Avenue Investment Management Limited ("the Applicant") (BOD498)	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 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>	Nil
WU Yutong ("the Applicant") (BQZ909)	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>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days 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
ZHANG Tianye ("the Applicant") (BQY963)	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>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days 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
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

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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 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

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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

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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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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
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

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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

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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 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

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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
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

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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
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

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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
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

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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 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

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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 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

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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 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

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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
HSIAO Roy ("the Applicant") (BCD423)	31 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
WANG Yue ("the Applicant") (APF190)	1 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 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
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

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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
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

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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 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:</p> <p>(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
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 : 29 September 2023

Name of the applicant (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	<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
TAN Hui Yeng ("the Applicant") (BCP982)	10 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

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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 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)

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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 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

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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

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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
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

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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
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

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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

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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

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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

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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	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
Goldlink Capital (Corporate Finance) Limited ("the Applicant") (BJV693)	6 October 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

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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
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

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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
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

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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 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

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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
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

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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 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

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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 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

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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 Yau Pong ("the Applicant") (ACZ528)	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 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
BERNSTEIN Steven A ("the Applicant") (AUQ299)	15 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

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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 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

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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 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

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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
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

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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

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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
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

Last Update : 29 September 2023

Name of the applicant (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)

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
			(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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Name of the applicant (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

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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

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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

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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	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 Heran ("the Applicant") (BRA093)	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 Geng ("the Applicant") (BHD851)	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

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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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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
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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Name of the applicant (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

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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 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

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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
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

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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
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

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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
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

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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 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

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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 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>	

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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
YUEN Darren Lok San ("the Applicant") (AFQ635)	23 November 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 provide discretionary account services to clients."</p>	Nil
LIU Yi ("the Applicant") (AQO338)	24 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 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
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

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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
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:</p> <p>(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
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

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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 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

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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
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

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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
			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

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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
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

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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
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)
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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 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)
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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
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

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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
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

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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
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

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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
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)
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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 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

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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
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)
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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 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

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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
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: (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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Name of the applicant (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

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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
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

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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
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

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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 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

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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
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

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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
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

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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
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

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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
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

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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
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

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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>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>

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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 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

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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
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

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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
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

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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 Wing Yin, Wendy ("the Applicant") (ANE330)	8 February 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 Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."</p>	Nil
TSAI Yeung ("the Applicant") (ATS683)	10 February 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 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
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 : 29 September 2023

Name of the applicant (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 : 29 September 2023

Name of the applicant (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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Name of the applicant (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)

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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
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

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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>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)
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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
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 : 29 September 2023

Name of the applicant (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)

On or after 1 January 2021

Last Update : 29 September 2023

Name of the applicant (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)

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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
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

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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
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 : 29 September 2023

Name of the applicant (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	<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
WANG Yue ("the Applicant") (BEO127)	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>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days 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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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
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

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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
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

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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
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

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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 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

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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 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

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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
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

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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
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

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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
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

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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
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

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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 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

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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 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)
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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
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

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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
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

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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 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)
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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 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

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On or after 1 January 2021

Last Update : 29 September 2023

Name of the applicant (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)

On or after 1 January 2021

Last Update : 29 September 2023

Name of the applicant (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)

On or after 1 January 2021

Last Update : 29 September 2023

Name of the applicant (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

Last Update : 29 September 2023

Name of the applicant (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

Last Update : 29 September 2023

Name of the applicant (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)
On or after 1 January 2021

Last Update : 29 September 2023

Name of the applicant (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

Last Update : 29 September 2023

Name of the applicant (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

Last Update : 29 September 2023

Name of the applicant (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 : 29 September 2023

Name of the applicant (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>Huafu International Finance Limited ("the Applicant")</p> <p>(BQC240)</p>	<p>12 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>"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>	<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 : 29 September 2023

Name of the applicant (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 : 29 September 2023

Name of the applicant (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 : 29 September 2023

Name of the applicant (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)
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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 Li ("the Applicant") (BAR460)	13 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 carry out the regulated activity(ies) in Hong Kong for more than 30 days 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 Xiaohua ("the Applicant") (BAM436)	13 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)

On or after 1 January 2021

Last Update : 29 September 2023

Name of the applicant (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 : 29 September 2023

Name of the applicant (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 : 29 September 2023

Name of the applicant (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 : 29 September 2023

Name of the applicant (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

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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
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

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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
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 : 29 September 2023

Name of the applicant (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

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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
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

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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
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

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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 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

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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
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

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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

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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 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

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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)

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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

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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

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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	<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
Emmanuel Investments Managers Company Limited ("the Applicant") (BIC696)	10 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 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

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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 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

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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
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

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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
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

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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
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

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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
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

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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 Charlie Cong ("the Applicant") (BOG407)	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
SHI Chang ("the Applicant") (BRQ660)	23 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
JIAO Shan ("the Applicant") (BRQ187)	23 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

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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 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

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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 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

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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
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

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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
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

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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

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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

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FTAG Financial Limited ("The Applicant") (BNO308)	6 July 2022	Valid until amendment or revocation	Waived the following conditions 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
Principal Asset Management Company (Asia) Limited ("the Applicant") (AFA235)	11 July 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 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

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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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Last Update : 29 September 2023

Name of the applicant (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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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
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

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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
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

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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 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

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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 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

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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 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

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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 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

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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
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

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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
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: (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

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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
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:</p> <p>(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
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

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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
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

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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 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

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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 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

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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 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

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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
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

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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
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

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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>Seeds International Asset Management Limited ("the Applicant")</p> <p>(BNZ010)</p>	<p>22 August 2022</p>	<p>Valid until amendment or revocation</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 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>	<p>Nil</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
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: (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

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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 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

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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
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

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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 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

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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
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

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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 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

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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
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

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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
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

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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 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

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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 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

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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
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

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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 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

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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 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

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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 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

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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
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:</p> <p>(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
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:</p> <p>(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
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

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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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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
MARTIN Charlotte Delphine Cindy ("the Applicant") (BGE260)	20 October 2022	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
XU Dan ("the Applicant") (BJC231)	21 October 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

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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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Name of the applicant (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 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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Name of the applicant (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 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

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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
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

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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 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

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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
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

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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 Jia (the "Applicant") (BBH324)	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
SHI Dai (the "Applicant") (BEQ696)	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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Name of the applicant (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	<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
LIU Jiangyue (the "Applicant") (BEZ909)	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

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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
GAO Shu (the "Applicant") (AWQ627)	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
LIANG Jin (the "Applicant") (BEW537)	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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Name of the applicant (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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Name of the applicant (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

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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

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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 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

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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 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

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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

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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	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
NIE Xuan ("the Applicant") (BRK324)	15 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
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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Name of the applicant (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

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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	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 Yuting ("the Applicant") (BNQ425)	2 December 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

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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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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
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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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
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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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
SCOLAR Christopher ("the Applicant") (BJH133)	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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Name of the applicant (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 Zhengyi ("the Applicant") (APJ994)	13 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 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
LAM Yuen Hei ("the Applicant") (AXF651)	14 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: (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
CHAN Wing Shing, Wilson ("the Applicant") (AFA800)	15 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
TSANG Michael ("the Applicant") (ADX573)	16 December 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

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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 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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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

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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 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

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			<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>	

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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
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

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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 Kwok Wai ("the Applicant") (ALG542)	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 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
SONG Sijia ("the Applicant") (BIY897)	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
BAI Yun ("the Applicant") (BNC036)	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

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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
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

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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 Yingying ("the Applicant") (BRK327)	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
FU Dongyang ("the Applicant") (BSB858)	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
JIANG Fan ("the Applicant") (BSS227)	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

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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
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:</p> <p>(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
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

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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
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

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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
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

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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 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

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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
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

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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

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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 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: (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

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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

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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	<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
LENTCHNER Jesse Hart ("the Applicant") (ADS586)	27 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
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:</p> <p>(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> <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
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

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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 Wai Ching ("the Applicant") (ALS556)	1 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
Mercer Investments (HK) Limited ("the Applicant") (ALR969)	2 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 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
SHI Kaiyuan ("the Applicant") (BRR370)	2 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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Name of the applicant (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

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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
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 : 29 September 2023

Name of the applicant (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 : 29 September 2023

Name of the applicant (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

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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
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

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On or after 1 January 2021

Last Update : 29 September 2023

Name of the applicant (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	<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 Jun ("the Applicant") (AFN536)	16 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

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

Last Update : 29 September 2023

Name of the applicant (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 : 29 September 2023

Name of the applicant (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

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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 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: (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>	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 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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Name of the applicant (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

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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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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
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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Name of the applicant (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 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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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
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

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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 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

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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>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

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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 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

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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

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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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Name of the applicant (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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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
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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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
YI Xin ("the Applicant") (BRP651)	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 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."	LR1
ZHANG Junhan ("the Applicant") (BRJ505)	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 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."	LR1

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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
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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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
EMBREE Colin Ashley ("the Applicant") (BEH950)	6 April 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
KRKALO Hrvoje ("the Applicant") (AJO212)	11 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

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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 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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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
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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Name of the applicant (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 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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Name of the applicant (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 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

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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 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

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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 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

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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
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

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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
VALIENTE Maria Nancy ("the Applicant") (ACB486)	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
POON Cho Fai ("the Applicant") (ADH524)	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

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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

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On or after 1 January 2021

Last Update : 29 September 2023

Name of the applicant (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

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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
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

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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
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

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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
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

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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
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)

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Last Update : 29 September 2023

Name of the applicant (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

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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 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

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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
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

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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 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

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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

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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 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>	

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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 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: (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

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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 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

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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

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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

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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

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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
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

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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
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

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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 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

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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 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

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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
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

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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
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

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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
NG Siu Wai ("the Applicant") (AYD102)	2 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
TROUBLAIEWITCH Rachel ("the Applicant") (BOF677)	7 June 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
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

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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
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

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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
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

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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

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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

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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

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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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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
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

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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
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

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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
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

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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
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

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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
MAO Xinyu ("the Applicant") (BKU176)	24 July 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
WANG Dayong ("the Applicant") (BDN294)	26 July 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
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

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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 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

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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
OSL Digital Securities Limited ("the Applicant") (BPJ213)	3 August 2023	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "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." to:- "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."	Nil
SHAO Jiajun ("the Applicant") (BRW085)	4 August 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
Ahead Asset Management Limited ("the Applicant") (BSF946)	8 August 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
OnePlatform Asset Management Limited ("the Applicant") (AFQ784)	10 August 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 stock broking activities except that the licensee may deal in stock as an introducing broker where the licensee may introduce its clients to an exchange participant which may trade on a recognized stock market, in order that such clients may (i) effect dealings in stock or (ii) make offers to deal in stock. The terms "recognized stock market" and "exchange participant" are as defined in the Securities and Futures Ordinance."	Nil

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Last Update : 29 September 2023

Name of the applicant (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 Xiaochen ("the Applicant") (BPB356)	11 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 shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days 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: (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

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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
			<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> <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>	

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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 Cheuk Yee, Helen ("the Applicant") (ANA705)	14 August 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
AA Investment Management Limited ("the Applicant") (BQF712)	15 August 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
Eddid Securities and Futures Limited ("the Applicant") (BHT550)	15 August 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. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation."	Nil

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Last Update : 29 September 2023

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
DILLARD Brian Wesley ("the Applicant") (BOF093)	16 August 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
Shouhe Limited ("the Applicant") (BRH310)	17 August 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

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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 Kang-hee ("the Applicant") (BOE738)	18 August 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
LUO Xuan ("the Applicant") (BIZ381)	22 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 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

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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
SU Yanni ("the Applicant") (BTT483)	22 August 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
KWOK Hon Pan ("the Applicant") (BDT789)	23 August 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

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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
CHUN Sau Yee ("the Applicant") (AWY508)	18 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 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
TAYLOR Stuart Andrew ("the Applicant") (AWX936)	28 August 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>	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
Alex KY Wong Asset Management Company Limited ("the Applicant") (BOQ821)	29 August 2023	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
Hang Tang International Capital Management Limited ("the Applicant") (BGS817)	30 August 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
TANG Ziyun ("the Applicant") (BTL026)	1 September 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
LAM Houston ("the Applicant") (AWT986)	1 September 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
CHEN Bowen ("the Applicant") (BQN646)	5 September 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
LGT Investment Management (Asia) Limited ("the Applicant") (AAC801)	7 September 2023	Valid until amendment or revocation	<p>The Commission granted a modification of the condition as prescribed under section 4(2)(a)(ii) of the Securities and Futures (Leveraged Foreign Exchange Trading – Exemption) Rules in the case of the Company.</p> <p>Reason for the revocation</p> <p>The Commission has revoked the above modification as the Company no longer requires the above modification.</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
SINHA Neel ("the Applicant") (APC653)	11 September 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 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>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days 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
SHIM Jongmin ("the Applicant") (BTK706)	11 September 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 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>"The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days 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
BARWICK Richard John ("the Applicant") (ART684)	11 September 2023	Valid until amendment or revocation	Modified 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." to: - "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days 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
NIU Chenhui ("the Applicant") (BTK607)	11 September 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
HO Wai Ling ("the Applicant") (BPN701)	13 September 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
CHEUNG Kwok Wing, Barry ("the Applicant") (ABM132)	12 September 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

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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 Fei ("the Applicant") (AYR984)	14 September 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
GAO Fei ("the Applicant") (BJZ288)	14 September 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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Name of the applicant (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 Yu ("the Applicant") (BOR982)	14 September 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
MG Wealth Management Limited ("the Applicant") (BHO336)	18 September 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
WANG Jiajun ("the Applicant") (BOS376)	19 September 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
LI Bo ("the Applicant") (BTC160)	19 September 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

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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 Chun Ho ("the Applicant") (AFL137)	20 September 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
ZHANG Minghua ("the Applicant") (ASP315)	22 September 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

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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
HUDSON Noah John ("the Applicant") (AVV666)	22 September 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
ZH Securities Limited ("the Applicant") (BOW474)	26 September 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 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

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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
CHAUDHRY Anoop ("the Applicant") (AGN971)	28 September 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
Hong Kong International Capital Management Limited ("the Applicant") (ABT748)	28 September 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