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

Last Update : 2 October 2026

Name of the applicant (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	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Last Update : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
MORI Masashi (“the Applicant”) (BMN428)	6 January 2021	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." to:- "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 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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
TSANG Man Shun (“the Applicant”) (AFS253)	7 January 2021	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 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." "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
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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Name of the applicant (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 Ming Kiu, John ("the Applicant") (AEK216)	13 January 2021	Valid until amendment or revocation	Waived the following conditions which were 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." "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
TTB Partners Limited ("the Applicant") (BJE870)	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

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Name of the applicant (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)	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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Name of the applicant (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 Man Yu (“the Applicant”) (ADV638)	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
LIU Xiaodong (“the Applicant”) (BPC299)	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

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Name of the applicant (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 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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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
Wonderland International Asset Management Limited ("the Applicant") (BGP105)	20 January 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
WONG Kin Fung (“the Applicant”) (BIN571)	22 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
XU Kuo (“the Applicant”) (BNX682)	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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Name of the applicant (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 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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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
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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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
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 Janaury 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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Excelerate Fund Management Limited ("the Applicant") (BJP857)	27 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 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
LEUNG Chi Wai ("the Applicant") (ACB019)	28 January 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
AI Yuanyuan (“the Applicant”) (APK575)	28 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
YE Xin (“the Applicant”) (BEP116)	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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QI Fei (“the Applicant”) (BCU239)	29 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
YE Wangzhen (“the Applicant”) (BMS461)	29 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
LI Xiang (“the Applicant”) (BFX734)	29 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil

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

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

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

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Name of the applicant (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 Chi Man (“the Applicant”) (BFS288)	2 February 2021	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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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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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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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	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Shirong (“the Applicant”) (AVI743)	8 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

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Name of the applicant (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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Last Update : 2 October 2026

Name of the applicant (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
			"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."	

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
			"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." 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."	

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Name of the applicant (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	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." "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."	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
			"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." 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."	

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Name of the applicant (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	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
Centaline Wealth Management Limited ("the Applicant") (AJF358)	5 February 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
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	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 Repurchases 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 the condition.	Nil
CHENG Wang Ming ("the Applicant") (AXA014)	11 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 the 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
YEN Chanan ("the Applicant") (ARM750)	11 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 the 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
XIAO Yuan (“the Applicant”) (AZB291)	22 February 2021	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 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." "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
TING Zaixiong Shaun (“the Applicant”) (BOK227)	1 March 2021	Valid until amendment or revocation	Modified 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." to:- "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

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

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

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

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Name of the applicant (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	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
LUI Kin Wai (“the Applicant”) (ANM045)	10 March 2021	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 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
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	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
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 Jiaxi (“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

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Name of the applicant (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

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Name of the applicant (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	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

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

Last Update : 2 October 2026

Name of the applicant (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	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

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

Last Update : 2 October 2026

Name of the applicant (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	Modified 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." to: - "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) 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."	Nil

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

Last Update : 2 October 2026

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

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

Last Update : 2 October 2026

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

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

Last Update : 2 October 2026

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

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

Last Update : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
Springs Capital (Hong Kong) Limited ("the Applicant") (AWQ098)	23 March 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 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." "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."	Nil

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

Last Update : 2 October 2026

Name of the applicant (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	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
AccFin Corporate Finance Limited ("the Applicant") (BIV442)	31 March 2021	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: - "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."	Nil

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

Last Update : 2 October 2026

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

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

Last Update : 2 October 2026

Name of the applicant (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	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
Powership Capital Management Limited (“the Applicant”) (BIV461)	1 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 hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."	Nil

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

Last Update : 2 October 2026

Name of the applicant (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	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
CHOW Chun Kit ("the Applicant") (ALI715)	1 April 2021	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (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	Waived the following conditions which were 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" "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
CHAN Suk Chi (“the Applicant”) (AEI844)	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

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

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
JOSEPH Michael Eric (“the Applicant”) (ARH187)	12 April 2021	Valid until amendment or revocation	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." "For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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 Wen-Liang (“the Applicant”) (BHE181)	13 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
CHUNG Francis Chuan-pu (“the Applicant”) (AEU334)	13 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

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
AN Liyan (“the Applicant”) (AHS161)	14 April 2021	Valid until amendment or revocation	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

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
CHEUNG Kam Ping (“the Applicant”) (AEX966)	20 April 2021	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (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	Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: - "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
LIU Yicheng (“the Applicant”) (BNI544)	23 April 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
LIANG Yue (“the Applicant”) (BIL738)	23 April 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil

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

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
Solomon Capital Management Limited ("the Applicant") (BOF835)	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 hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance." 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 provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (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	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
MA Hoi Wai (“the Applicant”) (ADS048)	27 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

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Name of the applicant (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

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Name of the applicant (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

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Name of the applicant (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

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

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Name of the applicant (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

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Name of the applicant (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	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
HUI Wai Yan, Kelly (“the Applicant”) (APZ793)	6 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 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
TAN Zi Lin, Vera (“the Applicant”) (ANH747)	7 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
KUNGSEN David Sinyuan ("the Applicant") (BDI064)	10 May 2021	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
YEUNG Sau Hing (“the Applicant”) (ALV262)	10 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
Silk Road International Capital Limited (“the Applicant”) (AEG139)	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

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Name of the applicant (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	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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Name of the applicant (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	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 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
			"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."	
QIAO Xiaowei ("the Applicant") (BGQ506)	21 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil

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

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Name of the applicant (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
			to: - "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."	

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

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

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Name of the applicant (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	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
YEUNG Ham (“the Applicant”) (ANU667)	8 June 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
CHENG Man Kwong (“the Applicant”) (AXL920)	9 June 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
LUI Man Wah (“the Applicant”) (AQA809)	10 June 2021	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 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
			"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 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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
AGARWAL Vishal (“the Applicant”) (BOB456)	10 June 2021	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." to:- "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) 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."	Nil

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

Last Update : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			"This licence, in relation to Type 2 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) 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."	
WEN Qiang ("the Applicant") (BOR190)	10 June 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil

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

Last Update : 2 October 2026

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

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

Last Update : 2 October 2026

Name of the applicant (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

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

Last Update : 2 October 2026

Name of the applicant (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	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." “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
WANG Lei (“the Applicant”) (ATV187)	23 June 2021	Valid until amendment or revocation	Waived the following conditions which were 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." "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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

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Name of the applicant (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

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

Last Update : 2 October 2026

Name of the applicant (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	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee: (1) shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year; and (2) shall not provide related services to any person other than a professional investor unless the licensee is accompanied at all times by a licensed person in performing the regulated activity(ies) in Hong Kong. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules."	Nil

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

Last Update : 2 October 2026

Name of the applicant (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

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

Last Update : 2 October 2026

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

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Name of the applicant (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

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

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (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	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
ZHENG Joanne Xisheng ("the Applicant") (BFY842)	8 July 2021	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
Alpha Wealth Management Limited ("the Applicant") (ANR899)	14 July 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."	Nil
WONG Kwok King ("the Applicant") (AFC358)	14 July 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."	Nil
L.V. Continuum & Co Limited ("the Applicant") (BPF355)	15 July 2021	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "The licensee shall only provide services to institutional professional investors. The term "institutional professional investor" is specified under paragraph 15.2 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission." to: - "The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation."	Nil

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Name of the applicant (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	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
PANG Andrew Chee On (“the Applicant”) (BGR455)	21 July 2021	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
Susquehanna Hong Kong Limited (“the Applicant”) (ARM224)	22 July 2021	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "The licensee shall only carry out regulated activity on its own account and on behalf of its group affiliates." to: - "The licensee shall only provide services to professional investors or group affiliates of the licensee. The term “professional investor” is as defined in the Securities and Futures Ordinance and its subsidiary legislation."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (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	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 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
SBI China Capital Hong Kong Securities Limited (“the Applicant”) (BOJ011)	28 July 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
MAK Chak Hung (“the Applicant”) (AAC295)	2 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
LI Pak Wang, Daniel (“the Applicant”) (APW942)	2 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
Avenue Investment Management Limited ("the Applicant") (BOD498)	2 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: For Type 1 regulated activity, the licensee shall only carry on the business of dealing in collective investment schemes. The terms "collective investment scheme" and "dealing" are as defined under the Securities and Futures Ordinance.	Nil
WU Yutong ("the Applicant") (BQZ909)	3 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
ZHANG Tianye ("the Applicant") (BQY963)	3 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil

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Name of the applicant (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	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
Harmony Advisors Limited (“the Applicant”) (BCM666)	5 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 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
CHEUNG Chi Lok (“the Applicant”) (AWC705)	5 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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 Mei Ni (“the Applicant”) (AGG980)	5 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 activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
LYNCH Fergus Michael (“the Applicant”) (AZT328)	3 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil
LIANG Jun (“the Applicant”) (BIN429)	10 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall 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
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	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
LAW Pui Cheung (“the Applicant”) (BEA069)	19 August 2021	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
CHAN Wing Yau, George (“the Applicant”) (AAC044)	19 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
ZENG Haibo (“the Applicant”) (BAH456)	19 August 2021	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
uSmart Securities Limited ("the Applicant") (BJA907)	20 August 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 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
SHEN Yiming (“the Applicant”) (BLB918)	20 August 2021	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
LEE Pui Shan (“the Applicant”) (AFU414)	24 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil
WONG Sze Ip (“the Applicant”) (AQU491)	24 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 activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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 Kin San, Alfred (“the Applicant”) (APR819)	27 August 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
WANG Yu (“the Applicant”) (BHK872)	27 August 2021	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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
HSIAO Roy (“the Applicant”) (BCD423)	31 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil
WANG Yue ("the Applicant") (APF190)	1 September 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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Name of the applicant (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	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
LIANG Zhengping (“the Applicant”) (BMW182)	3 September 2021	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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

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

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Name of the applicant (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	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 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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 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	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
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	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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

Last Update : 2 October 2026

Name of the applicant (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	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
DENG Yuting (“the Applicant”) (BJU908)	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

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

Last Update : 2 October 2026

Name of the applicant (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

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

Last Update : 2 October 2026

Name of the applicant (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	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Yajing (“the Applicant”) (BRM048)	4 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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Last Update : 2 October 2026

Name of the applicant (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	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 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
ZHANG Yue (“the Applicant”) (BNL473)	7 October 2021	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: “For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition.” “For Type 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.” “For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
WONG Kwong Tung (“the Applicant”) (AXL541)	8 September 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
FONG Wai Lok, Raymond (“the Applicant”) (AFT306)	17 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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Last Update : 2 October 2026

Name of the applicant (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	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
FEI Xiang (“the Applicant”) (AOV610)	8 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

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
CHAN Ming Hang (“the Applicant”) (BJT505)	8 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 activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
PENG Yuyu (“the Applicant”) (ATV436)	8 October 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
WONG Yau Pong (“the Applicant”) (ACZ528)	8 October 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil
BERNSTEIN Steven A (“the Applicant”) (AUQ299)	15 October 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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Name of the applicant (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	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
SHI Yu ("the Applicant") (AOX368)	21 October 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (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	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
GEO Securities Limited (“the Applicant”) (BAI290)	27 October 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

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Name of the applicant (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	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
LAI Tai Yan (“the Applicant”) (BFI937)	2 November 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
E D & F Man Capital Markets Hong Kong Limited (“the Applicant”) (BBD066)	2 November 2021	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: - “For Type 2 regulated activity, the licensee shall not conduct business other than - (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 (b) introducing persons to E D & F Man Capital Markets Limited and E D & F Capital Markets Inc., in order that they may - (i) effect dealings in futures contracts or options contracts; or (ii) make offers to deal in futures contracts or options contracts." to: - “For Type 2 regulated activity, the licensee shall not conduct business other than - (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; (b) introducing persons to E D & F Man Capital Markets Limited and E D & F Capital Markets Inc., in order that they may -	Nil

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Name of the applicant (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

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Name of the applicant (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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Name of the applicant (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	Waived the following conditions which were 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." "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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
LIANG Zhengwei (“the Applicant”) (BOK497)	12 November 2021	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:- "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) 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."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Last Update : 2 October 2026

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

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

Last Update : 2 October 2026

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

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

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

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

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Name of the applicant (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	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 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." "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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

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

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

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

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Name of the applicant (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	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
DROPKIN Martin Baron (“the Applicant”) (BQH284)	30 November 2021	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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
MUI Suet Yee, Phoebe (“the Applicant”) (AGK771)	25 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 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
YANG Jianxin (“the Applicant”) (ASC682)	3 December 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 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." 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

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
JIA Hongrui (“the Applicant”) (BFZ382)	6 December 2021	Valid until amendment or revocation	Waived the following conditions which were imposed on the licences 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." "For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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
			For Type 9 regulated activity (the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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	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 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
HO King Fai (“the Applicant”) (ANV293)	13 December 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
LIU Liang (“the Applicant”) (BBS596)	13 December 2021	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
KU-MARTIN Rina, Man Sai (“the Applicant”) (BNB164)	13 December 2021	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 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
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	Waived the following conditions which were imposed on the licences 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
TANG Yingda (“the Applicant”) (BRV887)	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
LIN Yue (“the Applicant”) (BRH486)	21 December 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
SHEN Yuxing (“the Applicant”) (BRA106)	21 December 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
BAI Guangxin (“the Applicant”) (BQN454)	21 December 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (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	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 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
Avantua Capital Management Limited (“the Applicant”) (BBE598)	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 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
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

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Name of the applicant (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	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
Trenda Corporate Finance Limited (“the Applicant”) (BQB884)	23 December 2021	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: - "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: - "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
NG Kin Kwan (“the Applicant”) (AYT810)	23 December 2021	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: - "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: - "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
WANG Yang (“the Applicant”) (BPM753)	23 December 2021	Valid until amendment or revocation	Waived the following conditions which were imposed on the licences 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
Mighty Divine Investment Management Limited (“the Applicant”) (BCQ145)	23 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 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
SHANG Quanxi (“the Applicant”) (BIQ844)	24 December 2021	Valid until amendment or revocation	Waived the following conditions which were imposed on the licences granted to the Applicant: - "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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

Last Update : 2 October 2026

Name of the applicant (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	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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

Last Update : 2 October 2026

Name of the applicant (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	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." to:- "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) 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."	Nil

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

Last Update : 2 October 2026

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

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

Last Update : 2 October 2026

Name of the applicant (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	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 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

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

Last Update : 2 October 2026

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

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

Last Update : 2 October 2026

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

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

Last Update : 2 October 2026

Name of the applicant (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	Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to:- "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."	Nil

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

Last Update : 2 October 2026

Name of the applicant (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	Waived the following conditions which were 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." "For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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

Last Update : 2 October 2026

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

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

Last Update : 2 October 2026

Name of the applicant (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 Robert Lock Yen (“the Applicant”) (BEQ539)	4 February 2022	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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

Last Update : 2 October 2026

Name of the applicant (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	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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

Last Update : 2 October 2026

Name of the applicant (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") (ATI285)	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") (AAI719)	4 February 2022	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance."	Nil

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

Last Update : 2 October 2026

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

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

Last Update : 2 October 2026

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

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

Last Update : 2 October 2026

Name of the applicant (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	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Kar Fung, Kenneth (“the Applicant”) (APL374)	9 February 2022	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to:- "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."	Nil

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

Last Update : 2 October 2026

Name of the applicant (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	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." ;and "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 : 2 October 2026

Name of the applicant (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	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
LO Marco Man Ho (“the Applicant”) (BHM103)	21 February 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."; and “For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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

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Name of the applicant (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	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

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

Last Update : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
PEDRONO Benoit Vincent Gerard (“the Applicant”) (APY405)	22 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 activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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 : 2 October 2026

Name of the applicant (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	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 30 November 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

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

Last Update : 2 October 2026

Name of the applicant (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	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
FELIX-CASARES Ricardo Javier (“the Applicant”) (BPU098)	1 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 activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
SHUM Kei Yiu, Daniel (“the Applicant”) (ALY610)	3 March 2022	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
HSIEH Fu Chi (the "Applicant") (BKB201)	28 February 2022	Valid until amendment or revocation	Waived the following conditions which were 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."; and "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
LIU Zongjing (“the Applicant”) (BRK388)	1 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

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

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

Last Update : 2 October 2026

Name of the applicant (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	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
LAI Sin Wan, Jenny (“the Applicant”) (ACS303)	9 March 2022	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
ZHANG Ruiyang (“the Applicant”) (BRD876)	9 March 2022	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
Futu Securities International (Hong Kong) Limited ("The Applicant") (AZT137)	10 March 2022	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."	Nil

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

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Name of the applicant (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	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 26 October 2021"	Nil
ZHOU Qiwei (“the Applicant”) (BPN627)	11 March 2022	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (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	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 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: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil
LEUNG Spencer Yu Cheong ("the Applicant") (AML738)	15 March 2022	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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

Last Update : 2 October 2026

Name of the applicant (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	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
XU Chenming (“the Applicant”) (BQB328)	16 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 : 2 October 2026

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

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

Last Update : 2 October 2026

Name of the applicant (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	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
EG Management Limited (“the Applicant”) (BOL775)	22 March 2022	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."	Nil

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

Last Update : 2 October 2026

Name of the applicant (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	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 introducing persons to other intermediaries, in order that they may: (i) effect dealings in securities; or (ii) make offers to deal in securities." to:- "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."	Nil
Zhong Yang Capital Limited (“the Applicant”) (BLG119)	22 March 2022	Valid until amendment or revocation	Waived the following condition which were imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."	Nil

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

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Name of the applicant (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	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
JIANG Jun (“the Applicant”) (AQI866)	28 March 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
YANG Peng (“the Applicant”) (AUG860)	28 March 2022	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: - "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."	Nil

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

Last Update : 2 October 2026

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

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

Last Update : 2 October 2026

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

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

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

Last Update : 2 October 2026

Name of the applicant (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	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Yuanyuan (“the Applicant”) (BQT572)	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

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
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

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Name of the applicant (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

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Name of the applicant (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	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
RuiLian Financial Group Company Limited (“the Applicant”) (BIK036)	6 April 2022	Valid until amendment or revocation	Modified the following conditions which were 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." and "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."	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
			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)."	

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 Derek Leigh ("the Applicant") (AOD515)	7 April 2022	Valid until amendment or revocation	Waived the following condition which were 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
HESSE Jakob Fabian (“the Applicant”) (AYC692)	8 April 2022	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

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
CHAN Micky Conita ("the Applicant") (BJH452)	11 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 activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
Wingate Asset Management Limited ("the Applicant") (BHD398)	11 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 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."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Last Update : 2 October 2026

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

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
CHAU Choi Lam (“the Applicant”) (ARJ516)	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

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
SAM CHANG Segundo Willy (“the Applicant”) (AHE451)	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

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
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

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Name of the applicant (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)
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Name of the applicant (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	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
Wellington Management Hong Kong Limited ("the Applicant") (AJB478)	20 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: "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)." "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." "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

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 Chi Ho (the "Applicant") (AJD618)	21 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
TOLEDANO Roy ("the Applicant") (AXY961)	22 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
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)
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Name of the applicant (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

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Name of the applicant (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

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Name of the applicant (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

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Name of the applicant (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	Waived the following conditions which were 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." "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." "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."	Nil
Fides Capital Group Limited ("the Applicant") (BPY497)	23 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

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Name of the applicant (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	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
Lazard Asia (Hong Kong) Limited (“the Applicant”) (AAG627)	26 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 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
LIN Xiangli (“the Applicant”) (BJP018)	24 May 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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
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

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Name of the applicant (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	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 Jiangfan (“the Applicant”) (BKW230)	6 June 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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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 Chaoze (“the Applicant”) (BEM208)	6 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
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	Waived the following conditions 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." "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." "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."	Nil
GONG Li ("the Applicant") (BHV427)	8 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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MANGARAJ Sambit ("the Applicant") (ANR871)	9 June 2022	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil
Emmanuel Investments Managers Company Limited (“the Applicant”) (BIC696)	10 June 2022	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."	Nil

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Name of the applicant (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	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
CHUA Sui Yee ("the Applicant") (BBA488)	10 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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
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	Waived the following conditions which were 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." "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
WILLIS Benjamin Adam (“the Applicant”) (BEV552)	17 June 2022	Valid until amendment or revocation	Waived the following conditions which were 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." "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
SOO Sk Sean (“the Applicant”) (AFD468)	17 June 2022	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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

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Name of the applicant (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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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	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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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 : 2 October 2026

Name of the applicant (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	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
LACOURTE Amaury, Athanase, Dominique-Marie (the "Applicant") (ATG721)	6 July 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 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
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

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
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	Waived the following conditiona 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 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
QUAH Hock Teong Dennis (“the Applicant”) (BID354)	21 July 2022	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong. to "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
Goldhorse Capital Management (HK) Limited ("the Applicant") (BDR769)	25 July 2022	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:- (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." to: - "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."	Nil

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Name of the applicant (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	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
CHENG Kang (“the Applicant”) (BOH183)	26 July 2022	Valid until amendment or revocation	Waived the following conditions which were 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." "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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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 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	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
CHOW Ka Keung (“the Applicant”) (ACZ377)	29 July 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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
FU Shiwei ("the Applicant") (BFS397)	1 August 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
XIANG Xi (“the Applicant”) (BAP836)	1 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
MOK Kon Lim (“the Applicant”) (ABS236)	2 August 2022	Valid until amendment or revocation	Waived the following conditions which were 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." "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
LAI Wai Nam (“the Applicant”) (BNY633)	8 August 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
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	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
MARSH-JR Alan Reid (“the Applicant”) (BEL251)	11 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 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." to: - "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
Oak Hill Advisors (Hong Kong) Limited ("the Applicant") (BEO444)	12 August 2022	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall only carry on the business of dealing in collective investment schemes managed by its group of companies. The terms "collective investment scheme", "dealing" and "group of companies" are as defined under the Securities and Futures Ordinance."	Nil
Sun Hung Kai Capital Partners Limited ("the Applicant") (BQL519)	12 August 2022	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."	Nil
MAK Ho Leung ("the Applicant") (BNQ526)	15 August 2022	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."	Nil

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

Last Update : 2 October 2026

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

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
Seeds International Asset Management Limited (“the Applicant”) (BNZ010)	22 August 2022	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation." to:- "For Type 9 regulated activity, the licensee shall only carry on a business in the management of: (a) discretionary accounts; and (b) collective investment schemes that are offered to professional investors only. The terms “collective investment scheme” and “professional investor” are defined under the Securities and Futures Ordinance and its subsidiary legislation (where applicable)."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (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	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." "For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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 Siu Wah (“the Applicant”) (AGC128)	12 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
LEUNG Wing Shing (“the Applicant”) (AEQ444)	26 August 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
Silverbricks Securities Company Limited ("the Applicant") (BLN458)	30 August 2022	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to:- "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."	Nil
CHAN Wai Fung (“the Applicant”) (ARB852)	30 August 2022	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to:- "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (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	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Last Update : 2 October 2026

Name of the applicant (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	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
XU Liu (“the Applicant”) (BRQ808)	31 August 2022	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (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	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
Greater China Capital Limited ("the Applicant") (ABG072)	2 September 2022	Valid until amendment or revocation	Waived the following conditions which were 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." "For Type 9 regulated activity, the licensee shall not provide a service of managing a portfolio of futures contracts for another person."	Nil

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Name of the applicant (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	Waived the following condition which was imposed on the licence granted to the Applicant: "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." Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to:- "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
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	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
HUANG Hongyan (“the Applicant”) (BCQ552)	9 September 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

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Name of the applicant (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	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
Anli Asset Management Limited (“the Applicant”) (AEL743)	14 September 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

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Name of the applicant (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	Waived the following condition which was imposed on the licence granted to the Applicant: "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: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil
LI Jianyang (“the Applicant”) (AWS028)	15 September 2022	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (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	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
SCHANTZ Andrew Robertson (“the Applicant”) (AQY133)	23 September 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
ZHANG Yu (“the Applicant”) (BMM427)	29 September 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
CHAN Tsz Kit (“the Applicant”) (BEI582)	29 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

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Name of the applicant (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	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
CHIU Chun Lung (“the Applicant”) (BHX544)	7 October 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
XU Guobin (“the Applicant”) (BNP647)	13 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
YE Qing (“the Applicant”) (BHR576)	19 October 2022	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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Name of the applicant (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	Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: - "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."	Nil
LIU Jiangyue (the “Applicant”) (BEZ909)	1 November 2022	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: - "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."	Nil

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Name of the applicant (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	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
WU Jianfeng ("the Applicant") (BAA705)	2 November 2022	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil
WANG Yu (“the Applicant”) (BIR339)	2 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
DU Yiping (“the Applicant”) (BOA881)	3 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
CHAN Hon Shui Leo (“the Applicant”) (APG915)	3 November 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
MA Cuifang (“the Applicant”) (BHP401)	4 November 2022	Valid until amendment or revocation	Waived the following conditions which were 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
LI Zhengxian (“the Applicant”) (BAK269)	7 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
ZHOU Fei ("the Applicant") (BEM286)	8 November 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
DU Qing (“the Applicant”) (AMT911)	9 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

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Name of the applicant (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	Modified 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." 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
CHEUNG Ka Yin, Catherine (“the Applicant”) (AJC823)	9 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
WU Tingting (“the Applicant”) (AYQ131)	4 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

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Name of the applicant (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	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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
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	Waived the following conditions which were 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." and "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
HUI Yik Bun (“the Applicant”) (AEF109)	21 November 2022	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "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: (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
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	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
HAN Zhen (“the Applicant”) (BQS919)	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
HAN Jichuan (“the Applicant”) (BRH485)	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
LUO Jing (“the Applicant”) (BSG406)	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
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	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
GHANI Tanvir Shahriar ("the Applicant") (ANT230)	30 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

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Name of the applicant (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	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
TSOI Chin Pang (“the Applicant”) (AUB775)	8 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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Opus Capital Limited (“the Applicant”) (BCU710)	12 December 2022	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 - (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." to "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
BOND Jonathan Simon (“the Applicant”) (BJF053)	13 December 2022	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
SCOULAR Christopher (“the Applicant”) (BJH133)	13 December 2022	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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

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

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Name of the applicant (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 Xiaofang (“the Applicant”) (BNR541)	20 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
CHEUNG Wing On, Rickey (“the Applicant”) (AJE323)	22 December 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

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OSL Digital Securities Limited ("the Applicant") (BPJ213)	22 December 2022	Valid until amendment or revocation	The following licensing condition was imposed on the licence granted to the Applicant: "The licensee must comply with the attached "Terms and Conditions for Virtual Asset Trading Platform Operators" (as amended from time to time)." Modified paragraph 4.8 of the "Terms and Conditions for Virtual Asset Trading Platform Operators" from: "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." to: "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" Modified paragraph 10.2 of the "Terms and Conditions for Virtual Asset Trading Platform	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			Operators" from: "A Platform Operator should not engage in proprietary trading. For the purpose of this paragraph, “proprietary trading” refers to trading activities conducted for: (a) the account of the Platform Operator, trading as principal; (b) the account of any user which is a company within the same group of companies as the Platform Operator, trading as principal; or (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." to: "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: (a) the account of the Platform Operator, trading as principal; (b) the account of any user which is a company within the same group of companies as the Platform Operator, trading as principal; or (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."	

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
WONG Tracy Po-yi (“the Applicant”) (BCA264)	28 December 2022	Valid until amendment or revocation	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
CAO Yiqi (“the Applicant”) (BSI519)	28 December 2022	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." "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."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Last Update : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			"This licence, in relation to Type 6 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." 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."	

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Last Update : 2 October 2026

Name of the applicant (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	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil
LEUNG Ho Ming (“the Applicant”) (AJH302)	29 December 2022	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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

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Last Update : 2 October 2026

Name of the applicant (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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Last Update : 2 October 2026

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

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Name of the applicant (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	Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Mei Kuen, Vivian (“the Applicant”) (AEK109)	22 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
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	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
Orient Securities Limited (“the Applicant”) (AFP038)	3 January 2023	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity, the 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
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	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." "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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer,	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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	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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
CHUNG Chang Won (“the Applicant”) (APO123)	20 January 2023	Valid until amendment or revocation	Modified 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." to:- "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."	Nil

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

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
LO Ting Hei (“the Applicant”) (BQL232)	30 January 2023	Valid until amendment or revocation	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
CHIU Cheuk Man (“the Applicant”) (ASS493)	31 January 2023	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 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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
SUNG Ting Yee (“the Applicant”) (AUW414)	31 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 activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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 Xiaoxi ("the Applicant") (BGH408)	1 February 2023	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." "For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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

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Name of the applicant (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	Waived the following conditions which were imposed on the licence granted to the Applicant: "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." "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			"This licence, in relation to Type 6 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." "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."	

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
LAM 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	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
CHEN Yi (“the Applicant”) (ANM687)	14 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

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Last Update : 2 October 2026

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

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Name of the applicant (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	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

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Name of the applicant (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	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
HU Tao (“the Applicant”) (BIC655)	22 February 2023	Valid until amendment or revocation	Waived the following conditions which were 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." "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
WANG Haowei (“the Applicant”) (BMR381)	22 February 2023	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
MA Yan (“the Applicant”) (BST413)	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

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Name of the applicant (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	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
SCHER Mark Evan (“the Applicant”) (BHR653)	27 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
SCHER Ashley Jo (“the Applicant”) (BHR659)	27 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
CAI Linzhi (“the Applicant”) (BHH998)	2 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
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	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
CHAN Wai Yu ("the Applicant") (BHH219)	3 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 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
LAI Sze Yau Vivien (“the Applicant”) (BEZ139)	7 March 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
Ngai Ho Wai, Christopher (“the Applicant”) (BFY250)	9 March 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
LAI Chun Leung, Barton (“the Applicant”) (ARF922)	9 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 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
FUNG Man Heng (“the Applicant”) (BDN973)	10 March 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
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	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
WANG Vanessa (“the Applicant”) (BIS581)	17 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 activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
XI Xuanhua (“the Applicant”) (AHX572)	17 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
Macquarie Markets Trading Limited (“the Applicant”) (BPU280)	20 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
Guo Jie Investment Holdings Limited (the “Applicant”) (BSA416)	27 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

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Name of the applicant (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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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	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
KWOK Shun Tim (“the Applicant”) (AJG509)	4 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
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	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
LIANG Sihai (“the Applicant”) (BMQ165)	19 April 2023	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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LIM Tak Hung (“the Applicant”) (AXP028)	19 April 2023	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 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." “For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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 Yujie (“the Applicant”) (BNZ883)	19 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
WU Yen Sheng (“the Applicant”) (BMG512)	20 April 2023	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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Name of the applicant (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	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
SIT Kwan Kit (“the Applicant”) (AZQ787)	24 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
SONG Yang (“the Applicant”) (BTB620)	26 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
XCap Partners Limited (“the Applicant”) (BOP567)	26 April 2023	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to:- "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."	Nil

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

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
SATO Hiromi (“the Applicant”) (ANS087)	27 April 2023	Valid until amendment or revocation	Waived the following conditions which were 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." "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
CHEN Weicheng (“the Applicant”) (BHA091)	2 May 2023	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 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
CAO Yiqi (“the Applicant”) (BSI519)	3 May 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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TSAO Raymond W (“the Applicant”) (BPI438)	8 May 2023	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
WANG Jiayu (“the Applicant”) (BFO084)	8 May 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
TSE Kevin Ka Bun (“the Applicant”) (AJE849)	8 May 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
TSANG Yim Fan, Josephine (“the Applicant”) (AGY049)	8 May 2023	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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

Last Update : 2 October 2026

Name of the applicant (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	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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Last Update : 2 October 2026

Name of the applicant (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	Modified 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." to: - “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.”	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
			"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) 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." "This licence, in relation to Type 6 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."	
SDHG International Asset Management Limited ("the Applicant") (ARI207)	17 May 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

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Last Update : 2 October 2026

Name of the applicant (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	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
TSUI Suk Yan (“the Applicant”) (BJY226)	18 May 2023	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: “For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition.”	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (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	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 not provide related services to any person other than a professional investor. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules."	Nil

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

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
CHUNG Yong Ho (“the Applicant”) (AQI680)	19 May 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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 not provide related services to any person other than a professional investor. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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 Huan (“the Applicant”) (BSJ167)	19 May 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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." to: - "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)
On or after 1 January 2021

Last Update : 2 October 2026

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

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 Jiale (“the Applicant”) (BSF844)	22 May 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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." to: - "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

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			"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."	
KU Sanqi ("the Applicant") (AZC762)	23 May 2023	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (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	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
Brocade River Merchants Capital Limited (“the Applicant”) (BNR589)	29 May 2023	Valid until amendment or revocation	Waived the following conditions which were 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.” "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 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)
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Name of the applicant (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	Waived the following condition which was imposed on the licence granted to the Applicant: “For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition.”	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
CHEUNG Hoi Wa, Howard (“the Applicant”) (BNY336)	30 May 2023	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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
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	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
BARWICK Richard John (“the Applicant”) (ART684)	6 June 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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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
ZHAO Hai Hua (“the Applicant”) (AYG618)	7 June 2023	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 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)	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
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	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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
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	Modified 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." to:- "For Type 1 regulated activity, the licensee shall not conduct business other than:- (a) distributing and marketing of securities. The term "securities" is as defined under the Securities and Futures Ordinance; (b) underwriting and placing of securities. The term "securities" is as defined under the Securities and Futures Ordinance; (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 (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: (i) effect dealings in securities; or (ii) make offers 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
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	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
WANG Dayong (“the Applicant”) (BDN294)	26 July 2023	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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Name of the applicant (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	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
JIA Jing (“the Applicant”) (BFD829)	1 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
LAM Wing Hi (“the Applicant”) (AJK480)	2 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
Hash Blockchain Limited (“the Applicant”) (BPL992)	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

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Name of the applicant (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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Name of the applicant (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	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." to: - "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

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

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Name of the applicant (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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Name of the applicant (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	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 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
LUO Xuan (“the Applicant”) (BIZ381)	22 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 activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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 : 2 October 2026

Name of the applicant (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	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
KWOK Hon Pan (“the Applicant”) (BDT789)	23 August 2023	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: “For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." “For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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

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Name of the applicant (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	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
TAYLOR Stuart Andrew (“the Applicant”) (AWX936)	28 August 2023	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 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

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
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	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
CHEN Bowen ("the Applicant") (BQN646)	5 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
LGT Investment Management (Asia) Limited ("the Applicant") (AAC801)	7 September 2023	Valid until amendment or revocation	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. Reason for the revocation The Commission has revoked the above modification as the Company no longer requires the above modification.	Nil

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Name of the applicant (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	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

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
SHIM Jongmin (“the Applicant”) (BTK706)	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

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Name of the applicant (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	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
GAO Fei (“the Applicant”) (BJZ288)	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

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Name of the applicant (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

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 Bo (“the Applicant”) (BTC160)	19 September 2023	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition. For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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Name of the applicant (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	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
ZHANG Minghua (“the Applicant”) (ASP315)	22 September 2023	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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
HUDSON Noah John (“the Applicant”) (AVV666)	22 September 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
ZH Securities Limited (“the Applicant”) (BOW474)	26 September 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

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Name of the applicant (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

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
BI Wanying ("the Applicant") (BKQ712)	25 September 2023	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil
Yao Deyin (“the Applicant”) (BHS756)	27 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

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Name of the applicant (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 Xuying (“the Applicant”) (BTL450)	29 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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." to: - "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 29 March 2024 (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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			"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) on 29 March 2024 (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."	
YOSHINO Ai (“the Applicant”) (ARO626)	29 September 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

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
LOO Chi Hang ("the Applicant") (AOC939)	5 October 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
ZHAO Luyao (“the Applicant”) (BIH170)	6 October 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
CHENG Zhuoxu (“the Applicant”) (BOH237)	6 October 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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." to: - "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) 5 April 2024 (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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			and "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) 5 April 2024 (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."	

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
YAO Yuexin (“the Applicant”) (BQL604)	6 October 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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." to: - "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) 5 April 2024 (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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			and "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) 5 April 2024 (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."	

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Name of the applicant (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 Mankuan (“the Applicant”) (BRV045)	6 October 2023	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 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
ENG Bun Sieng (“the Applicant”) (AYD550)	9 October 2023	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall not provide related services to any person other than a professional investor. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules."	Nil

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

Last Update : 2 October 2026

Name of the applicant (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 Theodore Frederick (“the Applicant”) (AFT555)	11 October 2023	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
SPDB International Investment Management Limited ("the Applicant") (BFY108)	13 October 2023	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Last Update : 2 October 2026

Name of the applicant (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 Rongfeng ("the Applicant") (BAZ653)	13 October 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
PARK Sang Eun ("the Applicant") (AQI679)	17 October 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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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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Last Update : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
Mesirow Financial Hong Kong, Limited ("the Applicant") (AYU347)	18 October 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 only carry on the business of dealing in collective investment schemes and the marketing of portfolio management services. The terms "collective investment scheme" and "dealing" are as defined under the Securities and Futures Ordinance." to: - "For Type 1 regulated activity, the licensee shall only carry on the business of dealing in collective investment schemes and bonds, and the marketing of portfolio management services. The terms "collective investment scheme" and "dealing" are as defined under the Securities and Futures Ordinance."	Nil
LILLEY Jonathan Gareth ("the Applicant") (AVI570)	19 October 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
Diligent Capital Limited ("the Applicant") (BRO861)	19 October 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
HUEN Felix Ting Cheung ("the Applicant") (BFR573)	19 October 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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On or after 1 January 2021

Last Update : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
TANG Chun Pong ("the Applicant") (BFN646)	19 October 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
LEUNG Kin Shan ("the Applicant") (APL039)	25 October 2023	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Last Update : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
STEEDMAN Neil Steven ("the Applicant") (BTK891)	25 October 2023	Valid until amendment or revocation	Modified the following condition which was 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." to: - "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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On or after 1 January 2021

Last Update : 2 October 2026

Name of the applicant (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 To Wai (“the Applicant”) (AYD437)	25 October 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 Teng (“the Applicant”) (BPY715)	26 October 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 activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
HAN Yu (“the Applicant”) (BRJ053)	27 October 2023	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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
Joincap Capital Limited ("the Applicant") (ABF735)	30 October 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 provide a service of managing a portfolio of futures contracts for another person."	Nil
HEJE Gregard Knutsoen ("the Applicant") (AUH701)	31 October 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
LANDGRAFF Erik Wilson ("the Applicant") (BJJ279)	31 October 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
ZHANG Yi ("the Applicant") (BRF120)	1 November 2023	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "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. 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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
QI Xiaoli (“the Applicant”) (BSA305)	1 November 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
PAN Hong (“the Applicant”) (BMX630)	3 November 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
AU Lai Chong (“the Applicant”) (AKW747)	3 November 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
CHAN Ngai Lun, Alan (“the Applicant”) (ARR782)	9 November 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
WiseWings Capital Management Limited ("the Applicant") (BND656)	6 November 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

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
Lighthouse Capital (HK) Financial Limited ("the Applicant") (BHX373)	10 November 2023	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

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
QI Xiaohe (“the Applicant”) (BMP042)	13 November 2023	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 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
Little Girl Securities (International) Limited ("the Applicant") (BSG662)	14 November 2023	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
LIU Tsan Pui ("the Applicant") (ATX291)	14 November 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

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
DONG Wenxin (“the Applicant”) (BRW883)	14 November 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
SESHASAYEE Aadit (“the Applicant”) (AQZ618)	16 November 2023	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
ZA Bank Limited (“the Applicant”) (BOJ557)	20 November 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 person 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
TO Kei Ming (“the Applicant”) (AFT099)	22 November 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
MAGIER Stefan Antoni (“the Applicant”) (BOR793)	23 November 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
Interactive Brokers Hong Kong Limited (“the Applicant”) (ADI249)	24 November 2023	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "With respect to providing virtual asset dealing services, the licensee shall only provide such services to professional investors which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (“SFO”) together with the Securities and Futures (Professional Investor) Rules. The term “dealing in securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in Part I of the Terms and conditions for licensed corporations or registered institutions providing virtual asset dealing services under an omnibus account arrangement (as amended from time to time)." to: - "With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to persons which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing 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
Victory Securities Company Limited ("the Applicant") (ABN09)	24 November 2023	Valid until amendment or revocation	Modified the following conditions which were imposed on the licence granted to the Applicant: "With respect to providing virtual asset dealing services, the licensee shall only provide such services to professional investors which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term "professional investor" is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance ("SFO") together with the Securities and Futures (Professional Investor) Rules. The term "dealing in securities" is specified in Part 2 of Schedule 5 to the SFO. The term "virtual asset" is defined in Part I of the Terms and conditions for licensed corporations or registered institutions providing virtual asset dealing services under an omnibus account arrangement (as amended from time to time)."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			"With respect to providing virtual asset advisory services, the licensee shall only provide such services to professional investors which are, and remain at all times, clients of the licensed corporation in respect of its business in Type 4 regulated activity (advising on securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (“SFO”) together with the Securities and Futures (Professional Investor) Rules. The term “advising on securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in Part I of the Terms and conditions for licensed corporations or registered institutions providing virtual asset advisory services (as amended from time to time)." to: -	

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			"With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to persons which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance." "With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to persons which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities). The term “advising on securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance."	
Continuum Capital Limited (“the Applicant”) (BAR102)	27 November 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

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Name of the applicant (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 Ke (“the Applicant”) (BLI895)	27 November 2023	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "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: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil
WANG Hai (“the Applicant”) (BDP587)	28 November 2023	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: “For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition.”	Nil

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

Last Update : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
RENOUX Olivier, Leonce, Felix (“the Applicant”) (AUZ511)	29 November 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
TANG Dewen (“the Applicant”) (BNG653)	30 November 2023	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (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."	
WU Weiwei (“the Applicant”) (BAH842)	29 November 2023	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Last Update : 2 October 2026

Name of the applicant (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 Ka Wai, Geoffrey (“the Applicant”) (AXG146)	1 December 2023	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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
DCP Investment Advisors Limited (“the Applicant”) (BOW930)	5 December 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 stock brokerage services."	Nil

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Last Update : 2 October 2026

Name of the applicant (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 Chuen Lok (“the Applicant”) (AOH902)	5 December 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
WIBOWO Matthew (“the Applicant”) (BOF909)	6 December 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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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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Last Update : 2 October 2026

Name of the applicant (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 Hsu An (“the Applicant”) (AYA337)	6 December 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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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
TAMASE Patricia Isabel Salas (“the Applicant”) (BTM255)	6 December 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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 not provide related services to any person other than a professional investor. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules."	Nil

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

Last Update : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
OEN Daniel Thian Liong (“the Applicant”) (ATS911)	6 December 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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 not provide related services to any person other than a professional investor. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Last Update : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
TJIA Novita (“the Applicant”) (BOG817)	6 December 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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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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On or after 1 January 2021

Last Update : 2 October 2026

Name of the applicant (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 Yuna (“the Applicant”) (AVV760)	6 December 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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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
ASVATHITANONTA Kamolwan ("the Applicant") (BOG394)	6 December 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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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
KHONGRUNGPHAKORN Supattra (“the Applicant”) (BOJ694)	6 December 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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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
DE DIOS Maria Martha Araullo ("the Applicant") (APA364)	6 December 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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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
CHUA Ruby Margaret Lao (“the Applicant”) (AVA611)	6 December 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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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
SIBAL Maria Elisa Andrea Pamandanan ("the Applicant") (BKT185)	6 December 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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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
WONG Doris Yuk Ying ("the Applicant") (ADA301)	11 December 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
JAIN Sonal (“the Applicant”) (ARQ497)	11 December 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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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
Seeds Capital Limited (“the Applicant”) (BRI755)	20 December 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
KONG Lingbing (“the Applicant”) (BDH337)	18 December 2023	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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Name of the applicant (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 Steven Allen M H (“the Applicant”) (ABD065)	22 December 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
NOBLE Lance (“the Applicant”) (BPX521)	22 December 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
Optima Capital Limited (“the Applicant”) (AAH672)	22 December 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 1 February 2023."	Nil

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Name of the applicant (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 Chi Keung, Jeffrey (“the Applicant”) (AMC258)	22 December 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
CHEUNG Yik Kin (“the Applicant”) (AJG326)	28 December 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
CAI Xuezhen (“the Applicant”) (BJT934)	2 January 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
RIJLAARSDAM Fabian Marijn Joan (“the Applicant”) (BPX758)	2 January 2024	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 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
LI Dongmei ("the Applicant") (BRE278)	8 January 2024	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
LEUNG Mun Shan (“the Applicant”) (AME312)	9 January 2024	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
HSIEH Ya-Hui (“the Applicant”) (ANN504)	10 January 2024	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
DU Shuping (“the Applicant”) (BRI456)	11 January 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
LEI Yicong (“the Applicant”) (BSY866)	11 January 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Jian (“the Applicant”) (BOA990)	11 January 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Haoqiang (“the Applicant”) (BTC795)	11 January 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Yafei (“the Applicant”) (BNQ561)	11 January 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Zhu (“the Applicant”) (BSF563)	11 January 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Qian (“the Applicant”) (BRW230)	11 January 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
TAN Xiao (“the Applicant”) (BMV362)	11 January 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Wenbin (“the Applicant”) (BSY083)	11 January 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
ZHAO Wei (“the Applicant”) (ALD676)	15 January 2024	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
LIU Bei (“the Applicant”) (ANN276)	15 January 2024	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
YEUNG Chi Hang (“the Applicant”) (AOK041)	16 January 2024	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
Grand China Securities Limited (“the Applicant”) (AYX768)	18 January 2024	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
ZHANG Jinmai (“the Applicant”) (BHL027)	18 January 2024	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
Centaline Wealth Management Limited (“the Applicant”) (AJF358)	24 January 2024	Valid until amendment or revocation	Waived the following conditions which were 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." "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
E Fund Management (Hong Kong) Co., Limited (“the Applicant”) (ARO593)	25 January 2024	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 Gang (“the Applicant”) (BOX500)	23 January 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
Emperor Wealth Management Limited (the “Applicant”) (ARP670)	26 January 2024	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 licensee shall only engage in the distribution and marketing of collective investment schemes. The term 'collective investment scheme' is as defined under the Securities and Futures Ordinance." "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
LIU Jingshuang (“the Applicant”) (BRO253)	26 January 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Xiuke (“the Applicant”) (BAH518)	29 January 2024	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
CAO Yi (“the Applicant”) (BEH820)	29 January 2024	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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
JIN Pu (“the Applicant”) (BSI219)	31 January 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Xi (“the Applicant”) (BRJ341)	31 January 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Shiyan (“the Applicant”) (BTN049)	31 January 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Fengwu (“the Applicant”) (BRY644)	31 January 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Chun Lok (“the Applicant”) (BQE761)	31 January 2024	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
Antai Securities Limited (“the Applicant”) (BIX420)	31 January 2024	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
TIAN Shan (“the Applicant”) (AQV659)	1 February 2024	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
XU Jia (“the Applicant”) (BBH324)	26 January 2024	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil
BHAGAT Srujan (“the Applicant”) (BUE083)	1 February 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "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
QIAN Bin (“the Applicant”) (AZF076)	2 February 2024	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 Chi Hung (“the Applicant”) (ACQ049)	2 February 2024	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

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Name of the applicant (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 Hye Soo (“the Applicant”) (AXV597)	5 February 2024	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
TAKAKURA Kimihiro (“the Applicant”) (BMM146)	31 January 2024	Valid until amendment or revocation	Modified 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." to: - "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 31 July 2024 (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."	Nil

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Name of the applicant (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 Chun, Wilson (“the Applicant”) (AFP892)	1 February 2024	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
ZHAO Co Co Ke (“the Applicant”) (BOH322)	8 February 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	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) 7 August 2024 (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. This licence, in relation to Type 6 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) 7 August 2024 (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.
Doo Financial HK Limited (“the Applicant”) (BSM562)	14 February 2024	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
HU Xiangquan (“the Applicant”) (BMG564)	14 February 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Lan (“the Applicant”) (ANY095)	8 February 2024	Valid until amendment or revocation	Waived the following conditions which were 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." "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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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 Feng (“the Applicant”) (BMV622)	14 February 2024	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
Funde Asset Management (Hong Kong) Company Limited (“the Applicant”) (BBB572)	16 February 2024	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 Chok Wai (“the Applicant”) (BGR491)	19 February 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "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
China Harbour International Asset Management Limited (“the Applicant”) (BPJ126)	19 February 2024	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
CHEN Jiahui (“the Applicant”) (BSE903)	20 February 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
GAO Haozhe (“the Applicant”) (BSX392)	20 February 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
PAN Beier (“the Applicant”) (BSG482)	20 February 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
BAO Daiqin (“the Applicant”) (BSW727)	20 February 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Ci (“the Applicant”) (BOO281)	20 February 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Junxiong (“the Applicant”) (BIK397)	20 February 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
LIAN Meng (“the Applicant”) (BHD844)	20 February 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Shenchen (“the Applicant”) (BSX338)	20 February 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Sihua (“the Applicant”) (BRI107)	20 February 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
LIU Zhetao (“the Applicant”) (BSG180)	20 February 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Jingyu (“the Applicant”) (BRZ802)	20 February 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
Pioneer Asset Management Limited (“the Applicant”) (BSP725)	21 February 2024	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
TANAKA Yosuke (“the Applicant”) (BPM008)	22 February 2024	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
GRAY Simon Francis (“the Applicant”) (AOB669)	23 February 2024	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 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
TANG Ye (“the Applicant”) (ANQ032)	28 February 2024	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
NIDDAM Jerome Julien (“the Applicant”) (AQO343)	28 February 2024	Valid until amendment or revocation	Waived the following conditions which were 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." "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 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
DEVESA Philippe Rodolphe Xavier ("the Applicant") (BBU286)	28 February 2024	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
ZHOU Lyu ("the Applicant") (BJB337)	29 February 2024	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
LI Henry Hoi Yan (“the Applicant”) (BGQ471)	28 February 2024	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
MORSE JR Edward Gary (“the Applicant”) (BEX751)	28 February 2024	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."	Nil

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Name of the applicant (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 Jiusong (“the Applicant”) (BGK401)	29 February 2024	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
FORSTER Philipp (“the Applicant”) (BUF398)	29 February 2024	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
MO Taiping (“the Applicant”) (BJC918)	1 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Lei (“the Applicant”) (BOJ376)	1 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
LIU Jiaxin (“the Applicant”) (BTQ332)	1 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Qichen (“the Applicant”) (BUB304)	1 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Miaomiao (“the Applicant”) (BRG478)	1 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Bolun (“the Applicant”) (BTR286)	1 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Zhiyuan (“the Applicant”) (BSL760)	1 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Feizhi (“the Applicant”) (AWD212)	1 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Yue (“the Applicant”) (BTO168)	1 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Tianyi (“the Applicant”) (BSA426)	1 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Zhao (“the Applicant”) (BSZ224)	1 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
ZENG Can (“the Applicant”) (BTO751)	1 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
RAN Mengxi (“the Applicant”) (BSR902)	1 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Qining (“the Applicant”) (BSZ508)	1 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Xiaoxiao (“the Applicant”) (BPC510)	1 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Zilong (“the Applicant”) (ALR018)	1 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Quan (“the Applicant”) (BRR593)	4 March 2024	Valid until amendment or revocation	Modified 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." to:-	Nil

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			"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."	
LI Xinya ("the Applicant") (BTT104)	4 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
LEUNG Yuen Kwan ("the Applicant") (AKP198)	6 March 2024	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
LAM Shau Ting Loretta (“the Applicant”) (ALQ408)	8 March 2024	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
KWAN Angelina Agnes (“the Applicant”) (AEH541)	8 March 2024	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 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
LONG Shicheng (“the Applicant”) (BRP275)	11 March 2024	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.” to:- “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 September 2024 (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.”	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			"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) on 11 September 2024 (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." "This licence, in relation to Type 6 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 September 2024 (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."	
WU Guotai ("the Applicant") (BTP581)	13 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
JING Zheng (“the Applicant”) (BRR390)	13 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Weijie (“the Applicant”) (BTS611)	13 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Jing (“the Applicant”) (BRW511)	13 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Qin (“the Applicant”) (BSG248)	13 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Suyi (“the Applicant”) (BTS039)	13 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Kaizhou (“the Applicant”) (BSP594)	18 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
ZHI Jiayin (“the Applicant”) (BRY579)	18 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
SU Ying (“the Applicant”) (BTM013)	18 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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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YAO Siyu (“the Applicant”) (BTY664)	18 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Wenbo (“the Applicant”) (BNK779)	18 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Jing (“the Applicant”) (BQF078)	19 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Zhenxing (“the Applicant”) (BTY311)	19 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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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ZHANG Yumin (“the Applicant”) (BFM942)	19 March 2024	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
NIU Ben (“the Applicant”) (BUA851)	20 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Zhongshu (“the Applicant”) (BPN394)	11 March 2024	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
JIN Lujiang (“the Applicant”) (BUE418)	19 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Jiaming (“the Applicant”) (BSE653)	19 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
LIU Gangxian (“the Applicant”) (BOK824)	19 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Haibo (“the Applicant”) (BPC512)	19 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Youjia (“the Applicant”) (BUH486)	19 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Jixuan (“the Applicant”) (BRI226)	19 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Lanzhou (“the Applicant”) (BNP156)	19 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
ZHAN Chao (“the Applicant”) (BUA602)	19 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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”) (BTL366)	19 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Qifan (“the Applicant”) (BQT565)	19 March 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Shuo Steve (“the Applicant”) (BDJ257)	19 March 2024	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
Solomon JFZ (Asia) Holdings Limited (“the Applicant”) (BIF175)	25 March 2024	Valid until amendment or revocation	Modified the following conditions which were imposed on the licence granted to the Applicant: "With respect to providing virtual asset dealing services, the licensee shall only provide such services through operating an omnibus account established and maintained with an SFC-licensed platform. The term “SFC-licensed platform” refers to a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance. The term “virtual asset” is defined in Part I of the Terms and conditions for licensed corporations or registered institutions providing virtual asset dealing services under an omnibus account arrangement (https://www.sfc.hk/-/media/EN/files/LIC/publications/Terms-and-Conditions-for-VAOA_EN.pdf) (as amended from time to time)."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			"With respect to providing virtual asset dealing services, the licensee shall only provide such services to professional investors which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (“SFO”) together with the Securities and Futures (Professional Investor) Rules. The term “dealing in securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in Part I of the Terms and conditions for licensed corporations or registered institutions providing virtual asset dealing services under an omnibus account arrangement (https://www.sfc.hk/-/media/EN/files/LIC/publications/Terms-and-Conditions-for-VAOA_EN.pdf) (as amended from time to time)."	

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			"With respect to providing virtual asset dealing services, the licensee shall comply with “Terms and conditions for licensed corporations or registered institutions providing virtual asset dealing services under an omnibus account arrangement (https://www.sfc.hk/-/media/EN/files/LIC/publications/Terms-and-Conditions-for-VAOA_EN.pdf)” (as amended from time to time). The term “virtual asset” is defined in Part I of the Terms and conditions for licensed corporations or registered institutions providing virtual asset dealing services under an omnibus account arrangement (as amended from time to time)." to: - "With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services through operating an omnibus account established and maintained with an SFC-licensed platform. The term “SFC-licensed platform” refers to a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (AMLO). The term “virtual asset” is defined in section 53ZRA of the AMLO."	

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			"With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to persons which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance." "With respect to providing virtual asset dealing services, the licensee or registered institution shall comply with the “Terms and conditions for licensed corporations or registered institutions providing virtual asset dealing services under an omnibus account arrangement (https://www.sfc.hk/-/media/EN/files/LIC/pdf/Terms-and-Conditions-for-VA-Dealing-ENG20240302.pdf)” (as amended from time to time). The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing 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
HERON David (“the Applicant”) (AAH580)	28 March 2024	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
HE Jie (“the Applicant”) (BTP239)	5 April 2024	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
SARAF Shyam (“the Applicant”) (BNU836)	5 April 2024	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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
CHEN Yu (“the Applicant”) (BFD957)	8 April 2024	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
LAO Sen (“the Applicant”) (BFR572)	9 April 2024	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
XUE Fenghui (“the Applicant”) (BSI211)	9 April 2024	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
APG Investments Asia Limited ("the Applicant") (ARJ340)	11 April 2024	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 conduct business other than communicating offers to effect dealings in securities to other intermediaries, in the names of the persons from whom those offers are received."	Nil
TIN Wai Sun ("the Applicant") (BQG627)	11 April 2024	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
HashKey Capital Limited (“the Applicant”) (BOP237)	10 April 2024	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
LAU Chun Sing (“the Applicant”) (ANQ367)	15 April 2024	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
JUN Woo Seok (“the Applicant”) (AVF217)	15 April 2024	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
LIU Shuolin (“the Applicant”) (BTH898)	15 April 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
LYU Jiayi (“the Applicant”) (BTD493)	15 April 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Mingyi (“the Applicant”) (BUA226)	15 April 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Xiaoqing (“the Applicant”) (BRV225)	15 April 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Yuxiao (“the Applicant”) (BTS869)	16 April 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Zeming (“the Applicant”) (BTZ177)	16 April 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Yanchao (“the Applicant”) (BNF174)	16 April 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Runbo (“the Applicant”) (BTS547)	16 April 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
Eddid Securities and Futures Limited (“the Applicant”) (BHT550)	16 April 2024	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "With respect to providing virtual asset dealing services, the licensee shall only provide such services to professional investors which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (“SFO”) together with the Securities and Futures (Professional Investor) Rules. The term “dealing in securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in Part I of the Terms and conditions for licensed corporations or registered institutions providing virtual asset dealing services under an omnibus account arrangement (https://www.sfc.hk/-/media/EN/files/LIC/publications/Terms-and-Conditions-for-VAOA_EN.pdf) (as amended from time to time)." to: - "With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to persons which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing 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
HU Jianwen (“the Applicant”) (BUE478)	17 April 2024	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 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." 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 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
HO Wing Hong (“the Applicant”) (BOS863)	17 April 2024	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
Chenghe Capital Management Limited ("the Applicant") (BSU322)	19 April 2024	Valid until amendment or revocation	Waived the following conditions which were 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." "For Type 1 regulated activity, the licensee shall not conduct business other than:- (a) distributing and marketing of securities. The term "securities" is as defined under the Securities and Futures Ordinance; (b) underwriting and placing of securities. The term "securities" is as defined under the Securities and Futures Ordinance; (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 (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: (i) effect dealings in securities; or (ii) make offers 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
LIN Ju (“the Applicant”) (AQG973)	22 April 2024	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
Delta Fund Management Company Limited ("the Applicant") (BSU114)	23 April 2024	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
PENG Siyuan ("the Applicant") (BUC346)	23 April 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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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ZHANG Chen (“the Applicant”) (BQW337)	23 April 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Junhao (“the Applicant”) (BOM895)	23 April 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
YAO Jingeer(“the Applicant”) (BTB769)	23 April 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
YAO Xun (“the Applicant”) (BOA225)	23 April 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Qianzi (“the Applicant”) (BUH994)	23 April 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Dijun (“the Applicant”) (BSE135)	23 April 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Yixin (“the Applicant”) (BTJ191)	23 April 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
XIONG Shijie (“the Applicant”) (BUC271)	23 April 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
LONG Jiajing (“the Applicant”) (BSB862)	23 April 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
Charlton House WM Limited (“the Applicant”) (BQX897)	24 April 2024	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
LIU Feng (“the Applicant”) (BMV622)	24 April 2024	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
CHEUNG Yu Foon (“the Applicant”) (ABR632)	26 April 2024	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
ZHOU Shiyi (“the Applicant”) (BGR107)	26 April 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Xingrong (“the Applicant”) (BRZ484)	26 April 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
TIAN Yuan (“the Applicant”) (BUA169)	26 April 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Hongyuan (“the Applicant”) (BIO301)	26 April 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
CHIU Wai Ling (“the Applicant”) (AHG165)	11 April 2024	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
SEKIZUKA Masayuki (“ the Applicant”) (BON875)	7 May 2024	Valid until amendment or revocation	Waived the following conditions which were 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." “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
LI Jianwei (“the Applicant”) (BUH447)	7 May 2024	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
HIRABAYASHI Yasuko (“ the Applicant”) (ASM441)	8 May 2024	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
KIM Jongmin (“the Applicant”) (AUZ227)	10 May 2024	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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
LIM Kit Yng (“the Applicant”) (APA092)	10 May 2024	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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
AMER HAMZAH Farahnaz Ireena Binti (“the Applicant”) (BOJ286)	10 May 2024	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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
FENG Liran ("the applicant") (BJR455)	10 May 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
LA FABER Sean Michael (“the Applicant”) (BOJ285)	13 May 2024	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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
South China Capital Limited (“the Applicant”) (AAI635)	13 May 2024	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
YING Xiwen (“the Applicant”) (BUA776)	14 May 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Suping (“the Applicant”) (AUR633)	14 May 2024	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 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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
XIE Yuanxi ((“the Applicant”) (BJP646)	14 May 2024	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
LIU Zhao (“the Applicant”) (BEL805)	16 May 2024	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
YU Lili (“the Applicant”) (BRX822)	17 May 2024	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
YU Lili (“the Applicant”) (BRX822)	17 May 2024	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." "For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
WILLIAMS Benjamin Robert (“the Applicant”) (APD124)	20 May 2024	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
COULDREY Ranulf David Richard (“the Applicant”) (BKY385)	22 May 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: “The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.”	Nil
TSANG Kim Po (“the Applicant”) (AEZ492)	22 May 2024	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
YEUNG Niki Ning Ki (“the Applicant”) (ATD246)	22 May 2024	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 Ka Cheong (“the Applicant”) (BJL585)	23 May 2024	Valid until amendment or revocation	Waived the following conditions which were 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
CHEN Liren (“the Applicant”) (BRI108)	22 May 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
XING Hechen (“the Applicant”) (BSM585)	22 May 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Yan (“the Applicant”) (BRO855)	22 May 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Wen (“the Applicant”) (BRW237)	22 May 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Bo (“the Applicant”) (BRQ688)	22 May 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Zonghan (“the Applicant”) (BST414)	23 May 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
YIN Lei (“the Applicant”) (BET350)	23 May 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Min (“the Applicant”) (BUB005)	23 May 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Xu (“the Applicant”) (BRX894)	23 May 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
CHAN Ching Sze (“ the Applicant”) (BKC521)	24 May 2024	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." “For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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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CHING Chun (“the Applicant”) (BFF010)	29 May 2024	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
SHAO Jiajun (“the Applicant”) (BRW085)	29 May 2024	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
WANG Wenwen (“the Applicant”) (BNH260)	30 May 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Xinying (“the Applicant”) (BSE071)	30 May 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
CHAN King Yeung (“the Applicant”) (BCF239)	31 May 2024	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
SHI Xiaofeng (“the Applicant”) (AVH848)	3 June 2024	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
ZHOU Henry (“the Applicant”) (BGT159)	3 June 2024	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
LEE Ho Leung, William (“the Applicant”) (AEL247)	4 June 2024	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
BAI Ruoyun (“the Applicant”) (BRY567)	4 June 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Jiaxin (“the Applicant”) (BTR072)	4 June 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
TANG Weijie (“the Applicant”) (BRN803)	4 June 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Lu (“the Applicant”) (BOC876)	4 June 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Xianteng (“the Applicant”) (BMV585)	4 June 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Wenchao (“the Applicant”) (BRH459)	4 June 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
Hua Liang Securities Limited (“the Applicant”) (BOC666)	5 June 2024	Valid until amendment or revocation	Modified the following conditions which were imposed on the licence granted to the Applicant: “With respect to introducing clients to virtual asset trading platform operators, the licensee or registered institution shall only introduce persons which are professional investors and are its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “dealing in securities” is specified in Part 2 of Schedule 5 to the SFO." "With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities) and/or Type 1 regulated activity (dealing in securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “advising on securities” and “dealing in securities” are specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing 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
			to: - “With respect to introducing clients to virtual asset trading platform operators, the licensee or registered institution shall only introduce persons which are its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance.” "With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to persons which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities). The term “advising on securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance."	
YAO Lifang (“the Applicant”) (BQN229)	6 June 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Li (“the Applicant”) (ANK352)	3 June 2024	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
Darkhorse Wealth Management Limited (“the Applicant”) (BSG906)	7 Jun 2024	Valid until amendment or revocation	Waived the following conditions which were 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." "For Type 1 regulated activity, the licensee shall not conduct business other than – (a) communicating offers to effect dealings in securities to other intermediaries in the names of the persons from whom those offers are received; (b) introducing persons to other intermediaries, 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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
Tiger Brokers (HK) Global Limited (" the Applicant") (BMU940)	7 June 2024	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term "professional investor" is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term "dealing in securities" is specified in Part 2 of Schedule 5 to the SFO. The term "virtual asset" is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance." to: - "With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to persons which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term "dealing in securities" is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term "virtual asset" is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing 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
CHEN Ning (“the Applicant”) (AYF260)	11 June 2024	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
LAM Chi Ping (“the Applicant”) (AOY505)	12 June 2024	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
XIE Yumeng (“the Applicant”) (BUA795)	12 June 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Lingxuan (“the Applicant”) (BRE493)	12 June 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Li (“the Applicant”) (BNN862)	12 June 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Tao (“the Applicant”) (BTQ880)	12 June 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Jing (“the Applicant”) (BRZ797)	12 June 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Ye (“the Applicant”) (AOU035)	12 June 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
LIAO Yating (“the Applicant”) (BTH109)	12 June 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
QIU Zhiming (“the Applicant”) (BRJ146)	12 June 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Shuai (“the Applicant”) (BRB789)	12 June 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
IPP Financial Advisers Limited (“the Applicant”) (AMX312)	12 June 2024	Valid until amendment or revocation	Modified the following conditions which were imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall only engage in the distribution and marketing of collective investment schemes. The term 'collective investment scheme' is as defined under the Securities and Futures Ordinance."; and "For Type 4 regulated activity, the licensee shall only engage in advising on collective investment schemes. The term 'collective investment scheme' is as defined under the Securities and Futures Ordinance." to: "For Type 1 regulated activity, the licensee shall only engage in the distribution and marketing of collective investment schemes and debt securities. The terms 'collective investment scheme' and 'debt securities' are as defined under the Securities and Futures Ordinance."; and "For Type 4 regulated activity, the licensee shall only engage in advising on collective investment schemes and debt securities. The terms 'collective investment scheme' and 'debt securities' 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
CHUNG Kwok Kuen (“the Applicant”) (AMX446)	12 June 2024	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 licensee shall only engage in the distribution and marketing of collective investment schemes. The term 'collective investment scheme' is as defined under the Securities and Futures Ordinance."; and "For Type 4 regulated activity, the licensee shall only engage in advising on collective investment schemes. The term 'collective investment scheme' is as defined under the Securities and Futures Ordinance."	Nil
ZHANG Liangwei (“the Applicant”) (BSV361)	6 June 2024	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
ZHAO Tian (“the Applicant”) (BGW991)	7 June 2024	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
XU Huifen (“the Applicant”) (ANR973)	14 June 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Lili (“the Applicant”) (BSG563)	14 June 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Shangwen (“the Applicant”) (BTQ435)	14 June 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Wenqing (“the Applicant”) (BRU706)	14 June 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Zihan (“the Applicant”) (BTM523)	14 June 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Chenggang (“the Applicant”) (AVJ131)	17 June 2024	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
LI Jing (“the Applicant”) (BPU185)	17 June 2024	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
Long Bridge HK Limited (“the Applicant”) (BPX066)	18 June 2024	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “dealing in securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance." to: - "With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to persons which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing 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
WU Lishan (“the Applicant”) (BEX966)	18 June 2024	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
MCKINNON David (“the Applicant”) (BGL787)	20 June 2024	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
BURKE Sean Patrick (the "Applicant") (BUD073)	20 June 2024	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
XU Yuliang (“the Applicant”) (AWY509)	20 June 2024	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
Maxa Asset Management Limited ("the Applicant") (BQE541)	31 May 2024	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
Maxa Asset Management Limited ("the Applicant") (BQE541)	31 May 2024	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 provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation."	Nil
CASH Wealth Management Limited ("the Applicant") (AHQ356)	20 June 2024	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

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Name of the applicant (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 Zhe (“the Applicant”) (BQV916)	20 June 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Dapeng (“the Applicant”) (AUZ670)	20 June 2024	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
YE Guangji (“the Applicant”) (BPS627)	21 June 2024	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
LAM Chung Han, Terence (“the Applicant”) (AGT968)	21 June 2024	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
CHAN Shiu Tak, Sheldon (“the Applicant”) (AYM129)	21 June 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
LEUNG Man Ho (“the Applicant”) (AMF525)	21 June 2024	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
Profit Access Investments Limited (“the Applicant”) (BLK493)	24 June 2024	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
Profit Access Investments Limited ("the Applicant") (BLK493)	24 June 2024	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
Hansui Capital Company Limited ("the Applicant") (BRA045)	25 June 2024	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
Hansui Capital Company Limited ("the Applicant") (BRA045)	25 June 2024	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 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." "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
YIK Kwan Ho ("the Applicant") (APR487)	26 June 2024	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
SUN Peifang (“the Applicant”) (ATR253)	27 June 2024	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
JORDAAN Stefan (“the Applicant”) (BDM960)	27 June 2024	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. For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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 Meng (“the Applicant”) (BIX319)	28 June 2024	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
Advent Corporate Finance Limited (“the Applicant”) (BMY734)	28 June 2024	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
WENG Youyi (“the Applicant”) (AVV680)	2 July 2024	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
HAI Cloud Exchange (HK) Limited ("the Applicant") (BMG520)	3 July 2024	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 licensee shall only carry on the business of dealing in structured products. The terms "dealing" and "structured product" are as defined under the Securities and Futures Ordinance." "For Type 1 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
KWOK Man Yu ("the Applicant") (ALY348)	3 July 2024	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 structured products. The terms "dealing" and "structured product" are as defined under the Securities and Futures Ordinance."	Nil
ZHANG Yanbai ("the Applicant") (APF034)	3 July 2024	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 structured products. The terms "dealing" and "structured product" 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
AIZAWA Shintaro (“the Applicant”) (BJP833)	3 July 2024	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 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
NAGHDY Hajir (“the Applicant”) (BGM160)	3 July 2024	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
OU Hui (“the Applicant”) (BAM665)	5 July 2024	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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
LIANG Zibin (“the Applicant”) (BBT510)	5 July 2024	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 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
GSCHWEND Marco (“the Applicant”) (BOK759)	12 July 2024	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
TANG Wenhan (“the Applicant”) (BOQ928)	12 July 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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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LO Hoi Ching (“the Applicant”) (BGD992)	18 July 2024	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
ZHANG Qing Qi (“the Applicant”) (BPY735)	19 July 2024	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
Linkways Asset Management Limited (“the Applicant”) (BML162)	19 July 2024	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
Linkways Asset Management Limited (“the Applicant”) (BML162)	19 July 2024	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
Beginner Mind Asset Management (HK) Limited (“the Applicant”) (BTB385)	19 July 2024	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
LI Shuk Wa, Vivian (“the Applicant”) (ANY054)	22 July 2024	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
LAM Che Chung, Dennis (“the Applicant”) (ALG475)	23 July 2024	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
MORRISON Justin David Christopher (“the Applicant”) (AVO760)	24 July 2024	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:- "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) 22 January 2025 (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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			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) 22 January 2025 (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.	
AU Chun Hong Jos (“the Applicant”) (BFB210)	24 July 2024	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
Expedition Securities Limited (“the Applicant”) (BTU177)	25 July 2024	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
MEYER Phillip Michael (“the Applicant”) (AUK272)	25 July 2024	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 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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
XCap Partners Limited (“the Applicant”) (BOP567)	22 July 2024	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
GLOVER Phineas Max (“the Applicant”) (BUI695)	23 July 2024	Valid until amendment or revocation	Modified 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." to:- "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	Nil

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			(ii) 6 months after the date of this condition is imposed (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."	
China Re Asset Management (Hong Kong) Company Limited ("the Applicant") (BEZ809)	25 July 2024	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
ZHOU Xiangyong (“the Applicant”) (BFJ729)	30 July 2024	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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
CHANG Byung Woon (“the Applicant”) (BQD509)	22 July 2024	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
LI Wenguo (“the Applicant”) (BRE495)	5 August 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Shuxin (“the Applicant”) (BTR884)	5 August 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Haodong (“the Applicant”) (BTO752)	5 August 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
JIAO Ting (“the Applicant”) (BRP703)	5 August 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Yining (“the Applicant”) (BRQ724)	5 August 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Yu (“the Applicant”) (BRC031)	5 August 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Yumeng (“the Applicant”) (BRS812)	5 August 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Danlu (“the Applicant”) (BUC194)	5 August 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Yuehui (“the Applicant”) (BRP699)	5 August 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
Caitong International Capital Co., Limited ("the Applicant") (BNO823)	6 August 2024	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 Buybacks issued by the Commission, act together with another adviser (to the client) not subject to this condition."	Nil
CHANG Aaron Zai Yuen ("the Applicant") (AZN927)	6 August 2024	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 Buybacks 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
TAM Kok Ching (“the Applicant”) (BCH568)	6 August 2024	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 Buybacks 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
HASSAN Matthew Alan (“the Applicant”) (BPX986)	6 August 2024	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 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
DU Ximing (“the Applicant”) (BHR661)	6 August 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Hanjun (“the Applicant”) (BUM129)	6 August 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Richard Shan Yao (“the Applicant”) (AUW031)	6 August 2024	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
YEUNG Chun Yin (“the Applicant”) (AGK779)	7 August 2024	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
CHAN Kam Wah (“the Applicant”) (BJT985)	7 August 2024	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
Minerva Advisory Global Capital Limited (“the Applicant”) (BFO684)	8 August 2024	Valid until amendment or revocation	Waived the following conditions which were 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." "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
LO Chi Man (“the Applicant”) (AJB649)	12 August 2024	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
LAI Yin King (“the Applicant”) (BNO630)	13 August 2024	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. For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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 Calvin Su-chi (“the Applicant”) (BBU724)	14 August 2024	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
CHONG Wah Yeung (“the Applicant”) (AJH301)	14 August 2024	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
LAM Pui Man, Raymond (“the Applicant”) (AFG450)	15 August 2024	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 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
XIE Kaixin (“the Applicant”) (BTV767)	16 August 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
LIN Xuening (“the Applicant”) (BTV083)	16 August 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "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
ZHU Xiangyu (“the Applicant”) (BRD851)	16 August 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
DING Jinping (“the Applicant”) (BRJ147)	16 August 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Xiong (“the Applicant”) (BRV434)	16 August 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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”) (BTR924)	16 August 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
LEE Danny Yiu Fai ("the Applicant") (AGO243)	20 August 2024	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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WEI Yu (“the Applicant”) (BPM749)	20 August 2024	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
TANG Lin (“the Applicant”) (BBU285)	22 August 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: “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 Liang (“the Applicant”) (BRH644)	27 August 2024	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
SHEN Shibai (“the Applicant”) (BOC294)	27 August 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
YOU Wei (“the Applicant”) (BRR101)	27 August 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
JI Zhaohui (“the Applicant”) (BRH469)	27 August 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Zhuonan (“the Applicant”) (BPR695)	27 August 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
ZHENG Xuejian (“the Applicant”) (BTZ192)	27 August 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Shuying (“the Applicant”) (BQL339)	27 August 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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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SHEKHAR Shivam (“the Applicant”) (BSZ698)	14 August 2024	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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
TAN Wenying (“the Applicant”) (BPV250)	29 August 2024	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
LAU Fu Wing (“the Applicant”) (ANH674)	30 August 2024	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
TU Qixiong (“the Applicant”) (BJS096)	3 September 2024	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
			“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." “For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	

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
CHANTARASEREKUL Naphat ("the Applicant") (BTV677)	4 September 2024	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

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
Hantec Wealth Management Company Limited (“the Applicant”) (BSF395)	4 September 2024	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
RUAN Jian (“the Applicant”) (BSW729)	6 September 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
ZHAO Huan (“the Applicant”) (BTN275)	6 September 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
CHAI Jianwei (“the Applicant”) (BTW749)	6 September 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Zhaoran (“the Applicant”) (BSG278)	6 September 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
TEY Eng Chee, Thomas (“the Applicant”) (ABN323)	9 September 2023	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
Blue Box Securities Limited (“the Applicant”) (BTY375)	10 September 2024	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.” and 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 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.” "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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Name of the applicant (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 Kam Lun (“the Applicant”) (ACR750)	25 September 2024	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
ZHU Baili ("the Applicant") (BTE276)	25 September 2024	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
CHEUNG Sze Hon, Heath ("the Applicant") (AEI046)	27 September 2024	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
TSE Tak Wai (“the Applicant”) (AXR837)	4 October 2024	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
RAM Investment Advisors Limited (“the Applicant”) (BGL803)	7 October 2024	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
Wiseview Asset Management Limited (“the Applicant”) (BSX588)	7 October 2024	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
CAO Yu (“the Applicant”) (AZP260)	9 October 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Xuemin (“the Applicant”) (BUW047)	9 October 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Jingwen (“the Applicant”) (BSL990)	9 October 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Ji (“the Applicant”) (BLH638)	9 October 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Jingyi (“the Applicant”) (BUM605)	9 October 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Xiangying (“the Applicant”) (BTZ899)	9 October 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
QIU Yinyue (“the Applicant”) (BUX058)	9 October 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
Sauder Global Investment Management Limited (“the Applicant”) (BSG303)	10 October 2024	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
CHAN Yiu Kwong (“the Applicant”) (AED596)	10 October 2024	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
Y-Intercept (Hong Kong) Limited (the "Applicant") (BND474)	14 October 2024	Valid until amendment or revocation	Waived the following condition which was imposed on 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
DU Shu (“the Applicant”) (BRY566)	15 October 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Jiulu (“the Applicant”) (BSA425)	15 October 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Qiang (“the Applicant”) (BNU271)	15 October 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Bin (“the Applicant”) (BGT073)	16 October 2024	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
YAP Bernard Peng Leong (“the Applicant”) (AFV796)	27 September 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "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: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil
DONG Jingwei (“the Applicant”) (BUX513)	15 October 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Peifeng (“the Applicant”) (BTO526)	15 October 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Juanyi (“the Applicant”) (BPI415)	15 October 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Hanyu (“the Applicant”) (BUR045)	15 October 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Zhou (“the Applicant”) (BUJ991)	15 October 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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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VENKATRAMAN Shailesh (“the Applicant”) (AMY984)	15 October 2024	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.” 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 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
PROWSE Timothy James (“the Applicant”) (BTS641)	15 October 2024	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.” 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 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
GERMANOS Anna (“the Applicant”) (BTF069)	16 October 2024	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.” 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 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
POON Anthony Tsz Lai ("the Applicant") (BUN606)	17 October 2024	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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
ZHU Yuan (BPG310) ("the Applicant") (BPG310)	18 October 2024	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
XU Wei (“the Applicant”) (AZN499)	18 October 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Da (“the Applicant”) (BSG247)	21 October 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
CARR Matthew Ben ("the Applicant") (BEA641)	21 October 2024	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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
ZHU Yiping ("the Applicant") (BTC743)	23 October 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
FENG Qibin (“the Applicant”) (BRW011)	23 October 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
JI Yifan (“the Applicant”) (BUB884)	23 October 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
ZHENG Luqiang (“the Applicant”) (BRY677)	23 October 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
Hysun Asset Management Limited (“the Applicant”) (BTB137)	25 October 2024	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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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
MO Chao-chi Richard (“the Applicant”) (AJL084)	31 October 2024	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
XIAO Wen (“the Applicant”) (BJU213)	31 October 2024	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
XU Jie (“the Applicant”) (BUO165)	31 October 2024	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." to:- "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)
On or after 1 January 2021

Last Update : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			"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."	
LEE Chun Pang (“the Applicant”) (ANX999)	4 November 2024	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to:- "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."	Nil

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

Last Update : 2 October 2026

Name of the applicant (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 Jingyi (“the Applicant”) (BFP205)	4 November 2024	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to:- "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."	Nil

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

Last Update : 2 October 2026

Name of the applicant (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 Xiao (“the Applicant”) (AOS437)	5 November 2024	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
OU Yafei (“the Applicant”) (BFN410)	5 November 2024	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 : 2 October 2026

Name of the applicant (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 Cai ("the Applicant") (BPE959)	6 November 2024	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
BANDS Capital Management Limited ("the Applicant") (BTX368)	7 November 2024	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
PENG Yun ("the Applicant") (BRC034)	25 October 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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

Last Update : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
DENG Chen (“the Applicant”) (BPQ971)	13 November 2024	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
ZHUANG Lin (“the Applicant”) (BUK353)	14 November 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Qing (“the Applicant”) (BTO518)	14 November 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 : 2 October 2026

Name of the applicant (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 Yuxi (“the Applicant”) (BTP559)	14 November 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
Arta Asset Management Limited (“the Applicant”) (AQW828)	14 November 2024	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
Oreana Financial Services Limited (“the Applicant”) (AHX191)	14 November 2024	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 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." to: - “For Type 1 regulated activity, the licensee shall not engage in dealing activities other than:– (a) placing of securities; and (b) dealing in collective investment schemes. The terms “collective investment scheme” and “dealing” are as defined under the Securities and Futures Ordinance.”	Nil

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

Last Update : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
DOU Jianjun (“ the Applicant”) (BMY458)	15 November 2024	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
Greenhill & Co. Asia Limited (the “Applicant”) (AZQ613)	25 November 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 1 regulated activity, the licensee shall only carry on the business of dealing in collective investment schemes. The terms "collective investment scheme" and "dealing" are as defined under the Securities and Futures Ordinance."	Nil

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

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Name of the applicant (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 Xingyun ("the Applicant") (BVG933)	26 November 2024	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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
Regent Securities Limited (“the Applicant”) (BRF703)	27 November 2024	Valid until amendment or revocation	Waived the following conditions which were 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." "The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation."	Nil

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

Last Update : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
VS Capital Limited (“the Applicant”) (BNJ121)	26 November 2024	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
WEI Yuan (“the Applicant”) (BUX041)	3 December 2024	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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Last Update : 2 October 2026

Name of the applicant (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 Zhan (“the Applicant”) (BBE434)	3 December 2024	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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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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Last Update : 2 October 2026

Name of the applicant (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”) (BEL099)	5 December 2024	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
Victoria Harbour International Financial Holdings Limited (“the Applicant”) (BRQ593)	2 December 2024	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 – (a) communicating offers to effect dealings in securities to other intermediaries, for the persons from whom those offers are received; (b) introducing persons to other intermediaries, 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." to:- "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."	Nil

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

Last Update : 2 October 2026

Name of the applicant (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 Tin Yam, Alvin (“the Applicant”) (APK149)	6 December 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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

Last Update : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
ROMANEIRO Eduardo Alexandre Victorino ("the Applicant") (AXV642)	9 December 2024	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: - "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) 9 June 2025 (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."	Nil

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Name of the applicant (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 Ho Kin (“the Applicant”) (ANT708)	9 December 2024	Valid until amendment or revocation	Waived the following condition which were 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
TAM Kwan Hung (“the Applicant”) (BBT082)	10 December 2024	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
ALBERGO Christopher John (“the Applicant”) (APN792)	10 December 2024	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
YAN Qiangsheng (“the Applicant”) (APL679)	10 December 2024	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 Yu Ting (“the Applicant”) (ALP924)	10 December 2024	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 Libin (“the Applicant”) (BRX411)	11 December 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Yaolong (“the Applicant”) (BOM668)	11 December 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
GF International Investment Management Limited (“the Applicant”) (AXL121)	11 December 2024	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
AMINA (Hong Kong) Limited (“the Applicant”) (BTE883)	11 December 2024	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
ZHAO Xinyi (“the Applicant”) (ATO858)	16 December 2024	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
SIT Wing Fai, Wilfred (“the Applicant”) (ACJ160)	17 December 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil
Chief Securities Limited (“the Applicant”) (ADI983)	17 December 2024	Valid until amendment or revocation	Modified the following conditions which were imposed on the licence granted to the Applicant: "With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “dealing in securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing 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
			"With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “advising on securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing 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
			to: - "With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to persons which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance." "With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to persons which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities). The term “advising on securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing 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
Asset Management Group Limited (“the Applicant”) (AMT657)	18 December 2024	Valid until amendment or revocation	Waived the following conditions which were 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." "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
PARK Jang Ho (“the Applicant”) (ALF284)	18 December 2024	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
Carlyon Capital Limited (“the Applicant”) (BUS515)	18 December 2024	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
CHAN Ping Ling (“the Applicant”) (AIJ333)	19 December 2024	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 Qiwen (“the Applicant”) (BHZ320)	20 December 2024	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." "For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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

Last Update : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
HOW Sze Ming (the “Applicant”) (AIH218)	20 December 2024	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
NG Michael Chiu Ho (the “Applicant”) (ADA727)	20 December 2024	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission." to: - "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition."	Nil

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

Last Update : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
Patrons Capital Limited (the "Applicant") (BSM550)	20 December 2024	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
CVG Capital Co, Limited ("the Applicant") (BRZ292)	23 December 2024	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance"	Nil

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

Last Update : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
CVG Capital Co, Limited (“the Applicant”) (BRZ292)	23 December 2024	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation." to: - "For Type 9 regulated activity, the licensee shall only carry on a business in the management of: (a) discretionary accounts; and (b) collective investment schemes that are offered to professional investors only. The terms “collective investment scheme” and “professional investor” are defined under the Securities and Futures Ordinance and its subsidiary legislation (where applicable)."	Nil

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

Last Update : 2 October 2026

Name of the applicant (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)	23 December 2024	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation." to: - "For Type 9 regulated activity, the licensee shall only carry on a business in the management of: (a) discretionary accounts; and (b) collective investment schemes that are offered to professional investors only. The terms “collective investment scheme” and “professional investor” are defined under the Securities and Futures Ordinance and its subsidiary legislation (where applicable)."	Nil

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

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Name of the applicant (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 Zheqing (“the Applicant”) (ANQ750)	23 December 2024	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
ZQ Capital Hong Kong Limited (“the Applicant”) (BMN683)	23 December 2024	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
GRIFFITHS Richard Alan (“the Applicant”) (AHJ440)	23 December 2024	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
MAN Wing Pong (“the Applicant”) (AHC716)	30 December 2024	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
BISWAS Shubhomoy (“ the Applicant”) (ATJ132)	3 January 2025	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
SCHOEPPL-JOST Elke (“the Applicant”) (AQJ086)	3 January 2025	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

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

Last Update : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
BI Ke (“the Applicant”) (BUH360)	3 January 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Junhui (“the Applicant”) (BUP033)	6 January 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee: (1) shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year; and (2) shall not provide related services to any person other than a professional investor unless the licensee is accompanied at all times by a licensed person in performing the regulated activity(ies) in Hong Kong. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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 Feng (“the Applicant”) (BVA703)	6 January 2025	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
BOB International Asset Management Company Limited (“the Applicant”) (BFL327)	6 January 2025	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 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.” and "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."	Nil

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

Last Update : 2 October 2026

Name of the applicant (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 Kin, Vincent (“the Applicant”) (AHA572)	8 January 2025	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
SBI Securities (Hong Kong) Limited (“the Applicant”) (BGB729)	8 January 2025	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
WANG Chao (“the Applicant”) (BUZ157)	8 January 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
AI Fujun (“the Applicant”) (BRK387)	8 January 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Dan (“the Applicant”) (BEW361)	9 January 2025	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 not provide related services to any person other than a professional investor. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules."	Nil

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

Last Update : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
TANG Yi (“the Applicant”) (BCT445)	9 January 2025	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 not provide related services to any person other than a professional investor. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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
MA Liwei (“the Applicant”) (BCD198)	9 January 2025	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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
ZENG Liyi (“the Applicant”) (AWC178)	9 January 2025	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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
YAO Yuan (“the Applicant”) (BAP750)	9 January 2025	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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
CHEN Xiaodan (“the Applicant”) (BNN434)	9 January 2025	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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
WANG Qing (“the Applicant”) (AOX224)	10 January 2025	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
Garvis Capital Management Limited ("the Applicant") (BSK262)	10 January 2025	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
LUPU (Hong Kong) Limited ("the Applicant") (BMW179)	13 January 2025	Valid until amendment or revocation	Modified the following conditions which were 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." "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 1 regulated activity, the licensee shall only: 1. carry on the business of dealing in collective investment schemes and debt securities. The terms "collective investment scheme", "debt securities" and "dealing" are as defined under the Securities and Futures Ordinance; and 2. introduce persons to a corporation that is licensed or registered for Type 1 regulated activity in order that they may effect dealings in securities or make offers to deal in securities." "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
Joincap Capital Limited ("The Applicant") (ABF735)	16 January 2025	Valid until amendment or revocation	Waived the following conditions which were 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.” "All clients' money and other properties should be held in trust accounts designed or evidenced as such with licensed banks, registered dealers or insurance companies which are recognized by the Commission as approved institutions."	Nil
CHOI Chun Ning (“the Applicant”) (ATS068)	16 January 2025	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 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
			"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 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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
YEN Chanan (“the Applicant”) (ARM750)	16 January 2025	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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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 JINJING ("the Applicant") (BTP248)	17 January 2025	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
Fortune Financial Capital Limited ("the Applicant") (ARN695)	22 January 2025	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
Beagle Asset Management Company Limited ("the Applicant") (BGB067)	22 January 2025	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

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
CHOI Tsan Wan (“the Applicant”) (AFG523)	23 January 2025	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.” “For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
QI Jing ("the Applicant") (BUA933)	24 January 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
WeShare Asset Management Limited ("the Applicant") (BMR592)	28 January 2025	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 and corporate professional investors. The terms "institutional professional investors" and "corporate professional investors" are as defined in 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
MENG Meng (“the Applicant”) (BTU179)	4 February 2025	Valid until amendment or revocation	Waived 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." "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
			"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." "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."	

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			"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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
ZHANG Yi (“the Applicant”) (BRF120)	4 February 2025	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
SHEN Minjian (“the Applicant”) (BUG339)	4 February 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
Zircon Securities (HK) Limited (“the Applicant”) (BRE865)	6 February 2025	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “dealing in securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance." to:- "With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to persons which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing 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
FAN Yuen Yi (“the Applicant”) (AEN524)	6 February 2025	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
ZHU Lingfei (“the Applicant”) (BTU204)	6 February 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Kong Yuk ("the Applicant") (AQS312)	7 February 2025	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
NISHI Katsuhiro ("the Applicant") (ATW712)	7 February 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
Centuriam Limited ("the Applicant") (BTG735)	11 February 2025	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
HASEGAWA Kenichi ("the Applicant") (AWF432)	12 February 2025	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
XU Licheng (“the Applicant”) (BSG625)	12 February 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Ye (“the Applicant”) (BGG861)	12 February 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Chunsheng (“the Applicant”) (BRV586)	12 February 2025	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
Mango Financial Limited (“the Applicant”) (ABS838)	11 February 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "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."	Nil
Mango Financial Limited (“the Applicant”) (ABS838)	11 February 2025	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 Hong Kong Codes on Takeovers and Mergers and Share Repurchases."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
CHAKER Sebastien Alexandre (“the Applicant”) (BMB278)	13 February 2025	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." and "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
KUMARGURU Girish (“the Applicant”) (AZV666)	17 February 2025	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "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." "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
			"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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
ZHANG Xinnian ("the Applicant") (AWZ901)	18 February 2025	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
LIU Mengyuan (“the Applicant”) (BTO171)	18 February 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
GAO Chuhan (“the Applicant”) (BRR539)	18 February 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Bangjie (“the Applicant”) (BUP665)	18 February 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Hanru (“the Applicant”) (BQY961)	18 February 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Xueying (“the Applicant”) (BNC039)	18 February 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
CHAN Susan Wai-lan (“the Applicant”) (ADH562)	19 February 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: “For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil
Redland Asset Management Company Limited ("the Applicant") (BSW699)	21 February 2025	Valid until amendment or revocation	Waived the following conditions which were 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." "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
Pyxis Wealth Advisors Limited (the "Applicant") (BOG966)	25 February 2025	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 - (a) underwriting, sub-underwriting and placing of securities; and (b) dealing in collective investment schemes. The terms "collective investment scheme" and "dealing" are as defined under the Securities and Futures Ordinance." to: - "For Type 1 regulated activity, the licensee shall not engage in dealing activities other than - (a) underwriting, sub-underwriting and placing of securities; (b) dealing in collective investment schemes; and (c) 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 such persons may: (i) effect dealings in securities; or (ii) make offers to deal in securities. The terms "collective investment scheme" and "dealing" 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
YOSHIDA Sho (“the Applicant”) (BUI714)	26 February 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "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
YEUNG Siu Yung (“the Applicant”) (AHU361)	27 February 2025	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
LAM Ching Po (“the Applicant”) (BDM079)	27 February 2025	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
WU Xiao (“the Applicant”) (AOS437)	6 March 2025	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
NG Sui Fan, Cathy (“the Applicant”) (APF205)	13 March 2025	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
SHEN Xiaotong (“the Applicant”) (AWU655)	12 March 2025	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
KAN Tsz Yan, Arthur (“the Applicant”) (AGO945)	14 March 2025	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
ZHU Chenyue (“the Applicant”) (BUS914)	18 March 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Jiahao (“the Applicant”) (BVJ908)	18 March 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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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ENGINEER Piran Tehmton (“the Applicant”) (BUC037)	20 March 2025	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." 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 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
MIAO Di (“the Applicant”) (BRC197)	20 March 2025	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." “For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
SHIN Minki ("the Applicant") (BVG013)	28 March 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Yun ("the Applicant") (AWD211)	1 April 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Jiping ("the Applicant") (BVH367)	1 April 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Rui ("the Applicant") (BRI105)	1 April 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Sibo (“the Applicant”) (BUD591)	1 April 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Xueqi (“the Applicant”) (BTZ299)	1 April 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Chao (“the Applicant”) (BGP817)	1 April 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Kailei (“the Applicant”) (AZP261)	1 April 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
Morgans (Hong Kong) Limited ("the Applicant") (BSS438)	2 April 2025	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 introducing persons to other intermediaries, in order that such persons may: (i) effect dealings in securities; or (ii) make offers to deal in securities." to: - "For Type 1 regulated activity, the licensee shall not conduct business other than:- (a) marketing and distributing securities; (b) communicating offers to effect dealings in securities to a related corporation or other intermediaries in the names of the persons from whom those offers are received; and (c) 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 "related corporation" is as defined in Schedule 1 to the Securities and Futures Ordinance."	Nil
GLY CAPITAL MANAGEMENT LIMITED ("the Applicant") (BNG966)	2 April 2025	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
LIM Ji Hong (“the Applicant”) (BRR818)	3 April 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "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
WANG Xuan (“the Applicant”) (BPL827)	7 April 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
CMB Wing Lung Asset Management Limited ("the Applicant") (AYM715)	8 April 2025	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 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."	Nil
YE Fei Yue (“the Applicant”) (API132)	9 April 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
Hash Blockchain Limited (“the Applicant”) (BPL992)	10 April 2025	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "The licensee shall at all times be in compliance with the requirements of the Guidelines for Virtual Asset Trading Platform Operators issued by the Commission." to: "The licensee shall at all times be in compliance with the requirements of the Guidelines for Virtual Asset Trading Platform Operators (“Guidelines”) issued by the Commission, save that for paragraph 7.26(b) of the Guidelines, the licensee may provide staking services to its clients subject to the "Terms and conditions for providing staking services."	Nil
OSL Digital Securities Limited (“the Applicant”) (BPJ213)	10 April 2025	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "The licensee shall at all times be in compliance with the requirements of the Guidelines for Virtual Asset Trading Platform Operators issued by the Commission." to: "The licensee shall at all times be in compliance with the requirements of the Guidelines for Virtual Asset Trading Platform Operators (“Guidelines”) issued by the Commission, save that for paragraph 7.26(b) of the Guidelines, the licensee may provide staking services to its clients subject to the "Terms and conditions for providing staking services".	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
Mulana Investment Management Limited ("the Applicant") (BTL126)	11 April 2025	Valid until amendment or revocation	Waived the following conditions which were~~as~~ 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." "For Type 1 regulated activity, the licensee shall not conduct business other than:- (a) marketing and distribution of collective investment schemes. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance; and (b) introducing persons to another intermediary, in order that they may:- (i) effect dealings in securities; or (ii) make offers 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
ALRIFAI Zaid (“ the Applicant”) (BOW913)	11 April 2025	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
Global Prime Partners (Asia) Limited ("the Applicant") (BDO930)	15 April 2025	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 licensee shall not conduct business other than:- (a) communicating offers to effect dealings in futures contracts to other intermediaries in the names of the persons from whom those offers are received; and (b) introducing persons to other intermediaries, in order that they may: (i) effect dealings in futures contracts; or (ii) make offers to deal in futures contracts."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
LAO Xiangxiang (“the Applicant”) (BRQ072)	15 April 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: “The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Feng (“the Applicant”) (BOT887)	22 April 2025	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
VERACITY INVESTMENT CO., LIMITED ("the Applicant") (AZY725)	22 April 2025	Valid until amendment or revocation	Modified the following conditions which were 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." "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance." 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
LANDAU Alan Jeffrey (“ the Applicant”) (AQC823)	23 April 2025	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
HU Dinan (“the Applicant”) (BPQ347)	24 April 2025	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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DING Mengmeng (“the Applicant”) (BSQ831)	24 April 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
Cornucopia Capital Partners Limited (“the Applicant”) (AOS326)	25 April 2025	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 or the shareholders, directors and employees of the licensee. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation."	Nil
SHEN Tian (“the Applicant”) (BTT119)	24 April 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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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ZHONG Xiaoyang (“the Applicant”) (BSG750)	25 April 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Yang (“the Applicant”) (BVL574)	25 April 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Yunfei (“the Applicant”) (BMA470)	28 April 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Xiaojun (“the Applicant”) (BVQ667)	28 April 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
TANG Liang (“the Applicant”) (BUG299)	28 April 2025	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
LEUNG Hoi Kin (“the Applicant”) (BRK782)	30 April 2025	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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CHENG Jie ("the Applicant") (BSQ486)	30 April 2025	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
CASH Asset Management Limited ("the Applicant") (ALF042)	2 May 2025	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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KOIZUMI Mitsuo (“the Applicant”) (BSU492)	6 May 2025	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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QIU Tingting (“the Applicant”) (BUT156)	6 May 2025	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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SIU Shui Wai (“the Applicant”) (BNH566)	6 May 2025	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
HUI Sai Tsun, Peter (“the Applicant”) (AHU751)	7 May 2025	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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OSAWA Yoshimi (“the Applicant”) (BRQ385)	8 May 2025	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
Future Securities Limited (“the Applicant”) (BJH966)	13 May 2025	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 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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QIAN Wenrui (“the Applicant”) (BVT522)	19 May 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Feikun (“the Applicant”) (BVU301)	19 May 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
YIN Jiakang (“the Applicant”) (BUQ103)	19 May 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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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KWAN Chung Yan (“the Applicant”) (AFQ218)	19 May 2025	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
Greater China Asset Management (HK) Limited (the “Applicant”) (AZN139)	22 May 2025	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: - "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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CHAN Kai Ming, Ricky (“the Applicant”) (AOU629)	19 May 2025	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
Maxwealth Global Asset Management Company Limited (“the Applicant”) (BSQ374)	21 May 2025	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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Maxwealth Global Asset Management Company Limited (“the Applicant”) (BSQ374)	21 May 2025	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)." "For Type 1 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." "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."	Nil

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Name of the applicant (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 Kong Digital Asset EX Limited ("the Applicant") (BPO721)	23 May 2025	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 section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance together with the Securities and Futures (Professional Investor) Rules."	Nil
QI Xiaohe ("the Applicant") (BMP042)	23 May 2025	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
TONG Wa Cheung (“the Applicant”) (BAK537)	23 May 2025	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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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 Chun Man (“the Applicant”) (AZD380)	23 May 2025	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
LI Ying (“the Applicant”) (AUG645)	26 May 2025	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
LAU Fu Wing (“the Applicant”) (ANH674)	27 May 2025	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
MAK Suet Man (“the Applicant”) (BIB910)	27 May 2025	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
YEUNG Siu Yung (“the Applicant”) (AHU361)	28 May 2025	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
DUFFY Mitchell James (“the Applicant”) (BVC143)	28 May 2025	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
QIAN Yingting (“the Applicant”) (BTW611)	28 May 2025	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." to: - "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 28 November 2025 (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." "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	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			(ii) 28 November 2025 (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."	
YANG Zhengfan (“the Applicant”) (BVG098)	30 May 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
TANG Yuanbei (“the Applicant”) (BUW063)	30 May 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Jiaqi (“the Applicant”) (BVU290)	30 May 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
MCKENZIE Julian John Joseph ("the Applicant") (BSI854)	30 May 2025	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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
River Delta Wealth Management Company Limited (“ the Applicant”) (BRV669)	3 June 2025	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
Morgans (Hong Kong) Limited (“the Applicant”) (BSS438)	2 April 2025	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 introducing persons to other intermediaries, in order that such persons may: (i) effect dealings in securities; or (ii) make offers to deal in securities." to:- "For Type 1 regulated activity, the licensee shall not conduct business other than:- (a) marketing and distributing securities; (b) communicating offers to effect dealings in securities to a related corporation or other intermediaries in the names of the persons from whom those offers are received; and (c) 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 “related corporation” is 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
XU Jianqiang (“the Applicant”) (BAJ277)	23 May 2025	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
TEY Eng Chee, Thomas (“the Applicant”) (ABN323)	9 June 2025	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
HOUNG Sui Lut, Richard (“the Applicant”) (BOO566)	9 June 2025	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
BAI Xinrui (“the Applicant”) (BVS400)	11 June 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
JIAO Weining (“the Applicant”) (BUV683)	11 June 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Wie Hon, Derrick (“the Applicant”) (AMP203)	11 June 2025	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
GONG Xiaoman (“the Applicant”) (BNR624)	13 June 2025	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
SHI Yunhan (“the Applicant”) (BLA252)	13 June 2025	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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
MicroBit Capital Management Limited (“the Applicant”) (BUD119)	16 June 2025	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
PENG Yanzhe (“the Applicant”) (BRE722)	17 June 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
BENZ Michael Bruno (“the Applicant”) (ALW843)	18 June 2025	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
SONG Rong (“the Applicant”) (BRD832)	20 June 2025	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 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." to:- "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
ZHAO Lejun (“the Applicant”) (BVZ488)	23 June 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
Millennium Capital Management (Hong Kong) Limited ("the Applicant") (ARE092)	23 June 2025	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 licensee shall only engage in: (a) dealing in securities for and on behalf of companies within the same group of companies of the licensee; and (b) marketing of collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance. " "For Type 2 regulated activity, the licensee shall only engage in dealing in futures contracts for and on behalf of companies within the same group of companies of the licensee."	Nil
LAO Fong I ("the Applicant") (ANR921)	23 June 2025	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
GUO Biao (“the Applicant”) (AXK321)	24 June 2025	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
LEI Ming (“the Applicant”) (BUO917)	25 June 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
PGIM (Hong Kong) Limited (trading as PGIM Fixed Income, PGIM Real Estate, PGIM Investments, PGIM Private Alternatives and Jennison Associates) ("the Applicant") (BVJ981)	26 June 2025	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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Name of the applicant (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 Hui (“the Applicant”) (BRZ307)	23 June 2025	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
Airstar Bank Limited (“the Applicant”) (BTU023)	27 June 2025	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 person 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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Name of the applicant (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 Shui Sang, Bernard (“the Applicant”) (AEO855)	27 June 2025	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 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." "For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
GOLDIE Benjamin James ("the Applicant") (AJD455)	27 June 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	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.
Quam Securities Limited ("the Applicant") (AAC577)	30 June 2025	Valid until amendment or revocation	Modified the following conditions which were imposed on the licence granted to the Applicant: "With respect to providing virtual asset dealing services, the licensee shall only provide such services to professional investors which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term "professional investor" is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance ("SFO") together with the Securities and Futures (Professional Investor) Rules. The term "dealing in securities" is specified in Part 2 of Schedule 5 to the SFO. The term "virtual asset" is defined in Part I of the Terms and conditions for licensed corporations or registered institutions providing virtual asset dealing services under an omnibus account arrangement (as amended from time to time).	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			With respect to providing virtual asset advisory services, the licensee shall only provide such services to professional investors which are, and remain at all times, clients of the licensed corporation in respect of its business in Type 4 regulated activity (advising on securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (“SFO”) together with the Securities and Futures (Professional Investor) Rules. The term “advising on securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in Part I of the Terms and conditions for licensed corporations or registered institutions providing virtual asset advisory services (as amended from time to time)." to: - "With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to persons which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing 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
			to: - "With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to persons which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.	
CHEN Ye (“the Applicant”) (BTX390)	3 July 2025	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
Grand Moore Capital Limited ("the Applicant") (BGB919)	3 July 2025	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 or its provision of custodian services." to:- "For Type 1 regulated activity, the licensee shall not conduct business other than:- (a) underwriting and placing of securities; and (b) its provision of custodian services."	Nil
LAW Chun Ming, Johnny ("the Applicant") (AGJ887)	3 July 2025	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 or its provision of custodian services." to:- "For Type 1 regulated activity, the licensee shall not conduct business other than:- (a) underwriting and placing of securities; and (b) its provision of custodian services."	Nil

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Name of the applicant (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 Lai Kar ("the Applicant") (AEY943)	3 July 2025	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 licensee shall not conduct business other than:- (a) underwriting and placing of securities; and (b) its provision of custodian services."	Nil
LEUNG Yun Lung (“the Applicant”) (ADI458)	4 July 2025	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
YEUNG Siu Yung (“the Applicant”) (AHU361)	4 July 2025	Valid until amendment or revocation	Waived the following conditions which were 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." "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
LAI Man Ling (“the Applicant”) (AWX953)	4 July 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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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TSAI Ching Long (“the Applicant”) (AGW724)	4 July 2025	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
Fosun Asset Management Limited (“the Applicant”) (BGO549)	7 July 2025	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 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
KOBATA Tetsuaki (“the Applicant”) (BUO236)	7 July 2025	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
MAK Siu Lun (“ the Applicant”) (AMV285)	7 July 2025	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
Greenfield Asset Management Limited (the "Applicant") (AME537)	8 July 2025	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
XIAO Xie ("the Applicant") (BVI405)	9 July 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
BUSH Timothy David ("the Applicant") (ANG617)	4 July 2025	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
ZHANG Jingyu (“the Applicant”) (BUT005)	9 July 2025	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
XIAO Jiafeng (“the Applicant”) (BVH869)	14 July 2025	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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ZHAI Wenjing (“the Applicant”) (ARP180)	16 July 2025	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 Chun Wai (“the Applicant”) (BMV688)	17 July 2025	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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Sandaya Hiroyoshi (“the Applicant”) (BDD021)	21 July 2025	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
RAM Investment Advisors Limited (“The Applicant”) (BGL803)	21 July 2025	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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SHEK Sai Lok Edmond (“the Applicant”) (BFR586)	21 July 2025	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
QIAN Manman (“the Applicant”) (BIO290)	22 July 2025	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
Dymon Asia Capital (HK) Limited (“the Applicant”) (AXF752)	24 July 2025	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 dealing in securities for and on behalf of companies within the same group of companies of the licensee."	Nil
QMIS Asset Management Limited ("The Applicant") (ATB753)	30 July 2025	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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YANG Xiaojing (“the Applicant”) (AWN157)	29 July 2025	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
Opus Capital Limited (“the Applicant”) (BCU710)	31 July 2025	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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LEE Mei Yi (“the Applicant”) (AGH969)	1 August 2025	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
CHEN Wei (“the Applicant”) (BSH221)	1 August 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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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TANG Man Lei (“the Applicant”) (AVR839)	1 August 2025	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
CHENG King Wai (“the Applicant”) (AHR486)	1 August 2025	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
Profit Access Investments Limited ("the Applicant") (BLK493)	4 August 2025	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

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CHU Chun Hung, Frederick (“the Applicant”) (AOR257)	4 August 2025	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
CSpro (Hong Kong) Limited (“the Applicant”) (BSH213)	11 August 2025	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "After 24 months of being licensed, the licensee shall engage an independent professional firm (such as an accountancy or law firm) acceptable to the Securities and Futures Commission to conduct a review of its activities and operations and prepare a report confirming that it has complied with the licensing conditions, relevant provisions of the Securities and Futures Ordinance, and the applicable rules, codes, guidelines and circulars issued by the Securities and Futures Commission (with specific reference to the Guidelines on Online Distribution and Advisory Platforms). The report should be submitted to the Securities and Futures Commission within 30 months after the licensee is first licensed."	Nil

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			to: - "After 32 months of being licensed, the licensee shall engage an independent professional firm (such as an accountancy or law firm) acceptable to the Securities and Futures Commission to conduct a review of its activities and operations and prepare a report confirming that it has complied with the licensing conditions, relevant provisions of the Securities and Futures Ordinance, and the applicable rules, codes, guidelines and circulars issued by the Securities and Futures Commission (with specific reference to the Guidelines on Online Distribution and Advisory Platforms). The report should be submitted to the Securities and Futures Commission within 38 months after the licensee is first licensed."	
DENG Jun (“the Applicant”) (BTY722)	12 August 2025	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
YIM Chi Hang (“the Applicant”) (BBY539)	13 August 2025	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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ZHANG Chiheng (“the Applicant”) (BQO230)	13 August 2025	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "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. 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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FUNG Chun Yu (“the Applicant”) (AYD269)	14 August 2025	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. For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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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WONG Kwok Chu (“the Applicant”) (AQV376)	14 August 2025	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
HUANG Songbo (“the Applicant”) (ARS092)	18 August 2025	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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WealthQuay Asset Management Limited ("the Applicant") (BLQ965)	18 August 2025	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
GUO Jun Lin ("the Applicant") (BUT991)	20 August 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
LAN Tingpeng ("the Applicant") (BVT576)	21 August 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Lubing ("the Applicant") (BVQ018)	21 August 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
FUNG Mei Shan (“the Applicant”) (BHQ087)	25 August 2025	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: “For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." “For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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

Last Update : 2 October 2026

Name of the applicant (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 Mingcheng (“the Applicant”) (BHP709)	27 August 2025	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." to:- “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)
On or after 1 January 2021

Last Update : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
STAVIS John Abraham (“the Applicant”) (BWH102)	28 August 2025	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." to: - “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) 28 February 2026 (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.”	Nil

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

Last Update : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			"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) 28 February 2026 (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."	
LIU Yang ("the Applicant") (BNQ767)	29 August 2025	Valid until amendment or revocation	Waived the following conditions which were 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." "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 : 2 October 2026

Name of the applicant (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 Ruixing (“the Applicant”) (BVN797)	3 September 2025	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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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 : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
CHIN Jin Han (“the Applicant”) (BWI461)	4 September 2025	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 45 days in 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 : 2 October 2026

Name of the applicant (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 Shuo-Wen (“the Applicant”) (BTT184)	4 September 2025	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 45 days in 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 : 2 October 2026

Name of the applicant (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 Brian Walter (“the Applicant”) (BTE963)	5 September 2025	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 45 days in 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 : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
AATEN Thijs (“the Applicant”) (BNH073)	8 September 2025	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 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

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

Last Update : 2 October 2026

Name of the applicant (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 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.	
WU Jie (“the Applicant”) (BWA975)	9 September 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Zhijie (“the Applicant”) (BWA973)	9 September 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 : 2 October 2026

Name of the applicant (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 Bin (“the Applicant”) (BWC334)	9 September 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
MAO Qingqing (“the Applicant”) (BRI453)	9 September 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
FAN You (“the Applicant”) (BRI789)	9 September 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
BI Runhan (“the Applicant”) (BRF106)	9 September 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 : 2 October 2026

Name of the applicant (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 Lechen (“the Applicant”) (BSG707)	9 September 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Miaolin (“the Applicant”) (BTN043)	9 September 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Xuhang (“the Applicant”) (BWC742)	11 September 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
YAO Jieran (“the Applicant”) (BVA977)	11 September 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
HANG Shimin (“the Applicant”) (BUX812)	11 September 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
DONG Wenrui (“the Applicant”) (BVE728)	11 September 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
ZENG Zilin (“the Applicant”) (BTT415)	11 September 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
MANSOUR Charles Marcus (“the Applicant”) (BNH611)	11 September 2025	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 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition.	Nil
SHI Junfeng (“the Applicant”) (BJD766)	29 August 2025	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
CEB International Capital Corporation Limited ("the Applicant") (BGH296)	12 September 2025	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
Winner Zone Asset Management Limited ("the Applicant") (BRO369)	12 September 2025	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 1 regulated activity, the licensee shall only engage in introducing persons to other intermediaries, in order that such persons may (a) effect dealings in securities; or (b) make offers to deal in securities." "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
ZHU Yingying (“the Applicant”) (BUQ091)	12/09/2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
BONNEVILLE DE MARSANGY Roland Philippe Marie Guillaume (“the Applicant”) (BIG552)	19 September 2025	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 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: (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 : 2 October 2026

Name of the applicant (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 QI (“the Applicant”) (BVS254)	24 September 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: “The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
LAI Ming Him (“the Applicant”) (AZF662)	16 September 2025	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
Shikhara Capital (Hong Kong) Private Limited (“the Applicant”) (BUQ155)	26 September 2025	Valid until amendment or revocation	Waived the following condition which were imposed on the licence granted to the Applicant: “The licensee shall only provide services to its group of companies. The term “group of companies” is 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
CHUNG Vincent Huw Yeung (“the Applicant”) (BTX713)	29 September 2025	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." to:- "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) on 29 March 2026 (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." and	Nil

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Last Update : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			"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) on 29 March 2026 (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."	

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
GPTX Investment Management Limited ("the Applicant") (BTV456)	29 September 2025	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." 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 1 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." "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."	Nil
YU Yinjun (“the Applicant”) (BPJ184)	3 October 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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
ZHAO Yan (“the Applicant”) (BRQ768)	3 October 2025	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 at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." to:- “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
			"This licence, in relation to Type 6 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."	
GUAN Bowen ("the Applicant") (BVY849)	8 October 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Zhenji ("the Applicant") (BUQ587)	8 October 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Jinze ("the Applicant") (BVT931)	8 October 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Yi ("the Applicant") (BWD140)	8 October 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
SO Wai Ching ("the Applicant") (BRB314)	9 October 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "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."	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
TEY Eng Chee, Thomas (“the Applicant”) (ABN323)	9 October 2025	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
ZHAO Detao (“the Applicant”) (BWC547)	9 October 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in 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 Kwok Kuen (“the Applicant”) (AMX446)	9 October 2025	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
Ascendant Asset Management (HK) Limited ("the Applicant") (ATB513)	10 October 2025	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." 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 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
WU Shing Hang (“the Applicant”) (BHK841)	14 October 2025	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
HOWARTH James Alexander Douglas (“the Applicant”) (BSY166)	15 October 2025	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
LU Xin (“the Applicant”) (AQV153)	14 October 2025	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
HONG Jiajie (“the Applicant”) (BUT676)	16 October 2025	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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
LEUNG Hong Kan (“the Applicant”) (AZM887)	17 October 2025	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
PENG Xiaohui (“the Applicant”) (BRK900)	21 October 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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
Po Lee Asset Management Limited ("the Applicant") (BJP811)	27 October 2025	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 Jeremy ("the Applicant") (AEA858)	22 October 2025	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
Nomura International (Hong Kong) Limited ("the Applicant") (AAF742)	28 October 2025	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
LIU Ziqi (“the Applicant”) (BWI689)	3 November 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 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
HO Yuk Yin, Connie (“the Applicant”) (AMA089)	4 November 2025	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
Chocolate Finance HK Limited ("the Applicant") (BSF252)	5 November 2025	Valid until amendment of 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
WONG Kenty (“the Applicant”) (AFW272)	11 November 2025	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
CONTRENDIAN Limited (“the Applicant”) (BIT392)	12 November 2025	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
PONG Joanne Chiu Yan (“the Applicant”) (ALQ969)	12 November 2025	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
CHEN Shu (“the Applicant”) (BUG216)	11 November 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Yinzheng (“the Applicant”) (BUK994)	14 November 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Menghui (“the Applicant”) (BUD818)	14 November 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Yu (“the Applicant”) (BWC523)	14 November 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Da (“the Applicant”) (AVN426)	14 November 2025	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
XUE Youwei (“the Applicant”) (BTK888)	18 November 2025	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 Wei (“the Applicant”) (BRP044)	20 November 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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
GAO Renxiang (“the Applicant”) (BWD218)	20 November 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Wenbo (“the Applicant”) (BTZ182)	20 November 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Jiankun (“the Applicant”) (BUS590)	20 November 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Xianning (“the Applicant”) (BVF970)	20 November 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Yan (“the Applicant”) (BUV617)	20 November 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Wai Leung (“the Applicant”) (ABH991)	24 November 2025	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
uSmart Securities Limited ("the Applicant") (BJA907)	28 November 2025	Valid until amendment or revocation	Waived the following conditions which were 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." "For Type 6 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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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
CHIANG Chun Wai (“the Applicant”) (BKE260)	28 November 2025	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
LOKE Chern Yang Ian (“the Applicant”) (BOM372)	28 November 2025	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 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." to:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 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
XUE Yanwu (“the Applicant”) (BVX047)	2 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Xiajuan (“the Applicant”) (BWB393)	2 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
WATSON Steven Thomas (“the Applicant”) (AFA783)	3 December 2025	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
WEN Zhiyang (“the Applicant”) (BUH933)	3 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Xiaoyu (“the Applicant”) (BUH676)	3 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
ZH Securities Limited (“the Applicant”) (BOW474)	4 December 2025	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 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
YANG Ying (“the Applicant”) (BQZ907)	4 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Zhong (“the Applicant”) (BVC371)	4 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
YOUNG MIKE IAN (“the Applicant”) (BST968)	4 December 2025	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 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." to:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 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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CHOOI Trinston Pai Yik (“the Applicant”) (BSR671)	4 December 2025	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 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." to:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 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
CHAN Wing Bun ("the Applicant") (BIG618)	4 December 2025	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
DU Changqing (“the Applicant”) (BUU858)	5 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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
YEO TERRI HUIXIAN (“the Applicant”) (BUA009)	5 December 2025	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 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." to:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 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
GROW Asset Management (HK) Limited (the “Applicant”) (BEH811)	8 December 2025	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
SUN Jun (“the Applicant”) (BTC658)	8 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Last Update : 2 October 2026

Name of the applicant (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 Longyang (“the Applicant”) (BSI303)	8 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Dewang (“the Applicant”) (BVA852)	8 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
FAN Xinliang (“the Applicant”) (BUM435)	8 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
DONG Chao (“the Applicant”) (BSI026)	8 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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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Last Update : 2 October 2026

Name of the applicant (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 Guanzhong (“the Applicant”) (BRR292)	10 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Qinpei (“the Applicant”) (BVG979)	10 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
DING Chaoqin (“the Applicant”) (BQQ680)	10 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Qin (“the Applicant”) (BUX161)	10 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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
YAO Chong (“the Applicant”) (BVR969)	10 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Jiang (“the Applicant”) (BRA596)	10 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Xiaowen (“the Applicant”) (BVI039)	10 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Huan (“the Applicant”) (BBR074)	10 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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
LIU Wen (“the Applicant”) (BLV389)	10 December 2025	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: “For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition. For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (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 Yuen Man (“the Applicant”) (BKA243)	12 December 2025	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (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 Keung (“the Applicant”) (ALK169)	15 December 2025	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Last Update : 2 October 2026

Name of the applicant (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 Zhenyu (“the Applicant”) (BWH291)	18 December 2025	Valid until amendment of 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 45 days in each calendar year; and (2) shall not provide related services to any person other than a professional investor unless the licensee is accompanied at all times by a licensed person in performing the regulated activity(ies) in Hong Kong. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
XIAO Yuqiang (“the Applicant”) (BSM581)	18 December 2025	Valid until amendment of 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 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." "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
			"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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	
Huafu International Finance Limited ("the Applicant") (BQC240)	19 December 2025	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
LGT Investment Management (Asia) Limited ("the Applicant") (AAC801)	23 December 2025	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

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
COLANI Silvan (“the Applicant”) (ADI834)	23 December 2025	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
WIDMER Rolf (“the Applicant”) (AGJ405)	23 December 2025	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
YU Quan (“the Applicant”) (BPR500)	31 December 2025	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
HONG Guang (“the Applicant”) (BWV004)	31 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Xinchen (“the Applicant”) (BTU880)	31 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Xiqing (“the Applicant”) (BRT361)	31 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
YIN Shuyang (“the Applicant”) (BWX049)	31 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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
TU Fanglin (“the Applicant”) (BVL018)	31 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Xuebin (“the Applicant”) (BNH087)	31 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Siyi (“the Applicant”) (BVD355)	31 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Hanqing (“the Applicant”) (BVW423)	31 December 2025	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Meng (“the Applicant”) (BIW988)	2 January 2026	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
WANG Meng (“the Applicant”) (BIW988)	2 January 2026	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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Name of the applicant (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 Sharon (“the Applicant”) (BPB219)	2 January 2026	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 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
LI Jingshu (“the Applicant”) (BWF442)	5 January 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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
LIN Kuipu (“the Applicant”) (BQL340)	5 January 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Kai (“the Applicant”) (BUF316)	5 January 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Keming (“the Applicant”) (BUP655)	7 January 2026	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 45 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
CHANG Haeyoon Aileen (“the Applicant”) (AJH217)	7 January 2026	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
CHU Chun On, Franco ("the Applicant") (ANW442)	8 January 2026	Valid until amendment of 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
Trade Rise Limited ("the Applicant") (BVH398)	9 January 2026	Valid until amendment of 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
Hang Seng Investment Management Limited (the "Applicant") (ABT330)	9 Januaury 2026	Valid until amendment of revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall only act as an agent for the listing of index tracking exchange traded funds under its management pursuant to Chapter 20 of the Rules Governing the Listing of Securities on the Stock Exchange of Hong Kong Limited. In acting as such agent, the licensee shall not advise on any listing that involves initial public offering contemplated under the Corporate Finance Adviser Code of Conduct." to: "For Type 6 regulated activity, the licensee shall only act as an agent for the listing of collective investment schemes under its management pursuant to Chapter 20 of the Rules Governing the Listing of Securities on the Stock Exchange of Hong Kong Limited. In acting as such agent, the licensee shall not advise on any listing that involves initial public offering contemplated under the Corporate Finance Adviser Code of Conduct."	Nil

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Name of the applicant (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)	9 Januaury 2026	Valid until amendment of revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall only act as an agent for the listing of index tracking exchange traded funds under its management pursuant to Chapter 20 of the Rules Governing the Listing of Securities on the Stock Exchange of Hong Kong Limited. In acting as such agent, the licensee shall not advise on any listing that involves initial public offering contemplated under the Corporate Finance Adviser Code of Conduct." to: "For Type 6 regulated activity, the licensee shall only act as an agent for the listing of collective investment schemes under its management pursuant to Chapter 20 of the Rules Governing the Listing of Securities on the Stock Exchange of Hong Kong Limited. In acting as such agent, the licensee shall not advise on any listing that involves initial public offering contemplated under the Corporate Finance Adviser Code of Conduct."	Nil

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Name of the applicant (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)	9 Januaury 2026	Valid until amendment of revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall only act as an agent for the listing of index tracking exchange traded funds under its management pursuant to Chapter 20 of the Rules Governing the Listing of Securities on the Stock Exchange of Hong Kong Limited. In acting as such agent, the licensee shall not advise on any listing that involves initial public offering contemplated under the Corporate Finance Adviser Code of Conduct." to: "For Type 6 regulated activity, the licensee shall only act as an agent for the listing of collective investment schemes under its management pursuant to Chapter 20 of the Rules Governing the Listing of Securities on the Stock Exchange of Hong Kong Limited. In acting as such agent, the licensee shall not advise on any listing that involves initial public offering contemplated under the Corporate Finance Adviser Code of Conduct."	Nil
Ant Bank (Hong Kong) Limited ("the Applicant") (BUE425)	15 January 2026	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 person 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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Name of the applicant (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 Manjun (“the Applicant”) (BWF512)	15 January 2026	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 45 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
ARNULPHY Robb Victor ("the Applicant") (BOW990)	16 January 2026	Valid until amendment of rev	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
LEUNG Man Chak (“the Applicant”) (AMH953)	16 January 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: “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."	Nil
HO Chok Kam (“the Applicant”) (BUB023)	20 January 2026	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
LCA Solutions Limited (“the Applicant”) (AVD961)	23 January 2026	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
LEGRAND Philippe Herve Marc (“the Applicant”) (AEK110)	23 January 2026	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
RAMCHANDANI Sanam Raju (“the Applicant”) (AEO646)	23 January 2026	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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YE Zhijian ("the Applicant") (BHS216)	28 January 2026	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
BNP PARIBAS ASSET MANAGEMENT ASIA LIMITED ("the Applicant") (BNS488)	29 January 2026	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
Yino Asset Management Limited ("the Applicant") (BUX837)	29 January 2026	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
LO Ching Kong (“the Applicant”) (BFD628)	2 January 2026	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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
YAN Yongbin ("the Applicant") (BWV281)	4 February 2026	Valid until amendment of revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Qiao ("the Applicant") (BOF590)	4 February 2026	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
CHAN Hon Hei, Victor (“the Applicant”) (AQF553)	5 February 2026	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
AVICT Global Asset Management Limited (“the Applicant”) (BHF812)	12 February 2026	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
Trendman Capital Limited (“the Applicant”) (BTF129)	13 February 2026	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
CHOY Tak Sum ("the Applicant") (BAJ163)	13 February 2026	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
Indus Capital Advisors (Hong Kong) Limited ("the Applicant") (AFC560)	23 February 2026	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 communicate offers 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."	Nil
YIN Xiaoqian ("the Applicant") (BUT562)	25 February 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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
XING Chengyu (“the Applicant”) (BWB142)	25 February 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
TSE Hiu Fung, Arthur (“the Applicant”) (BGA993)	25 February 2026	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 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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 Yuhua ("the Applicant") (BUL442)	25 February 2026	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 45 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
Sun Securities Limited (“the Applicant”) (AWT951)	3 March 2026	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "All members of the licensee’s senior management shall take all necessary actions to ensure that the licensee duly executes and complies with all conditions imposed on the licensee’s licence. The term “senior management” refers to directors, responsible officers, and individuals who are Managers-In-Charge of Core Functions. The term “director” is defined in Schedule 1 to the Securities and Futures Ordinance to include a shadow director and any person occupying the position of director by whatever name called." “The licensee shall, unless it has obtained the prior written consent of the Commission, only incur expenses or overheads of a nature which are similar to those directly settled by it in the past 12 months, and with terms and conditions similar to those entered into by it in the past 12 months, except for legal fees (if any) incurred for the purposes of paying unclaimed client assets into the court.” “The licensee shall notify the Commission immediately if any of its operating expenses (including rental expenses and salary expenses) become overdue.” “The licensee shall not solicit or accept any new securities margin financing clients.”	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			"(a) The licensee shall not undertake any of the actions below if such action would result in the licensee's excess liquid capital (referred to as the amount by which the licensee's liquid capital exceeds the minimum liquid capital required of it under the Securities and Futures (Financial Resources) Rules) ("ELC") falling below six times the current monthly net loss before tax as reported in its monthly financial return as a consequence: (i) provide any new loan, any further credit or any other form of financial accommodation or any gift to any person, including any of its clients, directors, substantial shareholders, related corporations, or their respective directors or shareholders; or (ii) return any paid-up share capital to its shareholders or declare or pay any dividends to its shareholders. (b) If the licensee's ELC falls below six times the current monthly net loss before tax as reported in its monthly financial return, it shall not pledge any assets (including cash and bank balances) or provide any guarantee to secure facilities provided to (or any liabilities of) any person, including any of its directors, substantial shareholders, related corporations, or the respective directors or shareholders of its related corporations. (c) If the licensee's ELC falls below three times the current monthly net loss before tax as reported in its monthly financial return, it shall: (i) notify the Commission in writing within one business day upon becoming aware of such situation;	

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			(ii) not solicit or accept any new clients in respect of its Type 1 regulated activity; (iii) not execute any further buy orders or share subscription orders from any of its clients; (iv) only execute sell orders from its clients who have sufficient stockholding in their accounts to meet their settlement obligations; (v) not re-pledge any client securities or securities collateral; (vi) not receive any additional client assets from or on behalf of any of its clients, except for sale proceeds, interest derived from the holding of client money in a segregated account, dividends and other client assets arising from corporate actions received on behalf of its clients or settlement of outstanding receivables owed by its clients to the licensee; (vii) return all client assets held by the licensee as soon as practicable and in any event within three months; (viii) in respect of any client assets unclaimed by its clients despite its best endeavours to contact those clients, arrange to apply for payment of such client assets into the court under the Trustee Ordinance (Cap. 29). To this end, the licensee shall engage professional legal advisors to advise it on the related proceedings and to set aside sufficient funds, to the extent of the financial resources available to it, to pay for the legal expenses to be incurred; (ix) collect all outstanding receivables from its clients as soon as practicable; (x) notify all clients of the measures in paragraphs (ii) to (ix) of this condition (c); and (xi) give the Commission written notice at least five business days in advance of any changes in its responsible officers, directors or Managers-In-Charge of Core Functions, or any resignation or termination of their appointment.”	

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Name of the applicant (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 Kong Huijin Securities Limited ("the Applicant") (BLI059)	3 March 2026	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
Long Trends Securities Limited ("the Applicant") (BIX420)	6 March 2026	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 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
XU Yixiao (“the Applicant”) (BTS056)	6 March 2026	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
NAH Wee Ping ("the Applicant") (ADU947)	9 March 2026	Valid until amendment of rev	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
NG Siu Chun (“the Applicant”) (APU792)	10 March 2026	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
FORSTER Philipp (“the Applicant”) (BUF398)	10 March 2026	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 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
			"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."	
HERRMANN Gavin John ("the Applicant") (BCA220)	11 March 2026	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
FUJII Shunsuke (“the Applicant”) (BDM851)	16 March 2026	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 45 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
ZHANG Dong (“the Applicant”) (BSI227)	16 March 2026	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." “For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
Asia Pacific Financial Capital Limited (“the Applicant”) (AHH120)	18 March 2026	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 Repurchases issued by the Commission."	Nil
CHIN Sui Ying (“the Applicant”) (APR030)	18 March 2026	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
LOW Alfred Chun-Jin (“the Applicant”) (BWU879)	18 March 2026	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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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 Yunshan (“the Applicant”) (BWC172)	5 March 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: “The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Dawei ("the Applicant") (BKO397)	19 March 2026	Valid until amendment of 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
WANG Ke (“the Applicant”) (BGN393)	19 March 2026	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
VON HOLST LARA FELICIA SOPHIE (“the Applicant”) (BSI889)	19 March 2026	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
ZHENG Jia ("the Applicant") (BRV885)	20 March 2026	Valid until amendment of revocation	Waived the following condition which was imposed on the licence granted to the Applicant: - "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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
CHAN Tak Chiu (“the Applicant”) (AWV321)	24 March 2026	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
LEW Cheuk Ning (“the Applicant”) (BDM050)	25 March 2026	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
Bullish HK Markets Limited (“the Applicant”) (BUQ956)	30 March 2026	Valid until amendment or revocation	Modify the following licensing condition which was imposed on the licence granted to the Applicant from: "The licensee shall only provide services to qualified investors. The licensee should (a) establish and implement measures to ensure that only qualified investors are permitted to be users of its platform; and (b) have arrangements in place to ensure that where a qualified investor routes orders to its platform on behalf of the qualified investor’s clients, such orders are placed or originated by a person who/which is a qualified investor. The term “qualified investor” means: (1) a person falling under paragraphs (a) to (i) of the definition of “professional investor” in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance; or (2) a person within the meaning of section 4, 6 (other than a person referred to in section 6(b)(ii)) or 7 of the Securities and Futures (Professional Investor) Rules. The term “user” means a qualified investor whose orders are placed into or whose transactions are conducted in the platform operated by the licensee, and includes any qualified investor who/which is ultimately responsible for originating the instruction in relation to an order placed into, or a transaction conducted in, the platform"	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			to: "The licensee shall 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.” “With respect to engaging an affiliated market maker to conduct market making activities on the virtual asset trading platform, the licensee shall comply with the “Terms and conditions for a virtual asset trading platform operator to accept affiliated market makers”. ”	
LIU Tong (“the Applicant”) (BUS644)	31 March 2026	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 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." to:- "For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
Fofund International (HK) Limited ("the Applicant") (BUL208)	8 April 2026	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
WANG Yansong ("the Applicant") (BQA757)	13 April 2026	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)
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Name of the applicant (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 Mao (“the Applicant”) (BGI315)	16 April 2026	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
Mirae Asset Securities (HK) Limited ("the Applicant") (BJB333)	14 April 2026	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term "professional investor" is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term "dealing in securities" is specified in Part 2 of Schedule 5 to the SFO. The term "virtual asset" is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance." to:- "With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to persons which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term "dealing in securities" is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term "virtual asset" is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing 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
DOU Xiaofen (“the Applicant”) (BWI679)	21 April 2026	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 45 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:- "For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities."	Nil
WU Sai Ping (“the Applicant”) (BNX467)	23 April 2026	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
Bright Moon Capital Limited ("the Applicant") (BVQ938)	28 April 2026	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
THATCHER Mark Anthony ("the Applicant") (APG515)	6 May 2026	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
LI Yuk Hei Yocia (“the Applicant”) (BRI684)	5 May 2026	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 45 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:- "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) 5 November 2026 (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."	Nil

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Name of the applicant (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 Shuyu (“the Applicant”) (BSX669)	7 May 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Yuyan (“the Applicant”) (BUQ748)	7 May 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Yiqi (“the Applicant”) (BWW117)	7 May 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Chen (“the Applicant”) (BNP131)	7 May 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Jing (“the Applicant”) (BSQ787)	8 May 2026	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
ZHANG Jing (“the Applicant”) (BVL292)	8 May 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: “The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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
TSAI Tsung Han ("the Applicant") (BTH306)	11 May 2026	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
WU Qilin (“the Applicant”) (BUO075)	11 May 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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”) (BWE129)	11 May 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Rong (“the Applicant”) (BUM152)	11 May 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
Carlyon Capital Limited (“the Applicant”) (BUS515)	12 May 2026	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
Carlyon Capital Limited (“the Applicant”) (BUS515)	12 May 2026	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
SUN Xuejun (“the Applicant”) (AXP739)	13 May 2026	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
CHU Ching Hsuan (“the Applicant”) (AXD387)	13 May 2026	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
ZHAI Jin (“the Applicant”) (BOS131)	13 May 2026	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." “For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
LAU Chun Yu (“the Applicant”) (AYJ055)	13 May 2026	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." "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: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil
Qube Research & Technologies Hong Kong Limited ("The Applicant") (BJJ249)	19 May 2026	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 market making of 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
Dongxing Securities (Hong Kong) Company Limited ("the Applicant") (BBY779)	19 May 2026	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
YU Kok Leung ("the Applicant") (AGI779)	21 May 2025	Valid until amendment or revocation	Waived 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." "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
			"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." "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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
XIANG Chen (“the Applicant”) (BUT061)	22 May 2026	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 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." to:- “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

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			"This licence, in relation to Type 6 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."	
Huatai-PCG Asset Management Limited ("the Applicant") (BWB590)	26 May 2026	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
Zheshang International Financial Holdings Co., Limited ("the Applicant") (BGD825)	27 May 2026	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
HU Zhengyuan (“the Applicant”) (BTC084)	27 May 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Rui (“the Applicant”) (BSB882)	27 May 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Haixia (“the Applicant”) (BTR931)	27 May 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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
MACINTOSH Andrew Keith (“the Applicant”) (AQI388)	22 May 2026	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 the capacity as a responsible officer in managing or supervising the management of portfolios containing futures contracts for another person, act under the advice of another responsible officer who is: (a) licensed for the activity without any condition which prohibits him/her from providing a service of managing a portfolio of futures contracts for another person; (b) accredited to the principal concerned of the licensee in respect of the activity; and (c) 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 Tao (“the Applicant”) (BVW999)	29 May 2026	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
LEE Mei Shan (“the Applicant”) (ASP357)	8 June 2026	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
WAN Li (“the Applicant”) (BOZ747)	9 June 2026	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 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
			“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 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."	

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Name of the applicant (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 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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	
CHOW Sze Yuen, Simon (the "Applicant") (APJ232)	9 June 2026	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
ZHANG Congzhan ("the Applicant") (BTJ178)	10 June 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
ZHUANG Dong ("the Applicant") (BNN869)	10 June 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
XIONG Dong ("the Applicant") (BQB342)	10 June 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Mengdi ("the Applicant") (BUI084)	10 June 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Wenrui (“the Applicant”) (BTM888)	10 June 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
EXIO Limited (“the Applicant”) (BUT670)	10 June 2026	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "The licensee shall only operate a centralised online virtual asset trading platform for trading of virtual assets on its platform and carry on (1) off-platform virtual asset trading business and incidental services provided by it to its clients; and (2) activities conducted in relation to such off-platform business. The term “virtual asset” is as defined in the Guidelines for Virtual Asset Trading Platform Operators issued by the Commission." to	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			"The licensee shall only operate a centralised virtual asset trading platform for trading of virtual assets on its platform and carry on (1) off-platform virtual asset trading business and incidental services provided by it to its clients; (2) activities conducted in relation to such off-platform business; (3) distribution of investment products and tokenised securities business and incidental services; and (4) custody services of virtual assets and tokenised securities of its clients which are not traded on the virtual asset trading platform. The term “virtual asset” is as defined in the Guidelines for Virtual Asset Trading Platform Operators (“Guidelines”) issued by the Commission. The term “tokenised securities” means traditional financial instruments that are “securities” as defined in section 1 of Part 1 of Schedule 1 to the SFO which utilise distributed ledger technology or similar technology in their security lifecycle.	

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			“Relevant Activities” under the Guidelines in respect of the licensee means: (a) providing services through means of electronic facilities: (i) whereby: (A) offers to sell or purchase virtual assets are regularly made or accepted in a way that forms or results in a binding transaction; or (B) persons are regularly introduced, or identified to other persons in order that they may negotiate or conclude, or with the reasonable expectation that they will negotiate or conclude sales or purchases of virtual assets in a way that forms or results in a binding transaction; and (ii) where client money or client virtual assets comes into direct or indirect possession of the person providing such service; and (b) any off-platform virtual asset trading activities and incidental services provided by the licensee to its clients, and any activities conducted in relation to off-platform virtual asset trading activities; and (c) custody services of virtual assets and tokenised securities of its clients which are not traded on the virtual asset trading platform."	

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			and "The licensee shall at all times be in compliance with the requirements of the Guidelines for Virtual Asset Trading Platform Operators ("Guidelines") issued by the Commission, save that under 10.1 of the Guidelines which requires the licensee should only hold client assets on trust for its clients through its Associated Entity, the licensee may maintain trust account(s) or client account(s) in the licensee's name with the custodian(s) of the investment products and tokenised securities in the course of its distribution services subject to compliance with applicable laws and regulations. The term "Associated Entity" is as defined in the Guidelines." The term "tokenised securities" means traditional financial instruments that are "securities" as defined in section 1 of Part 1 of Schedule 1 to the SFO which utilise distributed ledger technology or similar technology in their security lifecycle."	

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Name of the applicant (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 Wan Wing (“the Applicant”) (BPN162)	10 June 2026	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
ZOU Chu (“the Applicant”) (AVZ312)	10 June 2026	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
LAVEDRINE Chloe Victorine Jacqueline ("the Applicant") (BWK432)	11 June 2026	Valid until amendment or revocation	Waived the following condition which was 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
POON Mung Yu ("the Applicant") (AFP040)	12 June 2026	Valid until amendment or revocation	Waived the following condition which were 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
Nautilus Trek Capital Management Company Limited (“the Applicant”) (BVZ021)	16 June 2026	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
YANG Junzhe (“the Applicant”) (BTE396)	16 June 2026	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
XU Baiqiao (“the Applicant”) (BUQ713)	17 June 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Lei (“the Applicant”) (BXL316)	17 June 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
TSE Ming Fun (“the Applicant”) (AJC830)	18 June 2026	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
Yuan Tong Global Asset Management Limited (“the Applicant”) (BJW257)	18 June 2026	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
WU Guotai (“the Applicant”) (BTP581)	23 June 2026	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 45 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
JONES Timothy Oliver Chatterley ("the Applicant") (BRX901)	25 June 2026	Valid until amendment of 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." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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 Xinwei (“the Applicant”) (BBN708)	26 June 2026	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
DL SECURITIES (HK) LIMITED (“the Applicant”) (AZN279)	26 June 2026	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “dealing in securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing 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
			to:- "With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to persons which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities), except where the registered institution provides virtual asset dealing services only in Relevant Stablecoins to its clients, such clients need not be its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term "dealing in securities" is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term "virtual asset" is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance."	
Huaan Securities (Hong Kong) Corporate Finance Limited ("the Applicant") (BWI790)	30 June 2026	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 25 January 2026."	Nil
LIU Guanhong ("the Applicant") (BSF661)	2 July 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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
DEGNEY Lauren Kimberly ("the Applicant") (AQS567)	2 July 2026	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 45 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: "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

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Name of the applicant (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 Xiangming ("the Applicant") (AZW193)	2 July 2026	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
WAN Kin Chung (“the Applicant”) (BMG887)	2 July 2026	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
POON Koon Chung Gary (“the Applicant”) (BSH220)	6 July 2026	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
WU Qian (“the Applicant”) (BCB896)	7 July 2026	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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Name of the applicant (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 Xuemei (“the Applicant”) (BVW614)	8 July 2026	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
CHEN Jinglei (“the Applicant”) (BHL213)	8 July 2026	Valid until amendment of 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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HO Chun Lung Terence (“the Applicant”) (ABM173)	10 July 2026	Valid until amendment of 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
BAI Peishan ("the Applicant") (BJA013)	10 July 2026	Valid until amendment of 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
HUANG Benchen (“the Applicant”) (BQJ771)	10 July 2026	Valid until amendment of revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Ye (“the Applicant”) (BMW836)	10 July 2026	Valid until amendment of revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Li (“the Applicant”) (BVK396)	13 July 2026	Valid until amendment of 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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On or after 1 January 2021

Last Update : 2 October 2026

Name of the applicant (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 Nanqiu (“the Applicant”) (BUK020)	15 July 2026	Valid until amendment of revocation	Waived the following conditions which were imposed on the licence granted to the Applicant: "For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition." "For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

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

Last Update : 2 October 2026

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
ANTONELLI Christopher George ("the Applicant") (AQJ320)	17 July 2026	Valid until amendment or revocation	Waived 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." "For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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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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 Weidong (“the Applicant”) (BXE144)	17 July 2026	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 45 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
WU Yuwei (“the Applicant”) (BWK401)	17 July 2026	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 45 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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Last Update : 2 October 2026

Name of the applicant (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 Chunxu (“the Applicant”) (BWR099)	17 July 2026	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 45 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
GU Tianyue ("the Applicant") (BWV018)	20 July 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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
TAM King Wai ("the Applicant") (ACV699)	29 July 2026	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
LAU Chun Tung ("the Applicant") (AWB700)	31 July 2026	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
COFFEY Alexander Valchar (“the Applicant”) (BXS011)	31 July 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 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
JIANG Yajing (“the Applicant”) (BVF154)	6 August 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Zhichao (“the Applicant”) (BVE762)	6 August 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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
MO Yintong (“the Applicant”) (BUU238)	6 August 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:- "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
HO Pui San Jenny (“the Applicant”) (BMW845)	6 August 2026	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
HINO Dai (“the Applicant”) (AXX264)	6 August 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
Wilson Asset Management Co., Limited (“the Applicant”) (BHV549)	6 August 2026	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
SHI Junfeng (“the Applicant”) (BJD766)	28 July 2026	Valid until amendment of rev	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
Welab Bank Limited (“the Applicant”) (BOJ558)	11 August 2026	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 person 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
LAW Wai Yin (“the Applicant”) (ARH653)	13 August 2026	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
CHEN Yilin ("the Applicant") (BQI799)	13 August 2026	Valid until amendment of rev	Waived the following condition which was imposed on the licence granted to the Applicant: "For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities."	Nil
CHAN Wah Man Carman ("the Applicant") (AQD276)	13 August 2026	Valid until amendment of rev	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
ZHENG Feng ("the Applicant") (BXD859)	13 August 2026	Valid until amendment of revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Yik Wa (“the Applicant”) (AWH855)	13 August 2026	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
LIU Fei (“the Applicant”) (BTX723)	20 August 2026	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 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
WU David Hang (“the Applicant”) (BSR880)	18 August 2026	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 Chun Man ("the Applicant") (BOH369)	26 August 2026	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
HE Jing ("the Applicant") (BTT072)	27 August 2026	Valid until amendment of 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
WeShare Asset Management Limited (“the Applicant”) (BMR592)	27 August 2026	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
FAN Liang (“the Applicant”) (BCC317)	31 August 2026	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
HU Xueying ("the Applicant") (BXN076)	31 August 2026	Valid until amendment of revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
Yuanta Futures (HK) Co., Limited (“the Applicant”) (AXQ690)	1 September 2026	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 conduct business other than - (a) communicating offers to effect dealings in securities to an exchange participant of a recognized exchange company or a specified exchange, in the names of the persons from whom those offers are received; and (b) introducing persons to an exchange participant of a recognized exchange company or a specified exchange, in order that they may - (i) effect dealings in securities; or (ii) make offers 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
WONG Wai ("the Applicant") (BAC295)	1 September 2026	Valid until amendment of 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
LI Yueyi (“the Applicant”) (BWW570)	3 September 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
CHANG Yunsheng (“the Applicant”) (BSE905)	3 September 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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
YAO Cheng (“the Applicant”) (BWW478)	3 September 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
FU Yumeng (“the Applicant”) (BSQ494)	3 September 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
HAUNG Yuming (“the Applicant”) (BSR117)	4 September 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Cong (“the Applicant”) (BUA352)	4 September 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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
LIN Maotong (“the Applicant”) (BUX678)	4 September 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Jiajian (“the Applicant”) (BTD451)	4 September 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
QIU Yue (“the Applicant”) (BHD128)	4 September 2026	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
SHUM Wing Yip (“the Applicant”) (BEL731)	4 September 2026	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
Hash Blockchain Limited (“the Applicant”) (BPL992)	4 September 2026	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "The licensee shall only operate a centralised online virtual asset trading platform for trading of virtual assets on its platform and carry on (1) off-platform virtual asset trading business and incidental services provided by it to its clients; and (2) activities conducted in relation to such off-platform business. The term “virtual asset” is as defined in the Guidelines for Virtual Asset Trading Platform Operators issued by the Commission." to: "The licensee shall only operate a centralised virtual asset trading platform for trading of virtual assets on its platform and carry on (1) off-platform virtual asset trading business and incidental services provided by it to its clients; (2) activities conducted in relation to such off-platform business; (3) distribution of investment products and tokenised securities business and incidental services; and (4) custody services of virtual assets and tokenised securities of its clients which are not traded on the virtual asset trading platform. The term “virtual asset” is as defined in the Guidelines for Virtual Asset Trading Platform Operators (“Guidelines”) 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
			The term “tokenised securities” means traditional financial instruments that are “securities” as defined in section 1 of Part 1 of Schedule 1 to the SFO which utilise distributed ledger technology or similar technology in their security lifecycle. “Relevant Activities” under the Guidelines in respect of the licensee means: (a) providing services through means of electronic facilities: (i) whereby: (A) offers to sell or purchase virtual assets are regularly made or accepted in a way that forms or results in a binding transaction; or (B) persons are regularly introduced, or identified to other persons in order that they may negotiate or conclude, or with the reasonable expectation that they will negotiate or conclude sales or purchases of virtual assets in a way that forms or results in a binding transaction; and (ii) where client money or client virtual assets comes into direct or indirect possession of the person providing such service; and (b) any off-platform virtual asset trading activities and incidental services provided by the licensee to its clients, and any activities conducted in relation to off-platform virtual asset trading activities; and (c) custody services of virtual assets and tokenised securities of its clients which are not traded on the virtual asset trading platform."	

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			"The licensee shall at all times be in compliance with the requirements of the Guidelines for Virtual Asset Trading Platform Operators ("Guidelines") issued by the Commission, save that under 10.1 of the Guidelines which requires the licensee should only hold client assets on trust for its clients through its Associated Entity, the licensee may maintain trust account(s) or client account(s) in the licensee's name with the custodian(s) of the investment products and tokenised securities in the course of its distribution services subject to compliance with applicable laws and regulations. The term "Associated Entity" is as defined in the Guidelines. The term "tokenised securities" means traditional financial instruments that are "securities" as defined in section 1 of Part 1 of Schedule 1 to the SFO which utilise distributed ledger technology or similar technology in their security lifecycle."	
Integrated Fund Platform Limited ("the Applicant") (BVK386)	9 September 2026	Valid until amendment or revocation	Waived the following conditions which were 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
Ping An of China Asset Management (Hong Kong) Company Limited ("the Applicant") (AOD938)	11 September 2026	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
Principal Asset Management Company (Asia) Limited (“the Applicant”) (AFA235)	15 September 2026	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 provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation."	Nil
CHAN Kwok Fung, Dennis (“the Applicant”) (AMK236)	16 September 2026	Valid until amendment or revocation	Modified the following conditions 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 Tsz Yan ("the Applicant") (BYA238)	17 September 2026	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 engage in sponsor work 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
BILLER David Paul Campbell ("the Applicant") (ATV214)	18 September 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 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
LGT Bank AG ("the Applicant") (AWF529)	18 September 2026	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
MA Tsang Kit, Martini ("the Applicant") (ADZ865)	18 September 2026	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
KWOK Hing Yip (“the Applicant”) (ANR615)	22 September 2026	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
CHEN Zhihu (“the Applicant”) (BAH710)	22 September 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "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: (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
Golden Continent Asset Management Co., Limited (the "Applicant") (BTE516)	23 September 2026	Valid until amendment or revocation	Waive 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
SAMSON Ian Alexander ("the Applicant") (BOZ457)	23 September 2026	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 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong." to:- "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 23 March 2027 (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."	Nil

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Name of the applicant (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 Yujie (“the Applicant”) (BXY217)	23 September 2026	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 engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities."	Nil
ZHOU Yujun (“the Applicant”) (BCG433)	23 September 2026	Valid until amendment or revocation	Waived the following condition 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
WANG Peng (“the Applicant”) (BUV068)	23 September 2026	Valid until amendment or revocation	Waived the following condition 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
HUANG Kunyao (“the Applicant”) (BPM021)	23 September 2026	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
LIAO Yung-Chi (“the Applicant”) (ANP465)	24 September 2026	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
LIU Yiming (“the Applicant”) (BVT551)	11 September 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Nan (“the Applicant”) (BTK896)	11 September 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Kai (“the Applicant”) (BVY711)	11 September 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
YAO Yuanzhi (“the Applicant”) (BXF404)	11 September 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong."	Nil
ZENG Cheng (“the Applicant”) (BVW916)	14 September 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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 Yaming (“the Applicant”) (BXD826)	14 September 2026	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: "The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in 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
Panthertrade (Hong Kong) Limited ("the Applicant") (BUY578)	18 September 2026	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant: "The licensee shall only operate a centralised online virtual asset trading platform for trading of virtual assets on its platform and carry on (1) off-platform virtual asset trading business and incidental services provided by it to its clients; and (2) activities conducted in relation to such off-platform business. The term "virtual asset" is as defined in the Guidelines for Virtual Asset Trading Platform Operators issued by the Commission." to "The licensee shall only operate a centralised virtual asset trading platform for trading of virtual assets on its platform and carry on (1) off-platform virtual asset trading business and incidental services provided by it to its clients; (2) activities conducted in relation to such off-platform business; and (3) distribution of tokenised securities business and incidental services. The term "virtual asset" is as defined in the Guidelines for Virtual Asset Trading Platform Operators ("Guidelines") 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
			The term “tokenised securities” means traditional financial instruments that are “securities” as defined in section 1 of Part 1 of Schedule 1 to the SFO which utilise distributed ledger technology or similar technology in their security lifecycle. “Relevant Activities” under the Guidelines in respect of the licensee means: (a) providing services through means of electronic facilities: (i) whereby: (A) offers to sell or purchase virtual assets are regularly made or accepted in a way that forms or results in a binding transaction; or (B) persons are regularly introduced, or identified to other persons in order that they may negotiate or conclude, or with the reasonable expectation that they will negotiate or conclude sales or purchases of virtual assets in a way that forms or results in a binding transaction; and (ii) where client money or client virtual assets comes into direct or indirect possession of the person providing such service; and (b) any off-platform virtual asset trading activities and incidental services provided by the licensee to its clients, and any activities conducted in relation to off-platform virtual asset trading activities; and (c) distribution services of tokenised securities."	

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
Vontobel (Hong Kong) Limited ("the Applicant") (ARR382)	25 September 2026	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 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." and "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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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
HOOD David Lionel (“the Applicant”) (BBP054)	25 September 2026	Valid until amendment or revocation	Waived the following conditions which were 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." “For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible 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
Eddid Capital Limited (“the Applicant”) (BOZ865)	28 September 2026	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