



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: Arta Asset Management Limited

CE No.: AQW828

Licence Type: Licensed Corporation

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: Gentleman Capital Limited

CE No.: BIJ793

Licence Type: Licensed Corporation

Condition Added:

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; and (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. The term "dealing" is as defined under the Securities and Futures Ordinance.

Condition Level: Type 1 Regulated Activity

CE Name: Greenhill & Co. Asia Limited

CE No.: AZQ613

Licence Type: Licensed Corporation

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: Oreana Financial Services Limited

CE No.: AHX191

Licence Type: Licensed Corporation

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## **CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024**

CE Name: Oreana Financial Services Limited

CE No.: AHX191

Licence Type: Licensed Corporation

Condition Added:

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.

Condition Level: Type 1 Regulated Activity

CE Name: MIB Securities (Hong Kong) Limited

CE No.: AAD284

Licence Type: Licensed Corporation

Condition Added:

For Type 2 regulated activity, the licensee shall only conduct business to effect dealings in futures contracts through other intermediaries, for the persons from whom the related dealing offers are received.

Condition Level: Type 2 Regulated Activity

CE Name: North Rock Capital Management (HK) Limited

CE No.: BSU164

Licence Type: Licensed Corporation

Condition Added:

For Type 2 regulated activity, the licensee shall only conduct business to effect dealings in futures contracts through other intermediaries, for the persons from whom the related dealing offers are received.

Condition Level: Type 2 Regulated Activity

CE Name: MIB Securities (Hong Kong) Limited

CE No.: AAD284

Licence Type: Licensed Corporation

Condition Added:

For Type 5 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.

Condition Level: Type 5 Regulated Activity

CE Name: Hang Tai Securities Limited

CE No.: AAD035

Licence Type: Licensed Corporation

Condition Added:

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.

Condition Level: Type 6 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: Hang Tai Securities Limited

CE No.: AAD035

Licence Type: Licensed Corporation

Condition Added:

For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.

Condition Level: Type 6 Regulated Activity

CE Name: Soochow Securities International Capital Limited

CE No.: BBG379

Licence Type: Licensed Corporation

Condition Added:

For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.

Condition Level: Type 6 Regulated Activity

CE Name: Christfund Securities Limited

CE No.: AAY133

Licence Type: Licensed Corporation

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: Hua Liang Asset Management Limited

CE No.: BOC665

Licence Type: Licensed Corporation

Condition Added:

With respect to providing virtual asset related asset management services, the licensee or registered institution shall comply with the "Terms and conditions for licensed corporations or registered institutions which manage portfolios that invest in virtual assets " (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.

Condition Level: Type 9 Regulated Activity



## **CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024**

CE Name: Raffles Assets Management (HK) Co. Limited

CE No.: BJO652

Licence Type: Licensed Corporation

Condition Added:

With respect to providing virtual asset related asset management services, the licensee or registered institution shall comply with the "Terms and conditions for licensed corporations or registered institutions which manage portfolios that invest in virtual assets " (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.

Condition Level: Type 9 Regulated Activity

CE Name: TradeMaster Securities (Hong Kong) Limited

CE No.: BHJ844

Licence Type: Licensed Corporation

Condition Added:

With respect to providing virtual asset related asset management services, the licensee or registered institution shall comply with the "Terms and conditions for licensed corporations or registered institutions which manage portfolios that invest in virtual assets " (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.

Condition Level: Type 9 Regulated Activity

CE Name: West 22nd Capital Advisers (Hong Kong) Limited

CE No.: BMK908

Licence Type: Licensed Corporation

Condition Added:

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.

Condition Level: Type 9 Regulated Activity

CE Name: BANDS Capital Management Limited

CE No.: BTX368

Licence Type: Licensed Corporation

Condition Removed:

The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance.

Condition Level: Licence

CE Name: Ivory Capital Private Limited

CE No.: AOB632

Licence Type: Licensed Corporation

Condition Added:

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.

Condition Level: Licence



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: Phillip Securities (Hong Kong) Limited

CE No.: AAG460

Licence Type: Licensed Corporation

Condition Added:

The licensee shall comply with all requirements applicable to it as a custodian in respect of an open-ended fund company, including the requirements set out in the Code on Open-ended Fund Companies and related guidance issued and revised by the Commission from time to time.

Condition Level: Licence

CE Name: Regent Securities Limited

CE No.: BRF703

Licence Type: Licensed Corporation

Condition Removed:

The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance.

Condition Level: Licence

CE Name: Regent Securities Limited

CE No.: BRF703

Licence Type: Licensed Corporation

Condition Removed:

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.

Condition Level: Licence

CE Name: VS Capital Limited

CE No.: BNJ121

Licence Type: Licensed Corporation

Condition Removed:

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.

Condition Level: Licence



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: CAO Jiatong

CE No.: BUS534

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: CAO Jingyi

CE No.: BVK952

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: CHANG Frank

CE No.: BUV699

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: CHEN Xingrui

CE No.: BVI404

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: CHEN Yanzhang

CE No.: BVK953

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: CHENG Brian Han-chen

CE No.: BVG016

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: CHENG Wei Han

CE No.: BVH844

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: CHOO Tiffany Li-Fang

CE No.: BVD571

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: COLLINS Michael Antiporda

CE No.: BUV371

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: DAI Yilin

CE No.: BUV988

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: EGLOFF Markus Peter

CE No.: BGG967

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: FAKIYESI Paul Patience Tolulope

CE No.: BUY305

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: FUNG Hiu Tung

CE No.: BUX935

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: GAO Kun

CE No.: BVE811

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: GOUYEZ-BENALLAL Elias

CE No.: BUX793

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: GUO Yulei

CE No.: BVH736

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: HAO Wei

CE No.: BVC505

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: HARDWICK Thomas Peter

CE No.: BVK288

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: HE Zhixiao

CE No.: BVK204

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: HO Chor Wan, Laetitia

CE No.: AFU618

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: HO Tsz Hang

CE No.: BVH703

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: HU Ruosi

CE No.: BVG077

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: HUANG Qinrui

CE No.: BVI200

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: HUANG Shih-Shih

CE No.: BVD447

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: HUO Dawei

CE No.: BVK713

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: JIANG Lin

CE No.: BFX303

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: KAO Pei-Hsuan

CE No.: BVF858

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: KIM Suim

CE No.: BUX735

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: LAI Brian Chi Fung

CE No.: BUS957

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: LAU Chun Yan Alfred

CE No.: BVG051

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: LEE Pui Ying

CE No.: BVC500

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: LEI Hanming

CE No.: BVG888

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: LI Yingjun

CE No.: BVG219

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: LOUGHRAN Daniel Stephen

CE No.: BVD985

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: LUI Nicole Sze Wing

CE No.: BVG014

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: MATSUSHITA GO

CE No.: BUY208

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: NORR Eric Per

CE No.: BVM700

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: QIN Qianwen

CE No.: BUV278

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: QUAN MEGAN HUI XIN

CE No.: BVH457

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: ROSS Peter James

CE No.: BTW223

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: SHAN Yun Liang

CE No.: BUT143

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: SHI Jinyao

CE No.: BVK299

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: SI Bao Ling

CE No.: BUT943

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: SINGH Arvind

CE No.: BUV242

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: SONG Dinan

CE No.: BUV711

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: SUN Yuru

CE No.: BVG887

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: TANAKA Yudai

CE No.: BVO520

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: TONG Chi Yiu

CE No.: BVM877

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: TSANG Hon Shing Marvin  
CE No.: BVA362  
Licence Type: Licensed Representative  
Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: VERMEULEN Johannes Gerardus Petrus  
CE No.: BVE892  
Licence Type: Licensed Representative  
Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: WANG Fan  
CE No.: BUT369  
Licence Type: Licensed Representative  
Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: WANG Jiayue

CE No.: BVI900

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: WANG Shaoyi

CE No.: BVD237

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: WONG Ho Heng Ivor

CE No.: BVJ997

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: WONG Hung Wai

CE No.: ALU971

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: XIE Yong

CE No.: BVA953

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: YAN Yingtong

CE No.: BVK987

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: YANG Sirui

CE No.: BVD264

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: YUEN Wing Yan

CE No.: BVJ782

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: ZENG Hexinxin

CE No.: BVH520

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: ZHANG Anna Chang

CE No.: BUT760

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: ZHANG Luoran

CE No.: BVK186

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: ZHANG Tianjun

CE No.: BVG088

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: ZHENG Wei

CE No.: BUW120

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: ZHONG Chuchen

CE No.: BVH712

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: ZUO Wei

CE No.: BUV722

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: WANG Mengyuan

CE No.: BVG096

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 10 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.

Condition Level: Type 10 Regulated Activity

CE Name: CHENG Wei Han

CE No.: BVH844

Licence Type: Licensed Representative

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity

CE Name: DAI Yilin

CE No.: BUV988

Licence Type: Licensed Representative

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: FAKIYESI Paul Patience Tolulope

CE No.: BUY305

Licence Type: Licensed Representative

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity

CE Name: GOUYEZ-BENALLAL Elias

CE No.: BUX793

Licence Type: Licensed Representative

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity

CE Name: JIA Xiaomeng

CE No.: BVH980

Licence Type: Licensed Representative

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: JIANG Lin

CE No.: BFX303

Licence Type: Licensed Representative

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity

CE Name: LAIDLER Ruth Elizabeth Joe

CE No.: BVC275

Licence Type: Licensed Representative

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity

CE Name: LOUGHRAN Daniel Stephen

CE No.: BVD985

Licence Type: Licensed Representative

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: LUI Nicole Sze Wing

CE No.: BVG014

Licence Type: Licensed Representative

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity

CE Name: PERIASAMY Ranjith

CE No.: BVE347

Licence Type: Licensed Representative

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity

CE Name: PERILLOUX-THIEBAUD Romain Baptiste Dominique

CE No.: BVF759

Licence Type: Licensed Representative

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: QIN Qianwen

CE No.: BUV278

Licence Type: Licensed Representative

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity

CE Name: ROSS Peter James

CE No.: BTW223

Licence Type: Licensed Representative

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity

CE Name: SINGH Arvind

CE No.: BUV242

Licence Type: Licensed Representative

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: TONG Chi Yiu

CE No.: BVM877

Licence Type: Licensed Representative

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity

CE Name: TSANG Hon Shing Marvin

CE No.: BVA362

Licence Type: Licensed Representative

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity

CE Name: VERMEULEN Johannes Gerardus Petrus

CE No.: BVE892

Licence Type: Licensed Representative

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: YAN Yingtong

CE No.: BVK987

Licence Type: Licensed Representative

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity

CE Name: YING Wai Yeung

CE No.: BVH739

Licence Type: Licensed Representative

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity

CE Name: ZHANG Luoran

CE No.: BVK186

Licence Type: Licensed Representative

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: ZHENG Wei

CE No.: BUW120

Licence Type: Licensed Representative

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity

CE Name: CAO Jiatong

CE No.: BUS534

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: CAO Jingyi

CE No.: BVK952

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: CHANG Frank

CE No.: BUV699

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: CHEN Bingjian

CE No.: BVH738

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: CHEN Yanzhang

CE No.: BVK953

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: CHOO Tiffany Li-Fang

CE No.: BVD571

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: COLLINS Michael Antiporda

CE No.: BUV371

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: DAI Yilin

CE No.: BUV988

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: EGLOFF Markus Peter

CE No.: BGG967

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: FENG Mengyuan

CE No.: BUU928

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: GAO Kun

CE No.: BVE811

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: GUO Yulei

CE No.: BVH736

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: HE Zhixiao

CE No.: BVK204

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: HO Chor Wan, Laetitia

CE No.: AFU618

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: HO Tsz Hang

CE No.: BVH703

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: HUO Dawei

CE No.: BVK713

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: KIM Suim

CE No.: BUX735

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: LAU Chun Yan Alfred

CE No.: BVG051

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: LAU Siu Ting

CE No.: BVB130

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: LEE Khang Sek

CE No.: BVI391

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: LEE Pui Ying

CE No.: BVC500

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: LUAN Shu

CE No.: BBU905

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: MA Yu Xiang

CE No.: AVL434

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: MATSUSHITA GO

CE No.: BUY208

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: MU QIUZHU

CE No.: BVA931

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: NORR Eric Per

CE No.: BVM700

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: QIN Qianwen

CE No.: BUV278

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: SI Bao Ling

CE No.: BUT943

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: SINGH Arvind

CE No.: BUV242

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: SONG Dinan

CE No.: BUV711

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: TANAKA Yudai

CE No.: BVO520

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: WAI Jeremy

CE No.: BGH362

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: WANG Shaoyi

CE No.: BVD237

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: WONG Ho Heng Ivor

CE No.: BVJ997

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: WONG Hung Wai

CE No.: ALU971

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: WONG Yuk Yin

CE No.: BUY779

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: XIE Yong

CE No.: BVA953

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: XU Zhuofan

CE No.: BVI760

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: YANG Sirui

CE No.: BVD264

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: YANG Yiran

CE No.: BKU216

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: YU Zhihui

CE No.: BVH674

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: YUEN Wing Yan

CE No.: BVJ782

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: ZENG Hexinxin

CE No.: BVH520

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: ZHANG Anna Chang

CE No.: BUT760

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: ZHANG Luoran

CE No.: BVK186

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: ZHANG Neil Nong

CE No.: BVK951

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: ZHANG Tianjun

CE No.: BVG088

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: ZHANG Wenshuang

CE No.: BSX490

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: ZHANG Wenxin

CE No.: BUW104

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: ZHENG Wei

CE No.: BUW120

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: ZHENG Zhixiao

CE No.: BOI559

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: ZHONG Chuchen

CE No.: BVH712

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: ZOU Qiao

CE No.: BOF590

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: ZUO Wei

CE No.: BUV722

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: LAIDLER Ruth Elizabeth Joe

CE No.: BVC275

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 5 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.

Condition Level: Type 5 Regulated Activity

CE Name: PERIASAMY Ranjith

CE No.: BVE347

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 5 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.

Condition Level: Type 5 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: SINGH Arvind

CE No.: BUV242

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 5 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.

Condition Level: Type 5 Regulated Activity

CE Name: YING Wai Yeung

CE No.: BVH739

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 5 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.

Condition Level: Type 5 Regulated Activity

CE Name: CHEN Xingrui

CE No.: BV1404

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 6 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: CHEN Yanzhang

CE No.: BVK953

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 6 Regulated Activity

CE Name: CHENG Brian Han-chen

CE No.: BVG016

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 6 Regulated Activity

CE Name: CHOO Tiffany Li-Fang

CE No.: BVD571

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 6 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: GUO Yulei

CE No.: BVH736

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 6 Regulated Activity

CE Name: HO Tsz Hang

CE No.: BVH703

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 6 Regulated Activity

CE Name: HU Yijie

CE No.: BVK385

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 6 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: LAU Chun Yan Alfred

CE No.: BVG051

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 6 Regulated Activity

CE Name: LI XIWA

CE No.: BV1147

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 6 Regulated Activity

CE Name: MATSUSHITA GO

CE No.: BUY208

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 6 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: PENG Xinyin

CE No.: BVK274

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 6 Regulated Activity

CE Name: SIT Chun Yuen

CE No.: BUY427

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 6 Regulated Activity

CE Name: SUN Yuru

CE No.: BVG887

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 6 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: TANAKA Yudai

CE No.: BVO520

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 6 Regulated Activity

CE Name: XIE Yong

CE No.: BVA953

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 6 Regulated Activity

CE Name: YIP Wing San Sunny

CE No.: BVK190

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 6 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: ZHANG Tianjun

CE No.: BVG088

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 6 Regulated Activity

CE Name: ZHONG Chuchen

CE No.: BVH712

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 6 Regulated Activity

CE Name: CHANG Frank

CE No.: BUV699

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: CHEN Bingjian

CE No.: BVH738

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: CHEN Hao

CE No.: BVC359

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: CROSS Matthew Charles

CE No.: AXY324

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: FU Yiming

CE No.: BVI970

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: GAO Kun

CE No.: BVE811

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: HU Ruosi

CE No.: BVG077

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: JIANG Lin

CE No.: BFX303

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: LI Yingjun

CE No.: BVG219

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: LUAN Shu

CE No.: BBU905

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: MULIADI Sherlyn

CE No.: BVE064

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: PAN Yu-Hsien

CE No.: BUW398

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: SI Bao Ling

CE No.: BUT943

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: VUN Yu Seng, Isaac

CE No.: ALW785

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: WAI Jeremy

CE No.: BGH362

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: WONG Yuk Yin

CE No.: BUY779

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: XIA Peter Bin

CE No.: BVF209

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: YANG Guanlan

CE No.: BTQ873

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: YANG Yang

CE No.: BVA709

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: YUEN Wing Yan

CE No.: BVJ782

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: ZENG Hexinxin

CE No.: BVH520

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: ZHANG Luxi

CE No.: BNQ400

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: ZHANG Renqiao

CE No.: BVI742

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: ZHANG Wenshuang

CE No.: BSX490

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: ZHU Feiyang

CE No.: BON484

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: ZHU Lina

CE No.: AXV640

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: ZOU Qiao

CE No.: BOF590

Licence Type: Licensed Representative

Condition Removed:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: ZUO Wei

CE No.: BUV722

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: EGLOFF Markus Peter

CE No.: BGG967

Licence Type: Licensed Representative

Condition Added:

The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.

Condition Level: Licence



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: LI Bei

CE No.: AUX239

Licence Type: Licensed Representative

Condition Added:

The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.

Condition Level: Licence

CE Name: LI Qing

CE No.: BTO518

Licence Type: Licensed Representative

Condition Removed:

The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.

Condition Level: Licence

CE Name: MURRAY Craig Richard

CE No.: BOC137

Licence Type: Licensed Representative

Condition Added:

The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.

Condition Level: Licence

CE Name: RIEBER Laura Natalie

CE No.: BMV977

Licence Type: Licensed Representative

Condition Added:

The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.

Condition Level: Licence

CE Name: ROHOF Jan Wilhelm

CE No.: BPQ451

Licence Type: Licensed Representative

Condition Added:

The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.

Condition Level: Licence



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: TACCHI Timothy Alexander

CE No.: AJO036

Licence Type: Licensed Representative

Condition Added:

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.

Condition Level: Licence

CE Name: WANG Xingyun

CE No.: BVG933

Licence Type: Licensed Representative

Condition Removed:

The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.

Condition Level: Licence

CE Name: WANG Xingyun

CE No.: BVG933

Licence Type: Licensed Representative

Condition Added:

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.

Condition Level: Licence

CE Name: WANG Yuxi

CE No.: BTP559

Licence Type: Licensed Representative

Condition Removed:

The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.

Condition Level: Licence



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: ZHUANG Lin

CE No.: BUK353

Licence Type: Licensed Representative

Condition Removed:

The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.

Condition Level: Licence

CE Name: CHEN JIE

CE No.: BPX849

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: LI Peiwen

CE No.: BVN969

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: LIU Chang

CE No.: BVI355

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: MINOTE Ryo

CE No.: BVO329

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: WANG Jiaze

CE No.: BVN702

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: WANG Wei

CE No.: BIZ145

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: YANG Wei Wei

CE No.: BVN321

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: ZHANG Chi

CE No.: BVN687

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: ZHANG Yue

CE No.: BVO294

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: CHEN JIE

CE No.: BPX849

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity

CE Name: LIU Chang

CE No.: BVI355

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: WANG Jiaze

CE No.: BVN702

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity

CE Name: WANG Wei

CE No.: BIZ145

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity

CE Name: MINOTE Ryo

CE No.: BVO329

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: ZHANG Yue

CE No.: BVO294

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: BAI Mingrui

CE No.: BVO611

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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.

Condition Level: Type 6 Regulated Activity

CE Name: MINOTE Ryo

CE No.: BVO329

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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.

Condition Level: Type 6 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: CHEN JIE

CE No.: BPX849

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: ZHANG Jiayu

CE No.: BVN727

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: ZHANG Yue

CE No.: BVO294

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: AU-YEUNG Kam Kay

CE No.: ABA474

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 1 Regulated Activity

CE Name: CAI Chengmiao

CE No.: BUZ469

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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) 13 February 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 2 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: CAI Chengmiao

CE No.: BUZ469

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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) 3 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.

Condition Level: Type 1 Regulated Activity

CE Name: CAI Chengmiao

CE No.: BUZ469

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 1 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: CHAN Chaoping

CE No.: BUW213

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 1 Regulated Activity

CE Name: CHAN Chaoping

CE No.: BUW213

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 1 Regulated Activity

CE Name: CHEN Rupeng

CE No.: BNZ819

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 1 Regulated Activity

CE Name: CHEN Rupeng

CE No.: BNZ819

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 1 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: CHEN Zhixue

CE No.: AQI855

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 1 Regulated Activity

CE Name: CHEN Zhixue

CE No.: AQI855

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 1 Regulated Activity

CE Name: CHEUNG Ho Ming

CE No.: AOE594

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: CHEUNG Ho Ming

CE No.: AOE594

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: CHEUNG Man Kit

CE No.: BBU621

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: CHEUNG Man Kit

CE No.: BBU621

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: CHOU Jaime Yun Cheng

CE No.: ALH930

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 1 Regulated Activity

CE Name: DENG Chen

CE No.: BPQ971

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: DENG Lu

CE No.: BSM515

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: DRAKE-BROCKMAN Robert David

CE No.: BTE290

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: HO Lok Yan

CE No.: ANL071

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.

Condition Level: Type 1 Regulated Activity

CE Name: JIANG Senlin

CE No.: BNR183

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: KASTENHOLZ Mika Arnold

CE No.: BPU387

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: KASTENHOLZ Mika Arnold

CE No.: BPU387

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: LEUNG Hiu Tan

CE No.: BCE397

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 1 Regulated Activity

CE Name: LEUNG Hiu Tan

CE No.: BCE397

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: LI Chenyao

CE No.: BBJ083

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: LI Chenyao

CE No.: BBJ083

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: LIM Kim Huat

CE No.: ARU536

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.

Condition Level: Type 1 Regulated Activity

CE Name: LIU Jiang

CE No.: BUS176

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: LIU Jiang

CE No.: BUS176

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: LU Lu

CE No.: BUT787

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 1 Regulated Activity

CE Name: LU Lu

CE No.: BUT787

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 1 Regulated Activity

CE Name: LU Lu

CE No.: BUT787

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: PATOIS Jean-Baptiste, Francois, Damien, Henri  
CE No.: ASD028  
Licence Type: Licensed Representative - Responsible Officer  
Condition Added:

For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.  
Condition Level: Type 1 Regulated Activity

CE Name: PATOIS Jean-Baptiste, Francois, Damien, Henri  
CE No.: ASD028  
Licence Type: Licensed Representative - Responsible Officer  
Condition Added:

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.  
Condition Level: Type 1 Regulated Activity

CE Name: REN Mengqi  
CE No.: BBR070  
Licence Type: Licensed Representative - Responsible Officer  
Condition Added:

For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.  
Condition Level: Type 1 Regulated Activity

CE Name: REN Mengqi  
CE No.: BBR070  
Licence Type: Licensed Representative - Responsible Officer  
Condition Added:

For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.  
Condition Level: Type 1 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: SHAH Bhavish

CE No.: BUO768

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: SHAH Bhavish

CE No.: BUO768

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: SONG Chunming

CE No.: AYO044

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: SONG Chunming

CE No.: AYO044

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 1 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: TANG Liang

CE No.: BUG299

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 1 Regulated Activity

CE Name: TANG Liang

CE No.: BUG299

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.

Condition Level: Type 1 Regulated Activity

CE Name: TO Wing Cheung

CE No.: BJR968

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 1 Regulated Activity

CE Name: TO Wing Cheung

CE No.: BJR968

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: WANG Luchen

CE No.: BMV930

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: WANG Luchen

CE No.: BMV930

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: WHITTAKER Ross Andrew

CE No.: BUI559

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 1 Regulated Activity

CE Name: WHITTAKER Ross Andrew

CE No.: BUI559

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: WU Jennifer York Kei

CE No.: AHX685

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.

Condition Level: Type 1 Regulated Activity

CE Name: WU Xiao

CE No.: AOS437

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: XIAO Yinan

CE No.: AYS881

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: XIAO Yinan

CE No.: AYS881

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: XU Wei

CE No.: AZN499

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 1 Regulated Activity

CE Name: XU Wei

CE No.: AZN499

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 1 Regulated Activity

CE Name: XU Wei

CE No.: AZN499

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.

Condition Level: Type 1 Regulated Activity

CE Name: YANG Hann

CE No.: BEC061

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: YANG Hann

CE No.: BEC061

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 1 Regulated Activity

CE Name: YEUNG Ka Fung

CE No.: BQC183

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 1 Regulated Activity

CE Name: YEUNG Ka Fung

CE No.: BQC183

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 1 Regulated Activity

CE Name: YI AO

CE No.: BUT032

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: YI AO

CE No.: BUT032

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: YIP Chi Yin

CE No.: AUS286

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: YIP Chi Yin

CE No.: AUS286

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: ZHAO Zhao

CE No.: AWY586

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: ZHAO Zhao

CE No.: AWY586

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: CAI Chengmiao

CE No.: BUZ469

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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) 3 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.

Condition Level: Type 2 Regulated Activity

CE Name: CAI Chengmiao

CE No.: BUZ469

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 2 Regulated Activity





## **CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024**

CE Name: CAI Chengmiao

CE No.: BUZ469

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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) 13 February 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 3 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 2 Regulated Activity

CE Name: CHEN Chih-Kuo

CE No.: AKW443

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity

CE Name: CHEUNG Man Kit

CE No.: BBU621

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 2 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: CHEUNG Man Kit

CE No.: BBU621

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity

CE Name: GRISSELL Edward Henry

CE No.: BPY390

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 2 Regulated Activity

CE Name: HO Cho Ki

CE No.: ARB955

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 2 Regulated Activity

CE Name: HU Yanmeng

CE No.: BUV073

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 2 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: LAM Chi Ping

CE No.: AOY505

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 2 Regulated Activity

CE Name: LAM Chi Ping

CE No.: AOY505

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity

CE Name: LAU Yue Wah, Brian

CE No.: AFS902

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 2 Regulated Activity

CE Name: LEUNG Leon

CE No.: BRF746

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 2 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: PATOIS Jean-Baptiste, Francois, Damien, Henri  
CE No.: ASD028  
Licence Type: Licensed Representative - Responsible Officer  
Condition Added:

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) 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.

Condition Level: Type 2 Regulated Activity

CE Name: PATOIS Jean-Baptiste, Francois, Damien, Henri  
CE No.: ASD028  
Licence Type: Licensed Representative - Responsible Officer  
Condition Added:

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.

Condition Level: Type 2 Regulated Activity

CE Name: TAO Yeqing  
CE No.: AOK964  
Licence Type: Licensed Representative - Responsible Officer  
Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity

CE Name: TAO Yeqing  
CE No.: AOK964  
Licence Type: Licensed Representative - Responsible Officer  
Condition Removed:

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.

Condition Level: Type 2 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: TONG Ngat

CE No.: AHN527

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 2 Regulated Activity

CE Name: WHITTAKER Ross Andrew

CE No.: BUI559

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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) 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.

Condition Level: Type 2 Regulated Activity

CE Name: WHITTAKER Ross Andrew

CE No.: BUI559

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 2 Regulated Activity

CE Name: YANG Hann

CE No.: BEC061

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 2 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: YANG Hann

CE No.: BEC061

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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) 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.

Condition Level: Type 2 Regulated Activity

CE Name: CHAN Chaoping

CE No.: BUW213

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity

CE Name: CHAN Chaoping

CE No.: BUW213

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: CHAO Lin

CE No.: BTE510

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: CHAO Lin

CE No.: BTE510

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: CHEN Nan

CE No.: ARG251

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity

CE Name: CHEN Nan

CE No.: ARG251

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: CHEN Rupeng

CE No.: BNZ819

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 4 Regulated Activity

CE Name: CHEN Rupeng

CE No.: BNZ819

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity

CE Name: CHEN Zhixue

CE No.: AQI855

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity

CE Name: CHEN Zhixue

CE No.: AQI855

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 4 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: CHENG Yu Haang Edward

CE No.: BOR224

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 4 Regulated Activity

CE Name: CHENG Yu Haang Edward

CE No.: BOR224

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity

CE Name: CHENG Yuk Lon Christopher

CE No.: AZB080

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity

CE Name: CHENG Yuk Lon Christopher

CE No.: AZB080

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 4 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: CHEUNG Ho Ming

CE No.: AOE594

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: CHEUNG Ho Ming

CE No.: AOE594

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: CHEUNG Hung Fat

CE No.: AAA157

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 4 Regulated Activity

CE Name: CHEUNG Hung Fat

CE No.: AAA157

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: CHOU Jaime Yun Cheng

CE No.: ALH930

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity

CE Name: DOU Jianjun

CE No.: BMY458

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: DRAKE-BROCKMAN Robert David

CE No.: BTE290

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: HE Shuanglin

CE No.: BDU787

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: HE Shuanglin

CE No.: BDU787

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: HU Wenqian

CE No.: BAK772

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: HU Wenqian

CE No.: BAK772

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: HUI Kit Chiu

CE No.: AYQ846

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: JIANG Jun

CE No.: BUF893

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 4 Regulated Activity

CE Name: JIANG Jun

CE No.: BUF893

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity

CE Name: JIANG Senlin

CE No.: BNR183

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: KASTENHOLZ Mika Arnold

CE No.: BPU387

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: KASTENHOLZ Mika Arnold

CE No.: BPU387

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: LAM Siu Mo

CE No.: BOS468

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: LAM Siu Mo

CE No.: BOS468

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: LAW YI MAN

CE No.: BSR064

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: LEE Yee Nam

CE No.: AUC313

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: LEE Yee Nam

CE No.: AUC313

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: LEUNG Hiu Tan

CE No.: BCE397

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 4 Regulated Activity

CE Name: LEUNG Hiu Tan

CE No.: BCE397

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity

CE Name: LI Chenyao

CE No.: BBJ083

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: LI Chenyao

CE No.: BBJ083

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: LI Kei

CE No.: BQS074

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity

CE Name: LI Kei

CE No.: BQS074

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 4 Regulated Activity

CE Name: LIU Jiang

CE No.: BUS176

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: LIU Jiang

CE No.: BUS176

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: LIU YILIN

CE No.: BUY253

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: LIU YILIN

CE No.: BUY253

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: MAN Chi Yu Alissa

CE No.: BMW869

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 4 Regulated Activity

CE Name: MAN Chi Yu Alissa

CE No.: BMW869

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: NG Wai Kie

CE No.: ATV597

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: NG Wai Kie

CE No.: ATV597

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: OU Yafei

CE No.: BFN410

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: SHEN Chen

CE No.: BSJ308

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: SHEN Chen

CE No.: BSJ308

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity

CE Name: STEWART Glenn Jose

CE No.: BAP748

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: STEWART Glenn Jose

CE No.: BAP748

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: TAM Hui Fai

CE No.: BMQ329

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: TAM Hui Fai

CE No.: BMQ329

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity

CE Name: TANG Liang

CE No.: BUG299

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity

CE Name: TAO Ning

CE No.: BST923

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: TO Wing Cheung

CE No.: BJR968

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: TO Wing Cheung

CE No.: BJR968

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity

CE Name: TSANG Sin Ki Cindy

CE No.: BJH716

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: TSANG Sin Ki Cindy

CE No.: BJH716

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: WANG Luchen

CE No.: BMV930

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: WANG Luchen

CE No.: BMV930

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: WONG Chi Yuen

CE No.: BNJ009

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity

CE Name: WONG Chi Yuen

CE No.: BNJ009

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 4 Regulated Activity

CE Name: WONG Wai Tong, William

CE No.: BOK274

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: WONG Wai Tong, William

CE No.: BOK274

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 4 Regulated Activity

CE Name: WU Mengnan

CE No.: BHX145

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: WU Oi Chung, Jocelyn

CE No.: ALR004

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: WU Oi Chung, Jocelyn

CE No.: ALR004

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 4 Regulated Activity

CE Name: WU Xiao

CE No.: AOS437

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: XIAO Yinan

CE No.: AYS881

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: XIAO Yinan

CE No.: AYS881

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: YANG Hann

CE No.: BEC061

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity

CE Name: YANG Hann

CE No.: BEC061

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 4 Regulated Activity

CE Name: YEUNG Ka Fung

CE No.: BQC183

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 4 Regulated Activity

CE Name: YEUNG Ka Fung

CE No.: BQC183

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: YI AO

CE No.: BUT032

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: YI AO

CE No.: BUT032

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: YU Bobby Jump Ming

CE No.: AYA001

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: ZENG Cheng

CE No.: BGP737

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: ZENG Cheng

CE No.: BGP737

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 4 Regulated Activity

CE Name: ZHANG Yuan

CE No.: BUI756

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity

CE Name: ZHAO Zhao

CE No.: AWY586

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: ZHAO Zhao

CE No.: AWY586

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: ZHENG Jialiang

CE No.: AZB711

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: ZHENG Jialiang

CE No.: AZB711

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: ZHU Wendy Wenwen

CE No.: AMF185

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: ZHU Wendy Wenwen

CE No.: AMF185

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: HU Yanmeng

CE No.: BUV073

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 5 Regulated Activity

CE Name: CHAN Frank Clifford Shui Ting Chu

CE No.: ARP537

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.

Condition Level: Type 6 Regulated Activity

CE Name: CHEN Yuyuan

CE No.: BDV095

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.

Condition Level: Type 6 Regulated Activity

CE Name: CHEUNG Ho Ming

CE No.: AOE594

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 6 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: CHEUNG Ho Ming

CE No.: AOE594

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 6 Regulated Activity

CE Name: GUO Yifan

CE No.: AXV591

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.

Condition Level: Type 6 Regulated Activity

CE Name: HO Lok Yan

CE No.: ANL071

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.

Condition Level: Type 6 Regulated Activity

CE Name: JIANG Zhiwei

CE No.: BBK034

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.

Condition Level: Type 6 Regulated Activity



## **CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024**

CE Name: KAN Tsz Yan, Arthur

CE No.: AGO945

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.

Condition Level: Type 6 Regulated Activity

CE Name: LAU Chun Hung

CE No.: BOB493

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.

Condition Level: Type 6 Regulated Activity

CE Name: LAU Tat Wai

CE No.: BHC101

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.

Condition Level: Type 6 Regulated Activity

CE Name: LEE Chun Pang

CE No.: ANX999

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.

Condition Level: Type 6 Regulated Activity

CE Name: LEE Chun Pang

CE No.: ANX999

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.

Condition Level: Type 6 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: LEI Bing

CE No.: AXM402

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.

Condition Level: Type 6 Regulated Activity

CE Name: LIM Kim Huat

CE No.: ARU536

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.

Condition Level: Type 6 Regulated Activity

CE Name: PANDYA Bhavik Manohar

CE No.: BUB921

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 6 Regulated Activity

CE Name: PANDYA Bhavik Manohar

CE No.: BUB921

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 6 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: REN Mengqi

CE No.: BBR070

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 6 Regulated Activity

CE Name: REN Mengqi

CE No.: BBR070

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.

Condition Level: Type 6 Regulated Activity

CE Name: SIN Ka Yiu

CE No.: BDP260

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.

Condition Level: Type 6 Regulated Activity

CE Name: TANG Liang

CE No.: BUG299

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.

Condition Level: Type 6 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: TANG Liang

CE No.: BUG299

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 6 Regulated Activity

CE Name: WU Jennifer York Kei

CE No.: AHX685

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.

Condition Level: Type 6 Regulated Activity

CE Name: XU Jingyi

CE No.: BFP205

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.

Condition Level: Type 6 Regulated Activity

CE Name: XU Jingyi

CE No.: BFP205

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.

Condition Level: Type 6 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: BAO Xiaorui

CE No.: BUN422

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: BAO Xiaorui

CE No.: BUN422

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: CHENG Chi Ho

CE No.: AWC625

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: CHENG Wai Man

CE No.: ANK374

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: CHENG Wai Man

CE No.: ANK374

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: CHOU Jaime Yun Cheng

CE No.: ALH930

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: DUNWOODY Ross

CE No.: BRP791

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: HE Qing

CE No.: BVA296

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: HE Qing

CE No.: BVA296

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: HO Wai Kin

CE No.: AYZ335

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 9 Regulated Activity

CE Name: HO Wai Kin

CE No.: AYZ335

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: HUI Kit Chiu

CE No.: AYQ846

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: JIANG Jun

CE No.: BUF893

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 9 Regulated Activity

CE Name: JIANG Jun

CE No.: BUF893

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: KANAPATHIPPILLAI Subash Efrem

CE No.: BOK139

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: KASTENHOLZ Mika Arnold

CE No.: BPU387

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: KASTENHOLZ Mika Arnold

CE No.: BPU387

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: LAM Si Yang, Calvin

CE No.: AOO266

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: LAM Siu Mo

CE No.: BOS468

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: LAM Siu Mo

CE No.: BOS468

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: LAU Tak Fai

CE No.: AOH320

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: LAU Tak Fai

CE No.: AOH320

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: LAW YI MAN

CE No.: BSR064

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: LEE Yee Nam

CE No.: AUC313

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: LEE Yee Nam

CE No.: AUC313

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: LI Cai

CE No.: BPE959

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: LI Chenyao

CE No.: BBJ083

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: LI Chenyao

CE No.: BBJ083

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: LI Hongli

CE No.: BDQ909

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: LI Simiao

CE No.: BUY880

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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) 5 May 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.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: LI Simiao

CE No.: BUY880

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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 approval for carrying on that regulated activity as a responsible officer (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 6 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity

CE Name: LI Simiao

CE No.: BUY880

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: LI Simiao

CE No.: BUY880

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: LIU YILIN

CE No.: BUY253

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: LIU YILIN

CE No.: BUY253

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: MALONE Timothy Joseph

CE No.: AXV753

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 9 Regulated Activity

CE Name: MALONE Timothy Joseph

CE No.: AXV753

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: MOK Wing Hon

CE No.: AGD652

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: NG Wai Kie

CE No.: ATV597

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: NG Wai Kie

CE No.: ATV597

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: PAO Wai Man

CE No.: ADS272

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: PAO Wai Man

CE No.: ADS272

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: SHEN Chen

CE No.: BSJ308

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: SHEN Chen

CE No.: BSJ308

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 9 Regulated Activity

CE Name: STEWART Glenn Jose

CE No.: BAP748

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: TAN Woo Teck, Christopher

CE No.: ABG708

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: TAO Ning

CE No.: BST923

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: TO Wing Cheung

CE No.: BJR968

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 9 Regulated Activity

CE Name: TO Wing Cheung

CE No.: BJR968

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: WANG Luchen

CE No.: BMV930

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: WANG Luchen

CE No.: BMV930

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: WAT Yau Tat

CE No.: ALA727

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: WONG Chi Yuen

CE No.: BNJ009

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: WONG Wai Tong, William

CE No.: BOK274

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 9 Regulated Activity

CE Name: WONG Wai Tong, William

CE No.: BOK274

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: WU Oi Chung, Jocelyn

CE No.: ALR004

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: WU Oi Chung, Jocelyn

CE No.: ALR004

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: XIAO Yinan

CE No.: AYS881

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: XIAO Yinan

CE No.: AYS881

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: XU Hanchao

CE No.: BAV218

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: XU Hanchao

CE No.: BAV218

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: YANG Hann

CE No.: BEC061

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 9 Regulated Activity

CE Name: YANG Hann

CE No.: BEC061

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: YAO Hua

CE No.: AVD363

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: YU Bobby Jump Ming

CE No.: AYA001

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: YUEN Ka Lun

CE No.: BIY807

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: YUEN Ka Lun

CE No.: BIY807

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: ZENG Cheng

CE No.: BGP737

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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.

Condition Level: Type 9 Regulated Activity

CE Name: ZENG Cheng

CE No.: BGP737

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: ZHANG Lan

CE No.: BUL410

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: ZHANG Lan

CE No.: BUL410

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: ZHANG Yuan

CE No.: BUI756

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: AAGAARD Lars Erik

CE No.: BDQ224

Licence Type: Licensed Representative

Condition Removed:

For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.

Condition Level: Type 1 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: CHAN Hok Leung

CE No.: AQE457

Licence Type: Licensed Representative

Condition Removed:

For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.

Condition Level: Type 1 Regulated Activity

CE Name: HUI Ying Kit

CE No.: AKI439

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: KWONG Chung Ping

CE No.: AHK068

Licence Type: Licensed Representative

Condition Removed:

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 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.

Condition Level: Type 1 Regulated Activity

CE Name: TSAI Rong-Er

CE No.: BVK758

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: TSAI Rong-Er

CE No.: BVK758

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity

CE Name: AAGAARD Lars Erik

CE No.: BDQ224

Licence Type: Licensed Representative

Condition Removed:

For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.

Condition Level: Type 6 Regulated Activity

CE Name: TSAI Rong-Er

CE No.: BVK758

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity

CE Name: TSANG Tak Fu

CE No.: AOI861

Licence Type: Licensed Representative

Condition Removed:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: ROHOF Jan Wilhelm

CE No.: BPQ451

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Licence

CE Name: SONG Qi

CE No.: BMC486

Licence Type: Licensed Representative

Condition Removed:

The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.

Condition Level: Licence

CE Name: TACCHI Timothy Alexander

CE No.: AJO036

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Licence

CE Name: IP Pak Cheong

CE No.: AQA094

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: JIANG Zhiwei

CE No.: BBK034

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.

Condition Level: Type 1 Regulated Activity

CE Name: JIANG Zhiwei

CE No.: BBK034

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: JIM Chu Sing

CE No.: ATD286

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.

Condition Level: Type 1 Regulated Activity

CE Name: LAU Kwan Hing

CE No.: BDD696

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: LI Xiaohan

CE No.: BLI045

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 1 Regulated Activity

CE Name: LI Xiaohan

CE No.: BLI045

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: WU Jennifer York Kei

CE No.: AHX685

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.

Condition Level: Type 1 Regulated Activity

CE Name: LI Xiaohan

CE No.: BLI045

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: LI Xiaohan

CE No.: BLI045

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: CHAN Frank Clifford Shui Ting Chu

CE No.: ARP537

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.

Condition Level: Type 6 Regulated Activity

CE Name: HO Lok Yan

CE No.: ANL071

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.

Condition Level: Type 6 Regulated Activity

CE Name: JIANG Zhiwei

CE No.: BBK034

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.

Condition Level: Type 6 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: JIANG Zhiwei

CE No.: BBK034

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 6 Regulated Activity

CE Name: WU Jennifer York Kei

CE No.: AHX685

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.

Condition Level: Type 6 Regulated Activity

CE Name: LI Xiaohan

CE No.: BLI045

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: LI Xiaohan

CE No.: BLI045

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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.

Condition Level: Type 9 Regulated Activity





## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: MOK Wing Hon

CE No.: AGD652

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: WAT Yau Tat

CE No.: ALA727

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: WONG Chi Yuen

CE No.: BNJ009

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: LIU Ninghui

CE No.: BRP507

Licence Type: Licensed Representative

Condition Removed:

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) 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.

Condition Level: Type 2 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2024

CE Name: LIU Ninghui

CE No.: BRP507

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 2 Regulated Activity

CE Name: LIU Ninghui

CE No.: BRP507

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 5 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.

Condition Level: Type 5 Regulated Activity

CE Name: LIU Ninghui

CE No.: BRP507

Licence Type: Licensed Representative

Condition Removed:

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.

Condition Level: Type 5 Regulated Activity