CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Brevan Howard (Hong Kong) Limited
CE No.: AKO483
Licence Type: Licensed Corporation
Condition Added:
For Type 1 regulated activity, the licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation.
Condition Level: Type 1 Regulated Activity

CE Name: First Shanghai Securities Limited
CE No.: ABV488
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services through operating an omnibus account established and maintained with an SFC-licensed platform. The term “SFC-licensed platform” refers to a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (AMLO). The term “virtual asset” is defined in section 53ZRA of the AMLO.
Condition Level: Type 1 Regulated Activity

CE Name: First Shanghai Securities Limited
CE No.: ABV488
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset dealing services, the licensee or registered institution shall comply with the “ Terms and conditions for licensed corporations or registered institutions providing virtual asset dealing services under an omnibus account arrangement ” (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 1 Regulated Activity

CE Name: First Shanghai Securities Limited
CE No.: ABV488
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to persons which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities), except where the registered institution provides virtual asset dealing services only in Relevant Stablecoins to its clients, such clients need not be its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: First Shanghai Securities Limited
CE No.: ABV488
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset dealing services, the licensee or registered institution shall comply with the attached “Terms and conditions for licensed corporations or registered institutions providing virtual asset dealing services under an omnibus account arrangement” (as amended from time to time). The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CE Name: First Shanghai Securities Limited
CE No.: ABV488
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services through operating an omnibus account established and maintained with an SFC-licensed platform, or an HKMA-licensed stablecoin issuer as far as a specified stablecoin the issue of which is authorised by a licence granted under the Stablecoins Ordinance (SO) (Relevant Stablecoin) and made by that issuer is concerned. The term “SFC-licensed platform” refers to a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (AMLO). The term “HKMA-licensed stablecoin issuer” means a stablecoin issuer which is licensed by the HKMA under section 15 of the SO. The term “virtual asset” is defined in section 53ZRA of the AMLO. The term “specified stablecoin” has the meaning given by section 4 of the SO.
Condition Level: Type 1 Regulated Activity

CE Name: First Shanghai Securities Limited
CE No.: ABV488
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to persons which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: GPTX Investment Management Limited
CE No.: BTV456
Licence Type: Licensed Corporation
Condition Added:
With respect to introducing clients to virtual asset trading platform operators or stablecoin issuers, the licensee or registered institution shall only engage in the introduction of persons to establish accounts with an SFC-licensed virtual asset trading platform (SFC-licensed platform) to effect dealing in or make offers to deal in virtual assets directly, except that the licensee or registered institution may engage in the introduction of persons to establish accounts with an HKMA-licensed stablecoin issuer directly to effect dealing in or make offers to deal in a specified stablecoin the issuance of which is authorised by a licence granted under the Stablecoins Ordinance (SO) (Relevant Stablecoin) and made by that issuer. The licensee or registered institution shall not communicate any offers to effect dealings in virtual assets to the SFC-licensed platform or the HKMA-licensed stablecoin issuer (where applicable). Prior to introducing clients to establish accounts with an SFC-licensed trading platform or an HKMA-licensed stablecoin issuer (where applicable), the licensee or registered institution should enter into a written client agreement with clients which should set out a clear description of the nature of the services to be provided to or available to the client, including the role and obligation of the licensee or registered institution and that it would not provide any dealing, financial accommodation, settlement or custody services. The term “SFC-licensed platform” means a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter Terrorist Financing Ordinance (AMLO). The term “HKMA-licensed stablecoin issuer” means a stablecoin issuer which is licensed by the HKMA under section 15 of the SO. The term “virtual asset” is defined in section 53ZRA of the AMLO. The term “specified stablecoin” has the meaning given by section 4 of the SO.
Condition Level: Type 1 Regulated Activity

CE Name: GPTX Investment Management Limited
CE No.: BTV456
Licence Type: Licensed Corporation
Condition Added:
With respect to introducing clients to virtual asset trading platform operators or HKMA-licensed stablecoin issuers (where applicable), the licensee or registered institution shall only introduce persons which are professional investors and are its clients in respect of its business in Type 1 regulated activity (dealing in securities), except where the registered institution only introduces clients to virtual asset trading platform operators or HKMA-licensed stablecoin issuers (where applicable) which provide virtual asset dealing services only in Relevant Stablecoins as a service (Relevant Stablecoin-only dealing service) for the provision of Relevant Stablecoin-only dealing service, such clients need to be professional investors but need not be its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “dealing in securities” is specified in Part 2 of Schedule 5 to the SFO.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: GPTX Investment Management Limited
CE No.: BTV456
Licence Type: Licensed Corporation
Condition Added:
With respect to introducing clients to virtual asset trading platform operators or stablecoin issuers, the licensee or registered institution shall not hold client assets. • The term “hold” is as defined under the Securities and Futures Ordinance; and • The term “client assets” means: (i) “client virtual assets”, which means any virtual assets received or held by the licensee or registered institution, which are so received or held on behalf of a client or in which a client has a legal or equitable interest, and includes any rights thereto. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance; and (ii) “client money”, which means any money received or held by the licensee or registered institution, which is so received or held on behalf of a client or in which a client has a legal or equitable interest, and includes any accretions thereto whether as capital or income.
Condition Level: Type 1 Regulated Activity

CE Name: GPTX Investment Management Limited
CE No.: BTV456
Licence Type: Licensed Corporation
Condition Removed:
With respect to introducing clients to virtual asset trading platform operators, the licensee or registered institution shall only engage in the introduction of persons to establish accounts with an SFC-licensed virtual asset trading platform (SFC-licensed platform) to effect dealing in or make offers to deal in virtual assets directly. The licensee or registered institution shall not communicate any offers to effect dealings in virtual assets to the SFC-licensed platform. Prior to introducing clients to establish accounts with an SFC-licensed trading platform, the licensee or registered institution should enter into a written client agreement with clients which should set out a clear description of the nature of the services to be provided to or available to the client, including the role and obligation of the licensee or registered institution and that it would not provide any dealing, financial accommodation, settlement or custody services. The term “SFC-licensed platform” means a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (AMLO). The term “virtual asset” is defined in section 53ZRA of the AMLO.
Condition Level: Type 1 Regulated Activity

CE Name: GPTX Investment Management Limited
CE No.: BTV456
Licence Type: Licensed Corporation
Condition Removed:
With respect to introducing clients to virtual asset trading platform operators, the licensee or registered institution shall only introduce persons which are professional investors and are its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “dealing in securities” is specified in Part 2 of Schedule 5 to the SFO.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: GPTX Investment Management Limited
CE No.: BTV456
Licence Type: Licensed Corporation
Condition Removed:
With respect to introducing clients to virtual asset trading platform operators, the licensee or registered institution shall not hold client assets.• The term “hold” is as defined under the Securities and Futures Ordinance; and• The term “client assets” means: (i) “client virtual assets”, which means any virtual assets received or held by the licensee or registered institution, which are so received or held on behalf of a client or in which a client has a legal or equitable interest, and includes any rights thereto. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance; and(ii) “client money”, which means any money received or held by the licensee or registered institution, which is so received or held on behalf of a client or in which a client has a legal or equitable interest, and includes any accretions thereto whether as capital or income.
Condition Level: Type 1 Regulated Activity

CE Name: Golden Continent Securities Co., Limited
CE No.: BTE509
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “dealing in securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CE Name: Golden Continent Securities Co., Limited
CE No.: BTE509
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services through operating an omnibus account established and maintained with an SFC-licensed platform. The term “SFC-licensed platform” refers to a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (AMLO). The term “virtual asset” is defined in section 53ZRA of the AMLO.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Golden Continent Securities Co., Limited
CE No.: BTE509
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities), except where the registered institution provides virtual asset dealing services only in Relevant Stablecoins to its clients, such clients need not be its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “dealing in securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CE Name: Golden Continent Securities Co., Limited
CE No.: BTE509
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services through operating an omnibus account established and maintained with an SFC-licensed platform, or an HKMA-licensed stablecoin issuer as far as a specified stablecoin the issue of which is authorised by a licence granted under the Stablecoins Ordinance (SO) (Relevant Stablecoin) and made by that issuer is concerned. The term “SFC-licensed platform” refers to a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (AMLO). The term “HKMA-licensed stablecoin issuer” means a stablecoin issuer which is licensed by the HKMA under section 15 of the SO. The term “virtual asset” is defined in section 53ZRA of the AMLO. The term “specified stablecoin” has the meaning given by section 4 of the SO.
Condition Level: Type 1 Regulated Activity

CE Name: Golden Continent Securities Co., Limited
CE No.: BTE509
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset dealing services, the licensee or registered institution shall comply with the attached “Terms and conditions for licensed corporations or registered institutions providing virtual asset dealing services under an omnibus account arrangement” (as amended from time to time). The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Golden Continent Securities Co., Limited
CE No.: BTE509
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset dealing services, the licensee or registered institution shall comply with the " Terms and conditions for licensed corporations or registered institutions providing virtual asset dealing services under an omnibus account arrangement " (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 1 Regulated Activity

CE Name: Guotai Junan Securities (Hong Kong) Limited
CE No.: ABY236
Licence Type: Licensed Corporation
Condition Added:
With respect to introducing clients to virtual asset trading platform operators or stablecoin issuers, the licensee or registered institution shall only engage in the introduction of persons to establish accounts with an SFC-licensed virtual asset trading platform (SFC-licensed platform) to effect dealing in or make offers to deal in virtual assets directly, except that the licensee or registered institution may engage in the introduction of persons to establish accounts with an HKMA-licensed stablecoin issuer directly to effect dealing in or make offers to deal in a specified stablecoin the issuance of which is authorised by a licence granted under the Stablecoins Ordinance (SO) (Relevant Stablecoin) and made by that issuer. The licensee or registered institution shall not communicate any offers to effect dealings in virtual assets to the SFC-licensed platform or the HKMA-licensed stablecoin issuer (where applicable). Prior to introducing clients to establish accounts with an SFC-licensed trading platform or an HKMA-licensed stablecoin issuer (where applicable), the licensee or registered institution should enter into a written client agreement with clients which should set out a clear description of the nature of the services to be provided to or available to the client, including the role and obligation of the licensee or registered institution and that it would not provide any dealing, financial accommodation, settlement or custody services. The term "SFC-licensed platform" means a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter Terrorist Financing Ordinance (AMLO). The term "HKMA-licensed stablecoin issuer" means a stablecoin issuer which is licensed by the HKMA under section 15 of the SO. The term "virtual asset" is defined in section 53ZRA of the AMLO. The term "specified stablecoin" has the meaning given by section 4 of the SO.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Guotai Junan Securities (Hong Kong) Limited
CE No.: ABY236
Licence Type: Licensed Corporation
Condition Removed:
With respect to introducing clients to virtual asset trading platform operators, the licensee or registered institution shall not hold client assets.• The term “hold” is as defined under the Securities and Futures Ordinance; and• The term “client assets” means: (i) “client virtual assets”, which means any virtual assets received or held by the licensee or registered institution, which are so received or held on behalf of a client or in which a client has a legal or equitable interest, and includes any rights thereto. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance; and(ii) “client money”, which means any money received or held by the licensee or registered institution, which is so received or held on behalf of a client or in which a client has a legal or equitable interest, and includes any accretions thereto whether as capital or income.
Condition Level: Type 1 Regulated Activity

CE Name: Guotai Junan Securities (Hong Kong) Limited
CE No.: ABY236
Licence Type: Licensed Corporation
Condition Removed:
With respect to introducing clients to virtual asset trading platform operators, the licensee or registered institution shall only introduce persons which are its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance.
Condition Level: Type 1 Regulated Activity

CE Name: Guotai Junan Securities (Hong Kong) Limited
CE No.: ABY236
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services through operating an omnibus account established and maintained with an SFC-licensed platform. The term “SFC-licensed platform” refers to a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (AMLO). The term “virtual asset” is defined in section 53ZRA of the AMLO.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Guotai Junan Securities (Hong Kong) Limited
CE No.: ABY236
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to persons which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CE Name: Guotai Junan Securities (Hong Kong) Limited
CE No.: ABY236
Licence Type: Licensed Corporation
Condition Added:
With respect to introducing clients to virtual asset trading platform operators or HKMA-licensed stablecoin issuers (where applicable), the licensee or registered institution shall only introduce persons which are its clients in respect of its business in Type 1 regulated activity (dealing in securities), except where the registered institution only introduces clients to virtual asset trading platform operators or HKMA-licensed stablecoin issuers (where applicable) which provide virtual asset dealing services only in Relevant Stablecoins as a service (Relevant Stablecoin-only dealing service) for the provision of Relevant Stablecoin-only dealing service, such clients need not be its clients in respect of its business in Type 1 regulated activities (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance.
Condition Level: Type 1 Regulated Activity

CE Name: Guotai Junan Securities (Hong Kong) Limited
CE No.: ABY236
Licence Type: Licensed Corporation
Condition Added:
With respect to introducing clients to virtual asset trading platform operators or stablecoin issuers, the licensee or registered institution shall not hold client assets. • The term “hold” is as defined under the Securities and Futures Ordinance; and • The term “client assets” means: (i) “client virtual assets”, which means any virtual assets received or held by the licensee or registered institution, which are so received or held on behalf of a client or in which a client has a legal or equitable interest, and includes any rights thereto. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance; and (ii) “client money”, which means any money received or held by the licensee or registered institution, which is so received or held on behalf of a client or in which a client has a legal or equitable interest, and includes any accretions thereto whether as capital or income.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Guotai Junan Securities (Hong Kong) Limited
CE No.: ABY236
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to persons which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities), except where the registered institution provides virtual asset dealing services only in Relevant Stablecoins to its clients, such clients need not be its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CE Name: Guotai Junan Securities (Hong Kong) Limited
CE No.: ABY236
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset dealing services, the licensee or registered institution shall comply with the attached “Terms and conditions for licensed corporations or registered institutions providing virtual asset dealing services under an omnibus account arrangement” (as amended from time to time). The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CE Name: Guotai Junan Securities (Hong Kong) Limited
CE No.: ABY236
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services through operating an omnibus account established and maintained with an SFC-licensed platform, or an HKMA-licensed stablecoin issuer as far as a specified stablecoin the issue of which is authorised by a licence granted under the Stablecoins Ordinance (SO) (Relevant Stablecoin) and made by that issuer is concerned. The term “SFC-licensed platform” refers to a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (AMLO). The term “HKMA-licensed stablecoin issuer” means a stablecoin issuer which is licensed by the HKMA under section 15 of the SO. The term “virtual asset” is defined in section 53ZRA of the AMLO. The term “specified stablecoin” has the meaning given by section 4 of the SO.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Guotai Junan Securities (Hong Kong) Limited
CE No.: ABY236
Licence Type: Licensed Corporation
Condition Removed:
With respect to introducing clients to virtual asset trading platform operators, the licensee or registered institution shall only engage in the introduction of persons to establish accounts with an SFC-licensed virtual asset trading platform (SFC-licensed platform) to effect dealing in or make offers to deal in virtual assets directly. The licensee or registered institution shall not communicate any offers to effect dealings in virtual assets to the SFC-licensed platform. Prior to introducing clients to establish accounts with an SFC-licensed trading platform, the licensee or registered institution should enter into a written client agreement with clients which should set out a clear description of the nature of the services to be provided to or available to the client, including the role and obligation of the licensee or registered institution and that it would not provide any dealing, financial accommodation, settlement or custody services. The term “SFC-licensed platform” means a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (AMLO). The term “virtual asset” is defined in section 53ZRA of the AMLO.
Condition Level: Type 1 Regulated Activity

CE Name: Guotai Junan Securities (Hong Kong) Limited
CE No.: ABY236
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset dealing services, the licensee or registered institution shall comply with the “ Terms and conditions for licensed corporations or registered institutions providing virtual asset dealing services under an omnibus account arrangement ” (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 1 Regulated Activity

CE Name: Lucky Guosheng Securities Limited
CE No.: BMZ403
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “dealing in securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Lucky Guosheng Securities Limited
CE No.: BMZ403
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset dealing services, the licensee or registered institution shall comply with the attached “Terms and conditions for licensed corporations or registered institutions providing virtual asset dealing services under an omnibus account arrangement” (as amended from time to time). The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CE Name: Lucky Guosheng Securities Limited
CE No.: BMZ403
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services through operating an omnibus account established and maintained with an SFC-licensed platform, or an HKMA-licensed stablecoin issuer as far as a specified stablecoin the issue of which is authorised by a licence granted under the Stablecoins Ordinance (SO) (Relevant Stablecoin) and made by that issuer is concerned. The term “SFC-licensed platform” refers to a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (AMLO). The term “HKMA-licensed stablecoin issuer” means a stablecoin issuer which is licensed by the HKMA under section 15 of the SO. The term “virtual asset” is defined in section 53ZRA of the AMLO. The term “specified stablecoin” has the meaning given by section 4 of the SO.
Condition Level: Type 1 Regulated Activity

CE Name: Lucky Guosheng Securities Limited
CE No.: BMZ403
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset dealing services, the licensee or registered institution shall comply with the attached “Terms and conditions for licensed corporations or registered institutions providing virtual asset dealing services under an omnibus account arrangement” (as amended from time to time). The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Lucky Guosheng Securities Limited
CE No.: BMZ403
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities), except where the registered institution provides virtual asset dealing services only in Relevant Stablecoins to its clients, such clients need not be its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “dealing in securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CE Name: Lucky Guosheng Securities Limited
CE No.: BMZ403
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services through operating an omnibus account established and maintained with an SFC-licensed platform. The term “SFC-licensed platform” refers to a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (AMLO). The term “virtual asset” is defined in section 53ZRA of the AMLO.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Photon Dance Asset Management (Hong Kong) Limited
CE No.: BWJ859
Licence Type: Licensed Corporation
Condition Added:
With respect to introducing clients to virtual asset trading platform operators or stablecoin issuers, the licensee or registered institution shall only engage in the introduction of persons to establish accounts with an SFC-licensed virtual asset trading platform (SFC-licensed platform) to effect dealing in or make offers to deal in virtual assets directly, except that the licensee or registered institution may engage in the introduction of persons to establish accounts with an HKMA-licensed stablecoin issuer directly to effect dealing in or make offers to deal in a specified stablecoin the issuance of which is authorised by a licence granted under the Stablecoins Ordinance (SO) (Relevant Stablecoin) and made by that issuer. The licensee or registered institution shall not communicate any offers to effect dealings in virtual assets to the SFC-licensed platform or the HKMA-licensed stablecoin issuer (where applicable). Prior to introducing clients to establish accounts with an SFC-licensed trading platform or an HKMA-licensed stablecoin issuer (where applicable), the licensee or registered institution should enter into a written client agreement with clients which should set out a clear description of the nature of the services to be provided to or available to the client, including the role and obligation of the licensee or registered institution and that it would not provide any dealing, financial accommodation, settlement or custody services. The term “SFC-licensed platform” means a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter Terrorist Financing Ordinance (AMLO). The term “HKMA-licensed stablecoin issuer” means a stablecoin issuer which is licensed by the HKMA under section 15 of the SO. The term “virtual asset” is defined in section 53ZRA of the AMLO. The term “specified stablecoin” has the meaning given by section 4 of the SO.
Condition Level: Type 1 Regulated Activity

CE Name: Photon Dance Asset Management (Hong Kong) Limited
CE No.: BWJ859
Licence Type: Licensed Corporation
Condition Removed:
With respect to introducing clients to virtual asset trading platform operators, the licensee or registered institution shall only introduce persons which are professional investors and are its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “dealing in securities” is specified in Part 2 of Schedule 5 to the SFO.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Photon Dance Asset Management (Hong Kong) Limited
CE No.: BWJ859
Licence Type: Licensed Corporation
Condition Removed:
With respect to introducing clients to virtual asset trading platform operators, the licensee or registered institution shall only engage in the introduction of persons to establish accounts with an SFC-licensed virtual asset trading platform (SFC-licensed platform) to effect dealing in or make offers to deal in virtual assets directly. The licensee or registered institution shall not communicate any offers to effect dealings in virtual assets to the SFC-licensed platform. Prior to introducing clients to establish accounts with an SFC-licensed trading platform, the licensee or registered institution should enter into a written client agreement with clients which should set out a clear description of the nature of the services to be provided to or available to the client, including the role and obligation of the licensee or registered institution and that it would not provide any dealing, financial accommodation, settlement or custody services. The term “SFC-licensed platform” means a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (AMLO). The term “virtual asset” is defined in section 53ZRA of the AMLO.
Condition Level: Type 1 Regulated Activity

CE Name: Photon Dance Asset Management (Hong Kong) Limited
CE No.: BWJ859
Licence Type: Licensed Corporation
Condition Removed:
With respect to introducing clients to virtual asset trading platform operators, the licensee or registered institution shall not hold client assets.• The term “hold” is as defined under the Securities and Futures Ordinance; and• The term “client assets” means: (i) “client virtual assets”, which means any virtual assets received or held by the licensee or registered institution, which are so received or held on behalf of a client or in which a client has a legal or equitable interest, and includes any rights thereto. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance; and(ii) “client money”, which means any money received or held by the licensee or registered institution, which is so received or held on behalf of a client or in which a client has a legal or equitable interest, and includes any accretions thereto whether as capital or income.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Photon Dance Asset Management (Hong Kong) Limited
CE No.: BWJ859
Licence Type: Licensed Corporation
Condition Added:
With respect to introducing clients to virtual asset trading platform operators or HKMA-licensed stablecoin issuers (where applicable), the licensee or registered institution shall only introduce persons which are professional investors and are its clients in respect of its business in Type 1 regulated activity (dealing in securities), except where the registered institution only introduces clients to virtual asset trading platform operators or HKMA-licensed stablecoin issuers (where applicable) which provide virtual asset dealing services only in Relevant Stablecoins as a service (Relevant Stablecoin-only dealing service) for the provision of Relevant Stablecoin-only dealing service, such clients need to be professional investors but need not be its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “dealing in securities” is specified in Part 2 of Schedule 5 to the SFO.
Condition Level: Type 1 Regulated Activity

CE Name: Photon Dance Asset Management (Hong Kong) Limited
CE No.: BWJ859
Licence Type: Licensed Corporation
Condition Added:
With respect to introducing clients to virtual asset trading platform operators or stablecoin issuers, the licensee or registered institution shall not hold client assets. • The term “hold” is as defined under the Securities and Futures Ordinance; and • The term “client assets” means: (i) “client virtual assets”, which means any virtual assets received or held by the licensee or registered institution, which are so received or held on behalf of a client or in which a client has a legal or equitable interest, and includes any rights thereto. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance; and (ii) “client money”, which means any money received or held by the licensee or registered institution, which is so received or held on behalf of a client or in which a client has a legal or equitable interest, and includes any accretions thereto whether as capital or income.
Condition Level: Type 1 Regulated Activity

CE Name: Polen Capital HK Limited
CE No.: ABA410
Licence Type: Licensed Corporation
Condition Removed:
For Type 1 regulated activity, the licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Polen Capital HK Limited
CE No.: ABA410
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: STAR RIVER SECURITIES LIMITED
CE No.: BJG526
Licence Type: Licensed Corporation
Condition Added:
With respect to introducing clients to virtual asset trading platform operators or HKMA-licensed stablecoin issuers (where applicable), the licensee or registered institution shall only introduce persons which are its clients in respect of its business in Type 1 regulated activity (dealing in securities), except where the registered institution only introduces clients to virtual asset trading platform operators or HKMA-licensed stablecoin issuers (where applicable) which provide virtual asset dealing services only in Relevant Stablecoins as a service (Relevant Stablecoin-only dealing service) for the provision of Relevant Stablecoin-only dealing service, such clients need not be its clients in respect of its business in Type 1 regulated activities (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance.
Condition Level: Type 1 Regulated Activity

CE Name: STAR RIVER SECURITIES LIMITED
CE No.: BJG526
Licence Type: Licensed Corporation
Condition Removed:
With respect to introducing clients to virtual asset trading platform operators, the licensee or registered institution shall only engage in the introduction of persons to establish accounts with an SFC-licensed virtual asset trading platform (SFC-licensed platform) to effect dealing in or make offers to deal in virtual assets directly. The licensee or registered institution shall not communicate any offers to effect dealings in virtual assets to the SFC-licensed platform. Prior to introducing clients to establish accounts with an SFC-licensed trading platform, the licensee or registered institution should enter into a written client agreement with clients which should set out a clear description of the nature of the services to be provided to or available to the client, including the role and obligation of the licensee or registered institution and that it would not provide any dealing, financial accommodation, settlement or custody services. The term “SFC-licensed platform” means a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (AMLO). The term “virtual asset” is defined in section 53ZRA of the AMLO.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: STAR RIVER SECURITIES LIMITED
CE No.: BJG526
Licence Type: Licensed Corporation
Condition Added:
With respect to introducing clients to virtual asset trading platform operators or stablecoin issuers, the licensee or registered institution shall only engage in the introduction of persons to establish accounts with an SFC-licensed virtual asset trading platform (SFC-licensed platform) to effect dealing in or make offers to deal in virtual assets directly, except that the licensee or registered institution may engage in the introduction of persons to establish accounts with an HKMA-licensed stablecoin issuer directly to effect dealing in or make offers to deal in a specified stablecoin the issuance of which is authorised by a licence granted under the Stablecoins Ordinance (SO) (Relevant Stablecoin) and made by that issuer. The licensee or registered institution shall not communicate any offers to effect dealings in virtual assets to the SFC-licensed platform or the HKMA-licensed stablecoin issuer (where applicable). Prior to introducing clients to establish accounts with an SFC-licensed trading platform or an HKMA-licensed stablecoin issuer (where applicable), the licensee or registered institution should enter into a written client agreement with clients which should set out a clear description of the nature of the services to be provided to or available to the client, including the role and obligation of the licensee or registered institution and that it would not provide any dealing, financial accommodation, settlement or custody services. The term “SFC-licensed platform” means a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter Terrorist Financing Ordinance (AMLO). The term “HKMA-licensed stablecoin issuer” means a stablecoin issuer which is licensed by the HKMA under section 15 of the SO. The term “virtual asset” is defined in section 53ZRA of the AMLO. The term “specified stablecoin” has the meaning given by section 4 of the SO.
Condition Level: Type 1 Regulated Activity

CE Name: STAR RIVER SECURITIES LIMITED
CE No.: BJG526
Licence Type: Licensed Corporation
Condition Removed:
With respect to introducing clients to virtual asset trading platform operators, the licensee or registered institution shall only introduce persons which are its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: STAR RIVER SECURITIES LIMITED
CE No.: BJG526
Licence Type: Licensed Corporation
Condition Removed:
With respect to introducing clients to virtual asset trading platform operators, the licensee or registered institution shall not hold client assets.• The term “hold” is as defined under the Securities and Futures Ordinance; and• The term “client assets” means: (i) “client virtual assets”, which means any virtual assets received or held by the licensee or registered institution, which are so received or held on behalf of a client or in which a client has a legal or equitable interest, and includes any rights thereto. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance; and(ii) “client money”, which means any money received or held by the licensee or registered institution, which is so received or held on behalf of a client or in which a client has a legal or equitable interest, and includes any accretions thereto whether as capital or income.
Condition Level: Type 1 Regulated Activity

CE Name: STAR RIVER SECURITIES LIMITED
CE No.: BJG526
Licence Type: Licensed Corporation
Condition Added:
With respect to introducing clients to virtual asset trading platform operators or stablecoin issuers, the licensee or registered institution shall not hold client assets. • The term “hold” is as defined under the Securities and Futures Ordinance; and• The term “client assets” means: (i) “client virtual assets”, which means any virtual assets received or held by the licensee or registered institution, which are so received or held on behalf of a client or in which a client has a legal or equitable interest, and includes any rights thereto. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance; and (ii) “client money”, which means any money received or held by the licensee or registered institution, which is so received or held on behalf of a client or in which a client has a legal or equitable interest, and includes any accretions thereto whether as capital or income.
Condition Level: Type 1 Regulated Activity

CE Name: Success Securities Limited
CE No.: AEZ190
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services through operating an omnibus account established and maintained with an SFC-licensed platform. The term “SFC-licensed platform” refers to a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (AMLO). The term “virtual asset” is defined in section 53ZRA of the AMLO.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Success Securities Limited
CE No.: AEZ190
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to persons which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CE Name: Success Securities Limited
CE No.: AEZ190
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to persons which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities), except where the registered institution provides virtual asset dealing services only in Relevant Stablecoins to its clients, such clients need not be its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CE Name: Success Securities Limited
CE No.: AEZ190
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset dealing services, the licensee or registered institution shall comply with the attached “Terms and conditions for licensed corporations or registered institutions providing virtual asset dealing services under an omnibus account arrangement” (as amended from time to time). The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Success Securities Limited
CE No.: AEZ190
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services through operating an omnibus account established and maintained with an SFC-licensed platform, or an HKMA-licensed stablecoin issuer as far as a specified stablecoin the issue of which is authorised by a licence granted under the Stablecoins Ordinance (SO) (Relevant Stablecoin) and made by that issuer is concerned. The term “SFC-licensed platform” refers to a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (AMLO). The term “HKMA-licensed stablecoin issuer” means a stablecoin issuer which is licensed by the HKMA under section 15 of the SO. The term “virtual asset” is defined in section 53ZRA of the AMLO. The term “specified stablecoin” has the meaning given by section 4 of the SO.
Condition Level: Type 1 Regulated Activity

CE Name: Success Securities Limited
CE No.: AEZ190
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset dealing services, the licensee or registered institution shall comply with the attached “Terms and conditions for licensed corporations or registered institutions providing virtual asset dealing services under an omnibus account arrangement” (as amended from time to time). The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CE Name: Theia Securities Limited
CE No.: BJW079
Licence Type: Licensed Corporation
Condition Removed:
With respect to introducing clients to virtual asset trading platform operators, the licensee or registered institution shall only introduce persons which are its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Theia Securities Limited
CE No.: BJW079
Licence Type: Licensed Corporation
Condition Added:
With respect to introducing clients to virtual asset trading platform operators or stablecoin issuers, the licensee or registered institution shall not hold client assets. • The term “hold” is as defined under the Securities and Futures Ordinance; and • The term “client assets” means: (i) “client virtual assets”, which means any virtual assets received or held by the licensee or registered institution, which are so received or held on behalf of a client or in which a client has a legal or equitable interest, and includes any rights thereto. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance; and (ii) “client money”, which means any money received or held by the licensee or registered institution, which is so received or held on behalf of a client or in which a client has a legal or equitable interest, and includes any accretions thereto whether as capital or income.
Condition Level: Type 1 Regulated Activity

CE Name: Theia Securities Limited
CE No.: BJW079
Licence Type: Licensed Corporation
Condition Added:
With respect to introducing clients to virtual asset trading platform operators or HKMA-licensed stablecoin issuers (where applicable), the licensee or registered institution shall only introduce persons which are its clients in respect of its business in Type 1 regulated activity (dealing in securities), except where the registered institution only introduces clients to virtual asset trading platform operators or HKMA-licensed stablecoin issuers (where applicable) which provide virtual asset dealing services only in Relevant Stablecoins as a service (Relevant Stablecoin-only dealing service) for the provision of Relevant Stablecoin-only dealing service, such clients need not be its clients in respect of its business in Type 1 regulated activities (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Theia Securities Limited
CE No.: BJW079
Licence Type: Licensed Corporation
Condition Added:
With respect to introducing clients to virtual asset trading platform operators or stablecoin issuers, the licensee or registered institution shall only engage in the introduction of persons to establish accounts with an SFC-licensed virtual asset trading platform (SFC-licensed platform) to effect dealing in or make offers to deal in virtual assets directly, except that the licensee or registered institution may engage in the introduction of persons to establish accounts with an HKMA-licensed stablecoin issuer directly to effect dealing in or make offers to deal in a specified stablecoin the issuance of which is authorised by a licence granted under the Stablecoins Ordinance (SO) (Relevant Stablecoin) and made by that issuer. The licensee or registered institution shall not communicate any offers to effect dealings in virtual assets to the SFC-licensed platform or the HKMA-licensed stablecoin issuer (where applicable). Prior to introducing clients to establish accounts with an SFC-licensed trading platform or an HKMA-licensed stablecoin issuer (where applicable), the licensee or registered institution should enter into a written client agreement with clients which should set out a clear description of the nature of the services to be provided to or available to the client, including the role and obligation of the licensee or registered institution and that it would not provide any dealing, financial accommodation, settlement or custody services. The term “SFC-licensed platform” means a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter Terrorist Financing Ordinance (AMLO). The term “HKMA-licensed stablecoin issuer” means a stablecoin issuer which is licensed by the HKMA under section 15 of the SO. The term “virtual asset” is defined in section 53ZRA of the AMLO. The term “specified stablecoin” has the meaning given by section 4 of the SO.
Condition Level: Type 1 Regulated Activity

CE Name: Theia Securities Limited
CE No.: BJW079
Licence Type: Licensed Corporation
Condition Removed:
With respect to introducing clients to virtual asset trading platform operators, the licensee or registered institution shall not hold client assets.• The term “hold” is as defined under the Securities and Futures Ordinance; and• The term “client assets” means: (i) “client virtual assets”, which means any virtual assets received or held by the licensee or registered institution, which are so received or held on behalf of a client or in which a client has a legal or equitable interest, and includes any rights thereto. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance; and(ii) “client money”, which means any money received or held by the licensee or registered institution, which is so received or held on behalf of a client or in which a client has a legal or equitable interest, and includes any accretions thereto whether as capital or income.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Theia Securities Limited
CE No.: BJW079
Licence Type: Licensed Corporation
Condition Removed:
With respect to introducing clients to virtual asset trading platform operators, the licensee or registered institution shall only engage in the introduction of persons to establish accounts with an SFC-licensed virtual asset trading platform (SFC-licensed platform) to effect dealing in or make offers to deal in virtual assets directly. The licensee or registered institution shall not communicate any offers to effect dealings in virtual assets to the SFC-licensed platform. Prior to introducing clients to establish accounts with an SFC-licensed trading platform, the licensee or registered institution should enter into a written client agreement with clients which should set out a clear description of the nature of the services to be provided to or available to the client, including the role and obligation of the licensee or registered institution and that it would not provide any dealing, financial accommodation, settlement or custody services. The term “SFC-licensed platform” means a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (AMLO). The term “virtual asset” is defined in section 53ZRA of the AMLO.
Condition Level: Type 1 Regulated Activity

CE Name: Brevan Howard (Hong Kong) Limited
CE No.: AKO483
Licence Type: Licensed Corporation
Condition Added:
For Type 2 regulated activity, the licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation.
Condition Level: Type 2 Regulated Activity

CE Name: BNP PARIBAS ASSET MANAGEMENT APAC Limited
CE No.: AAP809
Licence Type: Licensed Corporation
Condition Removed:
For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.
Condition Level: Type 3 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Butterfly Holding Limited
CE No.: BVW285
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset advisory services, the licensee or registered institution shall comply with the attached " Terms and conditions for licensed corporations or registered institutions providing virtual asset advisory services " (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 4 Regulated Activity

CE Name: Butterfly Holding Limited
CE No.: BVW285
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities), except where the registered institution provides virtual asset advisory services only in specified stablecoins the issue of which is authorised by a licence granted under the Stablecoins Ordinance (SO) (Relevant Stablecoin) to its clients, such clients need not be its clients in respect of its business in Type 4 regulated activity (advising on securities). The term "professional investor" is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term "advising on securities" is specified in Part 2 of Schedule 5 to the SFO. The term "virtual asset" is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance. The term "specified stablecoin" has the meaning given by section 4 of the SO.
Condition Level: Type 4 Regulated Activity

CE Name: First Seafront Asset Management Limited
CE No.: BTR479
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities). The term "professional investor" is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term "advising on securities" is specified in Part 2 of Schedule 5 to the SFO. The term "virtual asset" is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 4 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: First Seafront Asset Management Limited
CE No.: BTR479
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities), except where the registered institution provides virtual asset advisory services only in specified stablecoins the issue of which is authorised by a licence granted under the Stablecoins Ordinance (SO) (Relevant Stablecoin) to its clients, such clients need not be its clients in respect of its business in Type 4 regulated activity (advising on securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “advising on securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance. The term “specified stablecoin” has the meaning given by section 4 of the SO.
Condition Level: Type 4 Regulated Activity

CE Name: First Seafront Asset Management Limited
CE No.: BTR479
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset advisory services, the licensee or registered institution shall comply with the attached “ Terms and conditions for licensed corporations or registered institutions providing virtual asset advisory services ” (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 4 Regulated Activity

CE Name: First Seafront Asset Management Limited
CE No.: BTR479
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset advisory services, the licensee or registered institution shall comply with the “Terms and conditions for licensed corporations or registered institutions providing virtual asset advisory services” (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 4 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: GPTX Investment Management Limited
CE No.: BTV456
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “advising on securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 4 Regulated Activity

CE Name: GPTX Investment Management Limited
CE No.: BTV456
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset advisory services, the licensee or registered institution shall comply with the “Terms and conditions for licensed corporations or registered institutions providing virtual asset advisory services” (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 4 Regulated Activity

CE Name: GPTX Investment Management Limited
CE No.: BTV456
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset advisory services, the licensee or registered institution shall comply with the attached “ Terms and conditions for licensed corporations or registered institutions providing virtual asset advisory services ” (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 4 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: GPTX Investment Management Limited
CE No.: BTV456
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities), except where the registered institution provides virtual asset advisory services only in specified stablecoins the issue of which is authorised by a licence granted under the Stablecoins Ordinance (SO) (Relevant Stablecoin) to its clients, such clients need not be its clients in respect of its business in Type 4 regulated activity (advising on securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “advising on securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance. The term “specified stablecoin” has the meaning given by section 4 of the SO.
Condition Level: Type 4 Regulated Activity

CE Name: Geometry Capital (Hong Kong) Limited
CE No.: BUF737
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities), except where the registered institution provides virtual asset advisory services only in specified stablecoins the issue of which is authorised by a licence granted under the Stablecoins Ordinance (SO) (Relevant Stablecoin) to its clients, such clients need not be its clients in respect of its business in Type 4 regulated activity (advising on securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “advising on securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance. The term “specified stablecoin” has the meaning given by section 4 of the SO.
Condition Level: Type 4 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Geometry Capital (Hong Kong) Limited
CE No.: BUF737
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “advising on securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 4 Regulated Activity

CE Name: Geometry Capital (Hong Kong) Limited
CE No.: BUF737
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset advisory services, the licensee or registered institution shall comply with the “Terms and conditions for licensed corporations or registered institutions providing virtual asset advisory services” (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 4 Regulated Activity

CE Name: Geometry Capital (Hong Kong) Limited
CE No.: BUF737
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset advisory services, the licensee or registered institution shall comply with the attached “ Terms and conditions for licensed corporations or registered institutions providing virtual asset advisory services ” (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 4 Regulated Activity

CE Name: Golden Continent Securities Co., Limited
CE No.: BTE509
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset advisory services, the licensee or registered institution shall comply with the “Terms and conditions for licensed corporations or registered institutions providing virtual asset advisory services” (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 4 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Golden Continent Securities Co., Limited
CE No.: BTE509
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “advising on securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 4 Regulated Activity

CE Name: Golden Continent Securities Co., Limited
CE No.: BTE509
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset advisory services, the licensee or registered institution shall comply with the attached “ Terms and conditions for licensed corporations or registered institutions providing virtual asset advisory services ” (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 4 Regulated Activity

CE Name: Golden Continent Securities Co., Limited
CE No.: BTE509
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities), except where the registered institution provides virtual asset advisory services only in specified stablecoins the issue of which is authorised by a licence granted under the Stablecoins Ordinance (SO) (Relevant Stablecoin) to its clients, such clients need not be its clients in respect of its business in Type 4 regulated activity (advising on securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “advising on securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance. The term “specified stablecoin” has the meaning given by section 4 of the SO.
Condition Level: Type 4 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Guotai Junan Securities (Hong Kong) Limited
CE No.: ABY236
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to persons which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities), except where the registered institution provides virtual asset advisory services only in specified stablecoins the issue of which is authorised by a licence granted under the Stablecoins Ordinance (SO) (Relevant Stablecoin) to its clients, such clients need not be its clients in respect of its business in Type 4 regulated activity (advising on securities). The term “advising on securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance. The term “specified stablecoin” has the meaning given by section 4 of the SO.
Condition Level: Type 4 Regulated Activity

CE Name: Guotai Junan Securities (Hong Kong) Limited
CE No.: ABY236
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset advisory services, the licensee or registered institution shall comply with the attached “ Terms and conditions for licensed corporations or registered institutions providing virtual asset advisory services ” (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 4 Regulated Activity

CE Name: Guotai Junan Securities (Hong Kong) Limited
CE No.: ABY236
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset advisory services, the licensee or registered institution shall comply with the attached “ Terms and conditions for licensed corporations or registered institutions providing virtual asset advisory services ” (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 4 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Guotai Junan Securities (Hong Kong) Limited
CE No.: ABY236
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to persons which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities). The term “advising on securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 4 Regulated Activity

CE Name: KR Securities (Hong Kong) Limited
CE No.: BQG402
Licence Type: Licensed Corporation
Condition Added:
For Type 4 regulated activity, the licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation.
Condition Level: Type 4 Regulated Activity

CE Name: L2Y Research Limited
CE No.: BUK017
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities), except where the registered institution provides virtual asset advisory services only in specified stablecoins the issue of which is authorised by a licence granted under the Stablecoins Ordinance (SO) (Relevant Stablecoin) to its clients, such clients need not be its clients in respect of its business in Type 4 regulated activity (advising on securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “advising on securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance. The term “specified stablecoin” has the meaning given by section 4 of the SO.
Condition Level: Type 4 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: L2Y Research Limited
CE No.: BUK017
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “advising on securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 4 Regulated Activity

CE Name: L2Y Research Limited
CE No.: BUK017
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset advisory services, the licensee or registered institution shall comply with the attached “ Terms and conditions for licensed corporations or registered institutions providing virtual asset advisory services ” (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 4 Regulated Activity

CE Name: L2Y Research Limited
CE No.: BUK017
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset advisory services, the licensee or registered institution shall comply with the attached “ Terms and conditions for licensed corporations or registered institutions providing virtual asset advisory services ” (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 4 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Lighthouse Capital (HK) Financial Limited
CE No.: BHX373
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “advising on securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 4 Regulated Activity

CE Name: Lighthouse Capital (HK) Financial Limited
CE No.: BHX373
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset advisory services, the licensee or registered institution shall comply with the attached “ Terms and conditions for licensed corporations or registered institutions providing virtual asset advisory services ” (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 4 Regulated Activity

CE Name: Lighthouse Capital (HK) Financial Limited
CE No.: BHX373
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset advisory services, the licensee or registered institution shall comply with the attached “ Terms and conditions for licensed corporations or registered institutions providing virtual asset advisory services ” (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 4 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Lighthouse Capital (HK) Financial Limited
CE No.: BHX373
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities), except where the registered institution provides virtual asset advisory services only in specified stablecoins the issue of which is authorised by a licence granted under the Stablecoins Ordinance (SO) (Relevant Stablecoin) to its clients, such clients need not be its clients in respect of its business in Type 4 regulated activity (advising on securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “advising on securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance. The term “specified stablecoin” has the meaning given by section 4 of the SO.
Condition Level: Type 4 Regulated Activity

CE Name: MindWorks Capital Advisors Hong Kong Limited
CE No.: BUU151
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities), except where the registered institution provides virtual asset advisory services only in specified stablecoins the issue of which is authorised by a licence granted under the Stablecoins Ordinance (SO) (Relevant Stablecoin) to its clients, such clients need not be its clients in respect of its business in Type 4 regulated activity (advising on securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “advising on securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance. The term “specified stablecoin” has the meaning given by section 4 of the SO.
Condition Level: Type 4 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: MindWorks Capital Advisors Hong Kong Limited
CE No.: BUU151
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset advisory services, the licensee or registered institution shall comply with the attached " Terms and conditions for licensed corporations or registered institutions providing virtual asset advisory services " (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 4 Regulated Activity

CE Name: MindWorks Capital Advisors Hong Kong Limited
CE No.: BUU151
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities). The term "professional investor" is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term "advising on securities" is specified in Part 2 of Schedule 5 to the SFO. The term "virtual asset" is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 4 Regulated Activity

CE Name: MindWorks Capital Advisors Hong Kong Limited
CE No.: BUU151
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset advisory services, the licensee or registered institution shall comply with the attached " Terms and conditions for licensed corporations or registered institutions providing virtual asset advisory services " (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 4 Regulated Activity

CE Name: OP Investment Management Limited
CE No.: AJH044
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset advisory services, the licensee or registered institution shall comply with the attached " Terms and conditions for licensed corporations or registered institutions providing virtual asset advisory services " (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 4 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: OP Investment Management Limited
CE No.: AJH044
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “advising on securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 4 Regulated Activity

CE Name: OP Investment Management Limited
CE No.: AJH044
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset advisory services, the licensee or registered institution shall comply with the attached “ Terms and conditions for licensed corporations or registered institutions providing virtual asset advisory services ” (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 4 Regulated Activity

CE Name: OP Investment Management Limited
CE No.: AJH044
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities), except where the registered institution provides virtual asset advisory services only in specified stablecoins the issue of which is authorised by a licence granted under the Stablecoins Ordinance (SO) (Relevant Stablecoin) to its clients, such clients need not be its clients in respect of its business in Type 4 regulated activity (advising on securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “advising on securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance. The term “specified stablecoin” has the meaning given by section 4 of the SO.
Condition Level: Type 4 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Photon Dance Asset Management (Hong Kong) Limited
CE No.: BWJ859
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “advising on securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 4 Regulated Activity

CE Name: Photon Dance Asset Management (Hong Kong) Limited
CE No.: BWJ859
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset advisory services, the licensee or registered institution shall comply with the attached “ Terms and conditions for licensed corporations or registered institutions providing virtual asset advisory services ” (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 4 Regulated Activity

CE Name: Photon Dance Asset Management (Hong Kong) Limited
CE No.: BWJ859
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities), except where the registered institution provides virtual asset advisory services only in specified stablecoins the issue of which is authorised by a licence granted under the Stablecoins Ordinance (SO) (Relevant Stablecoin) to its clients, such clients need not be its clients in respect of its business in Type 4 regulated activity (advising on securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “advising on securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance. The term “specified stablecoin” has the meaning given by section 4 of the SO.
Condition Level: Type 4 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Photon Dance Asset Management (Hong Kong) Limited
CE No.: BWJ859
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset advisory services, the licensee or registered institution shall comply with the attached " Terms and conditions for licensed corporations or registered institutions providing virtual asset advisory services " (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 4 Regulated Activity

CE Name: SunRiver International Asset Management Limited
CE No.: BVI291
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities), except where the registered institution provides virtual asset advisory services only in specified stablecoins the issue of which is authorised by a licence granted under the Stablecoins Ordinance (SO) (Relevant Stablecoin) to its clients, such clients need not be its clients in respect of its business in Type 4 regulated activity (advising on securities). The term "professional investor" is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term "advising on securities" is specified in Part 2 of Schedule 5 to the SFO. The term "virtual asset" is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance. The term "specified stablecoin" has the meaning given by section 4 of the SO.
Condition Level: Type 4 Regulated Activity

CE Name: SunRiver International Asset Management Limited
CE No.: BVI291
Licence Type: Licensed Corporation
Condition Added:
With respect to providing virtual asset advisory services, the licensee or registered institution shall comply with the attached " Terms and conditions for licensed corporations or registered institutions providing virtual asset advisory services " (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 4 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: SunRiver International Asset Management Limited
CE No.: BVI291
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset advisory services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, clients of the licensed corporation or registered institution in respect of its business in Type 4 regulated activity (advising on securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “advising on securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 4 Regulated Activity

CE Name: SunRiver International Asset Management Limited
CE No.: BVI291
Licence Type: Licensed Corporation
Condition Removed:
With respect to providing virtual asset advisory services, the licensee or registered institution shall comply with the attached “ Terms and conditions for licensed corporations or registered institutions providing virtual asset advisory services ” (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 4 Regulated Activity

CE Name: Huaan Securities (Hong Kong) Corporate Finance Limited
CE No.: BWI790
Licence Type: Licensed Corporation
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: Messis Capital Limited
CE No.: AHH635
Licence Type: Licensed Corporation
Condition Added:
For Type 6 regulated activity, the licensee/[person] shall not act as sponsor in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Butterfly Holding Limited
CE No.: BVW285
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: Butterfly Holding Limited
CE No.: BVW285
Licence Type: Licensed Corporation
Condition Removed:
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: Da Wan Asset Management Limited
CE No.: BMZ538
Licence Type: Licensed Corporation
Condition Removed:
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: Da Wan Asset Management Limited
CE No.: BMZ538
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 10/2026

CE Name: First Seafront Asset Management Limited
CE No.: BTR479
Licence Type: Licensed Corporation
Condition Removed:
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: First Seafront Asset Management Limited
CE No.: BTR479
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: GPTX Investment Management Limited
CE No.: BTV456
Licence Type: Licensed Corporation
Condition Removed:
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: GPTX Investment Management Limited
CE No.: BTV456
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 10/2026

CE Name: Geometry Capital (Hong Kong) Limited
CE No.: BUF737
Licence Type: Licensed Corporation
Condition Removed:
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: Geometry Capital (Hong Kong) Limited
CE No.: BUF737
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: KR Securities (Hong Kong) Limited
CE No.: BQG402
Licence Type: Licensed Corporation
Condition Added:
For Type 9 regulated activity, the licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation.
Condition Level: Type 9 Regulated Activity

CE Name: L2Y Research Limited
CE No.: BUK017
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 10/2026

CE Name: L2Y Research Limited
CE No.: BUK017
Licence Type: Licensed Corporation
Condition Removed:
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: Lighthouse Capital (HK) Financial Limited
CE No.: BHX373
Licence Type: Licensed Corporation
Condition Removed:
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: Lighthouse Capital (HK) Financial Limited
CE No.: BHX373
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: Photon Dance Asset Management (Hong Kong) Limited
CE No.: BWJ859
Licence Type: Licensed Corporation
Condition Removed:
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 10/2026

CE Name: Photon Dance Asset Management (Hong Kong) Limited
CE No.: BWJ859
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: Prudential Brokerage Limited
CE No.: ABI439
Licence Type: Licensed Corporation
Condition Added:
For Type 9 regulated activity, the licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation.
Condition Level: Type 9 Regulated Activity

CE Name: Prudential Brokerage Limited
CE No.: ABI439
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: STAR RIVER SECURITIES LIMITED
CE No.: BJG526
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 10/2026

CE Name: STAR RIVER SECURITIES LIMITED
CE No.: BJG526
Licence Type: Licensed Corporation
Condition Removed:
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: VSFG Asset Management Limited
CE No.: BRQ554
Licence Type: Licensed Corporation
Condition Removed:
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 10/2026

CE Name: Bullish HK Markets Limited
CE No.: BUQ956
Licence Type: Licensed Corporation
Condition Added:
The licensee shall at all times be in compliance with the requirements of the Guidelines for Virtual Asset Trading Platform Operators (“Guidelines”) issued by the Commission, save that the following requirements of the Guidelines shall not apply: (1) in respect of virtual assets admissible for trading by professional investors, paragraph 7.6(c) that a virtual asset should be issued for at least 12 months (“12-month track record requirement”).(2) in respect of virtual assets which are specified stablecoins issued by HKMA-licensed stablecoin issuers and such stablecoins are authorised under the licence granted under the Stablecoins Ordinance (“Relevant Stablecoins”), the 12-month track record requirement under paragraph 7.6(c) and the requirements under paragraphs 7.7(b), 7.8 and 16.4.(3) where the licensee chooses to provide services only in Relevant Stablecoins to certain clients, paragraph 9.4.In respect of paragraph 10.7, the permitted circumstances specified by the Commission include those where the licensee has implemented adequate and effective policies and procedures in relation to third party deposits and payments in compliance with paragraphs 5.18 to 5.20, Chapter 11 and paragraph 12.10 of the Guideline on Anti-Money Laundering and Counter Financing of Terrorism (For Licensed Corporations and SFC-licensed Virtual Asset Service Providers).The licensee shall notify the SFC in writing in advance of any plan or proposal to include any Relevant Stablecoin for trading by retail clients or professional investors, or to suspend trading of or remove any Relevant Stablecoin. The licensee shall disclose on its website and mobile application (where applicable) which virtual assets admitted for trading by the licensee for professional investors do not have a 12-month track record, and enhance the risk disclosures of such virtual assets.The term “virtual asset” is as defined in the Guidelines. “Professional investor” has the meaning as defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance.” “Specified stablecoins” has the meaning as defined in section 4 of the Stablecoins Ordinance and the term “HKMA-licensed stablecoin issuers” means a stablecoin issuer which is licensed by the Hong Kong Monetary Authority (HKMA) pursuant to section 15 of the Stablecoins Ordinance.
Condition Level: Licence

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Bullish HK Markets Limited
CE No.: BUQ956
Licence Type: Licensed Corporation
Condition Removed:
The licensee shall at all times be in compliance with the requirements of the Guidelines for Virtual Asset Trading Platform Operators (“Guidelines”) issued by the Commission, save that the requirement that a virtual asset to be issued for at least 12 months (“12-month track record”) under 7.6(c) of the Guidelines shall not apply to: (1) virtual assets admissible for trading by professional investors and (2) specified stablecoins issued by HKMA-licensed stablecoin issuers. The licensee shall disclose on its website and mobile application (where applicable) which virtual assets admitted for trading by the licensee for professional investors do not have a 12-month track record and enhance the risk disclosures of such virtual assets. The term “virtual asset” is as defined in the Guidelines. “Professional investor” has the meaning as defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance.” “Specified stablecoins” has the meaning as defined in section 4 of the Stablecoins Ordinance and the term “HKMA-licensed stablecoin issuers” means a stablecoin issuer which is licensed by the Hong Kong Monetary Authority (HKMA) pursuant to section 15 of the Stablecoins Ordinance.
Condition Level: Licence

CE Name: China Re Asset Management (Hong Kong) Company Limited
CE No.: BEZ809
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: KR Securities (Hong Kong) Limited
CE No.: BQG402
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: KR Securities (Hong Kong) Limited
CE No.: BQG402
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

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Panthertrade (Hong Kong) Limited
CE No.: BUY578
Licence Type: Licensed Corporation
Condition Removed:
The licensee shall at all times be in compliance with the requirements of the Guidelines for Virtual Asset Trading Platform Operators ("Guidelines") issued by the Commission, save that the requirement that a virtual asset to be issued for at least 12 months ("12-month track record") under 7.6(c) of the Guidelines shall not apply to: (1) virtual assets admissible for trading by professional investors and (2) specified stablecoins issued by HKMA-licensed stablecoin issuers. The licensee shall disclose on its website and mobile application (where applicable) which virtual assets admitted for trading by the licensee for professional investors do not have a 12-month track record and enhance the risk disclosures of such virtual assets. The term "virtual asset" is as defined in the Guidelines. "Professional investor" has the meaning as defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance." "Specified stablecoins" has the meaning as defined in section 4 of the Stablecoins Ordinance and the term "HKMA-licensed stablecoin issuers" means a stablecoin issuer which is licensed by the Hong Kong Monetary Authority (HKMA) pursuant to section 15 of the Stablecoins Ordinance.
Condition Level: Licence

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Panthertrade (Hong Kong) Limited
CE No.: BUY578
Licence Type: Licensed Corporation
Condition Added:
The licensee shall at all times be in compliance with the requirements of the Guidelines for Virtual Asset Trading Platform Operators ("Guidelines") issued by the Commission, save that the following requirements of the Guidelines shall not apply: (1) in respect of virtual assets admissible for trading by professional investors, paragraph 7.6(c) that a virtual asset should be issued for at least 12 months ("12-month track record requirement").(2) in respect of virtual assets which are specified stablecoins issued by HKMA-licensed stablecoin issuers and such stablecoins are authorised under the licence granted under the Stablecoins Ordinance ("Relevant Stablecoins"), the 12-month track record requirement under paragraph 7.6(c) and the requirements under paragraphs 7.7(b), 7.8 and 16.4.(3) where the licensee chooses to provide services only in Relevant Stablecoins to certain clients, paragraph 9.4.In respect of paragraph 10.7, the permitted circumstances specified by the Commission include those where the licensee has implemented adequate and effective policies and procedures in relation to third party deposits and payments in compliance with paragraphs 5.18 to 5.20, Chapter 11 and paragraph 12.10 of the Guideline on Anti-Money Laundering and Counter Financing of Terrorism (For Licensed Corporations and SFC-licensed Virtual Asset Service Providers).The licensee shall notify the SFC in writing in advance of any plan or proposal to include any Relevant Stablecoin for trading by retail clients or professional investors, or to suspend trading of or remove any Relevant Stablecoin. The licensee shall disclose on its website and mobile application (where applicable) which virtual assets admitted for trading by the licensee for professional investors do not have a 12-month track record, and enhance the risk disclosures of such virtual assets.The term "virtual asset" is as defined in the Guidelines. "Professional investor" has the meaning as defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance." "Specified stablecoins" has the meaning as defined in section 4 of the Stablecoins Ordinance and the term "HKMA-licensed stablecoin issuers" means a stablecoin issuer which is licensed by the Hong Kong Monetary Authority (HKMA) pursuant to section 15 of the Stablecoins Ordinance.
Condition Level: Licence

CE Name: BAI Yue
CE No.: BYQ567
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 10/2026

CE Name: BAIJAL Maheesh
CE No.: BXX880
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: BIBBY Alexander Henry
CE No.: BYE834
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 Jiayi
CE No.: BYQ643
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 10/2026

CE Name: CHAN Yui Kiu
CE No.: BYN819
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 Dongjun
CE No.: BYQ105
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 Guang
CE No.: BYG771
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 10/2026

CE Name: CHEN Yuhong
CE No.: BXW952
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: COLIN-JONES Alexander Mark
CE No.: AOE138
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: DANG Ran
CE No.: BXX680
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 10/2026

CE Name: DASWANI Nanik
CE No.: BYB812
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: DJOENAIDI Damario Tanael
CE No.: BYJ942
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: DUNMAN Jem Mollaahmetoglu
CE No.: BXS798
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 10/2026

CE Name: FAN Siyao
CE No.: BYF931
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: FONG Hiu Fai
CE No.: BIX444
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: FU Han
CE No.: BYA355
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: GONZALEZ RUIZ Alejandro
CE No.: BYR580
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 10/2026

CE Name: GOTO Daichi
CE No.: BYM504
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: HERBERT Eric Louis
CE No.: BWC586
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 YINN MAN
CE No.: BYL060
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 10/2026

CE Name: HU Yue
CE No.: BYM559
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 Manqi
CE No.: BYG770
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 Renyan
CE No.: BXY860
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 10/2026

CE Name: HUANG Yi Hung
CE No.: BYO282
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 Yuanbin
CE No.: BYB972
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: HUI Ka Yeung
CE No.: BYM081
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 10/2026

CE Name: JIN Tiange
CE No.: BYG418
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: JING Jing
CE No.: BYQ365
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: KE Yixin
CE No.: BXQ910
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 10/2026

CE Name: KWOK Yuk Wah
CE No.: BXT995
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: KWONG Ka Yeung Winson
CE No.: BYO239
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 Chin Yan
CE No.: BYM565
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 10/2026

CE Name: LAU Victor Henry
CE No.: BYM099
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 Yee Wan Evonne
CE No.: BSV480
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: LEE Sang Wook
CE No.: BXS088
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 10/2026

CE Name: LEI Chenyu
CE No.: BYQ492
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 Yuk Hei Yocia
CE No.: BRI684
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) 5 November 2026 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 1 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: LI Zhengzhuo
CE No.: BYO055
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 10/2026

CE Name: LIU Guanya
CE No.: BXW509
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: LIU ORTEGA OCHOA Fangzhou
CE No.: BXW883
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: LYU Zuohang
CE No.: BYN633
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 10/2026

CE Name: MENG Wei
CE No.: BUY749
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: MUTO Kai
CE No.: BVC461
Licence Type: Licensed Representative
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: NG Wing Yan
CE No.: BYI953
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 10/2026

CE Name: NIU Shuoheng
CE No.: BYA224
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: NODA Taisuke
CE No.: BWN637
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: OKABE Jo
CE No.: BYS482
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 10/2026

CE Name: PAPKOV Ksenia
CE No.: BYB836
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: PENG Ke
CE No.: BYC419
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: PLOTKIN Joseph Brenner
CE No.: BFF023
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 10/2026

CE Name: PUN Harvey
CE No.: BYP065
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: QIAO Ziyu
CE No.: BXY622
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: SEMBA Masahiro
CE No.: BWD221
Licence Type: Licensed Representative
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 10/2026

CE Name: SERVENTI--MARIEN Adrien, Pierre-Andre
CE No.: BYF480
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: SHUM Sze Ching Ellie
CE No.: BYR475
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: SOMANI Palak
CE No.: BYG271
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 10/2026

CE Name: SU Tingting
CE No.: BYE027
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: TAHILRAMANI Rysa
CE No.: BYT981
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: TAI Lok Yin
CE No.: BXO109
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 10/2026

CE Name: THAN Nguyen Bao Duy
CE No.: BYH541
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: TOM Alexander
CE No.: BYG041
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: TU Yanhua
CE No.: BYQ641
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 10/2026

CE Name: UEDA Sakura
CE No.: BXY129
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: UENO Ruka
CE No.: BYA727
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: VAN AMSTEL Valentijn
CE No.: BXN365
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 10/2026

CE Name: VAYSBURD Maxim
CE No.: BYK704
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 Jun
CE No.: AVA086
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 Lei
CE No.: BXV697
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 10/2026

CE Name: WANG Ran
CE No.: BUU867
Licence Type: Licensed Representative
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: WANG Wenjia
CE No.: BUY744
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 Xiaolei
CE No.: BXW224
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 10/2026

CE Name: WONG Jay
CE No.: BYM850
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 Koon Chung
CE No.: BYG649
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: WU Han
CE No.: BYM624
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 10/2026

CE Name: WU Xiaotong
CE No.: BYJ519
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: WU Xintong
CE No.: BYN803
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: XIAO Sixuan
CE No.: BYO078
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 10/2026

CE Name: YAM Ching Kai Ella
CE No.: BYL919
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 HAN
CE No.: AZN801
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 Yong
CE No.: BYB910
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 10/2026

CE Name: YANG Shixian
CE No.: BXO500
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: YANG Yanjia
CE No.: BYB967
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: YERMEKOV Beket
CE No.: BYJ751
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 10/2026

CE Name: YEUNG Nok
CE No.: BYO385
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: YU Emily I Hsuan
CE No.: BYL933
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: YUAN Shuai
CE No.: BYB885
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 10/2026

CE Name: YUEN Wai Hing
CE No.: BYF130
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 Xiaoxiao
CE No.: BXW710
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: ZHAN Yichen
CE No.: BYA227
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 10/2026

CE Name: ZHANG Daile
CE No.: BYO100
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 Shiqi
CE No.: BXV310
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 Zhi
CE No.: BDT703
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 10/2026

CE Name: ZHAO Hui
CE No.: BXW666
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: ZHAO Menghan
CE No.: BXT928
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: ZHENG Peng
CE No.: BXU766
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 10/2026

CE Name: ZHENG Xuerou
CE No.: BYO928
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: ZHU Rui
CE No.: BGH407
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: ZHU Yue
CE No.: BYE546
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 10/2026

CE Name: BAI Yue
CE No.: BYQ567
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: BAIJAL Maheesh
CE No.: BXX880
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: BIBBY Alexander Henry
CE No.: BYE834
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 10/2026

CE Name: CAO Jiayi
CE No.: BYQ643
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: CHEN Guang
CE No.: BYG771
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: DJOENAIDI Damario Tanael
CE No.: BYJ942
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 10/2026

CE Name: HERBERT Eric Louis
CE No.: BWC586
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: HU Yue
CE No.: BYM559
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: HUANG Renyan
CE No.: BXY860
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 10/2026

CE Name: HUANG Yuanbin
CE No.: BYB972
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: KWONG Ka Yeung Winson
CE No.: BYO239
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: LAU Chin Yan
CE No.: BYM565
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 10/2026

CE Name: LEI Chenyu
CE No.: BYQ492
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: PENG Ke
CE No.: BYC419
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: PLOTKIN Joseph Brenner
CE No.: BFF023
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 10/2026

CE Name: SERVENTI--MARIEN Adrien, Pierre-Andre
CE No.: BYF480
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: SOMANI Palak
CE No.: BYG271
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: TAHILRAMANI Rysa
CE No.: BYT981
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 10/2026

CE Name: TAI Lok Yin
CE No.: BXO109
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: TOM Alexander
CE No.: BYG041
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: TU Yanhua
CE No.: BYQ641
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 10/2026

CE Name: UEDA Sakura
CE No.: BXY129
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: VAN AMSTEL Valentijn
CE No.: BXN365
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: VAYSBURD Maxim
CE No.: BYK704
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 10/2026

CE Name: WONG Jay
CE No.: BYM850
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: WONG Koon Chung
CE No.: BYG649
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: WU Han
CE No.: BYM624
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 10/2026

CE Name: WU Xiaotong
CE No.: BYJ519
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: XIAO Sixuan
CE No.: BYO078
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: YAN HAN
CE No.: AZN801
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 10/2026

CE Name: YAN Yong
CE No.: BYB910
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: YANG Yanjia
CE No.: BYB967
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: YERMEKOV Beket
CE No.: BYJ751
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 10/2026

CE Name: YONG Hefeng, Edison
CE No.: BYB618
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: ZENG Xiaoxiao
CE No.: BXW710
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 Daile
CE No.: BYO100
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 10/2026

CE Name: ZHAO Menghan
CE No.: BXT928
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: LAU Ka Ki
CE No.: BXN328
Licence Type: Licensed Representative
Condition Added:
For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.
Condition Level: Type 3 Regulated Activity

CE Name: LAU See Ho
CE No.: BXZ804
Licence Type: Licensed Representative
Condition Added:
For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.
Condition Level: Type 3 Regulated Activity

CE Name: TANG Kai Fan
CE No.: BPE834
Licence Type: Licensed Representative
Condition Added:
For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.
Condition Level: Type 3 Regulated Activity

CE Name: TSOI Ka Hei
CE No.: BUK151
Licence Type: Licensed Representative
Condition Added:
For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.
Condition Level: Type 3 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: YANG Lujia
CE No.: BBU233
Licence Type: Licensed Representative
Condition Added:
For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.
Condition Level: Type 3 Regulated Activity

CE Name: YANG Lujia
CE No.: BBU233
Licence Type: Licensed Representative
Condition Added:
This licence, in relation to Type 3 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 3 Regulated Activity

CE Name: ZHANG Xingchen
CE No.: BXT809
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 3 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 3 Regulated Activity

CE Name: CAO Jiayi
CE No.: BYQ643
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 10/2026

CE Name: CHAN Yui Kiu
CE No.: BYN819
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 Dongjun
CE No.: BYQ105
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 Guang
CE No.: BYG771
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 10/2026

CE Name: CHONG Zhen Han
CE No.: BXV673
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: DASWANI Nanik
CE No.: BYB812
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: DU Houliang
CE No.: BYG260
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 10/2026

CE Name: FAN Siyao
CE No.: BYF931
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: GONZALEZ RUIZ Alejandro
CE No.: BYR580
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 YINN MAN
CE No.: BYL060
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 10/2026

CE Name: HUANG Manqi
CE No.: BYG770
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: HUANG Yi Hung
CE No.: BYO282
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: HUANG Yuanbin
CE No.: BYB972
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 10/2026

CE Name: HUI Ka Yeung
CE No.: BYM081
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: KANG Songyi
CE No.: BYH795
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: KE Yixin
CE No.: BXQ910
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 10/2026

CE Name: LAM WING YEUNG
CE No.: BXL340
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: LAM Ying Wai
CE No.: BYK367
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 Victor Henry
CE No.: BYM099
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 10/2026

CE Name: LEE Sang Wook
CE No.: BXS088
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 Weng Hin Sean
CE No.: BXV388
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: LEI Chenyu
CE No.: BYQ492
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 10/2026

CE Name: LI Mengyi
CE No.: BYG336
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: LI Zhengzhuo
CE No.: BYO055
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: LIU Guanya
CE No.: BXW509
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 10/2026

CE Name: LIU ORTEGA OCHOA Fangzhou
CE No.: BXW883
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: LYU Zuohang
CE No.: BYN633
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: NG Wing Yan
CE No.: BYI953
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 10/2026

CE Name: NIU Shuoheng
CE No.: BYA224
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: NODA Taisuke
CE No.: BWN637
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: OKABE Jo
CE No.: BYS482
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 10/2026

CE Name: PAPKOV Ksenia
CE No.: BYB836
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: PUN Harvey
CE No.: BYP065
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: SEMBA Masahiro
CE No.: BWD221
Licence Type: Licensed Representative
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 10/2026

CE Name: SHUI XinYi
CE No.: BYG282
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: SHUM Sze Ching Ellie
CE No.: BYR475
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: SU Tingting
CE No.: BYE027
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 10/2026

CE Name: TAKAHASHI Naohiro
CE No.: BXV490
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: TU Yanhua
CE No.: BYQ641
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: UENO Ruka
CE No.: BYA727
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 10/2026

CE Name: WANG Jie
CE No.: BYG216
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: WANG Jun
CE No.: AVA086
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: WANG Lei
CE No.: BXV697
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 10/2026

CE Name: WANG Xiaolei
CE No.: BXW224
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: WANG Zeyang
CE No.: BXX606
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 Jay
CE No.: BYM850
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 10/2026

CE Name: WU Jing
CE No.: BYK601
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: XIAO Sixuan
CE No.: BYO078
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: XUE Yaqi
CE No.: BYN872
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 10/2026

CE Name: YAN Yong
CE No.: BYB910
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 Yanjia
CE No.: BYB967
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: YEUNG Nok
CE No.: BYO385
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 10/2026

CE Name: YU Emily I Hsuan
CE No.: BYL933
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: YUEN Wai Hing
CE No.: BYF130
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 Xiaoxiao
CE No.: BXW710
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 10/2026

CE Name: ZHAN Yichen
CE No.: BYA227
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 Daile
CE No.: BYO100
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 Shiqi
CE No.: BXV310
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 10/2026

CE Name: ZHANG Xiaoying
CE No.: BEL750
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 Zhi
CE No.: BDT703
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: ZHAO Hui
CE No.: BXW666
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 10/2026

CE Name: ZHAO Menghan
CE No.: BXT928
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: ZHAO Rae
CE No.: BXN868
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 Peng
CE No.: BXU766
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 10/2026

CE Name: ZHENG Xuerou
CE No.: BYO928
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: ZHU Rui
CE No.: BGH407
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: ZHU Yue
CE No.: BYE546
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 10/2026

CE Name: YONG Hefeng, Edison
CE No.: BYB618
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: CAI Yingjie
CE No.: BWH974
Licence Type: Licensed Representative
Condition Added:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CE Name: CHEN Dongjun
CE No.: BYQ105
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: CHEN Yuhong
CE No.: BXW952
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 10/2026

CE Name: FAN Siyao
CE No.: BYF931
Licence Type: Licensed Representative
Condition Removed:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities, unless the licensee has passed the Licensing Examination for Securities and Futures Intermediaries (LE) Papers 1 and 16 not more than 3 years before the licensee's first engagement in sponsor work and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: FONG Hiu Fai
CE No.: BIX444
Licence Type: Licensed Representative
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: FU Han
CE No.: BYA355
Licence Type: Licensed Representative
Condition Removed:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities, unless the licensee has passed the Licensing Examination for Securities and Futures Intermediaries (LE) Papers 1 and 16 not more than 3 years before the licensee's first engagement in sponsor work and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: FU Han
CE No.: BYA355
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 10/2026

CE Name: FU Tianmin
CE No.: BNS368
Licence Type: Licensed Representative
Condition Added:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CE Name: HUI Ka Yeung
CE No.: BYM081
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: LAI Qiwen
CE No.: BQV868
Licence Type: Licensed Representative
Condition Added:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CE Name: LAU Sin Yu
CE No.: BAF288
Licence Type: Licensed Representative
Condition Added:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: LEI Mingyuan
CE No.: BYO969
Licence Type: Licensed Representative
Condition Removed:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities, unless the licensee has passed the Licensing Examination for Securities and Futures Intermediaries (LE) Papers 1 and 16 not more than 3 years before the licensee's first engagement in sponsor work and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: LI Tianying
CE No.: BWH300
Licence Type: Licensed Representative
Condition Added:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CE Name: LI Yunxiao
CE No.: BVN073
Licence Type: Licensed Representative
Condition Added:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CE Name: LI Zhengzhuo
CE No.: BYO055
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 10/2026

CE Name: LIN Zhisheng
CE No.: BVB014
Licence Type: Licensed Representative
Condition Added:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CE Name: LONG Zhuokai
CE No.: BWH976
Licence Type: Licensed Representative
Condition Added:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CE Name: LU Xiaoxue
CE No.: BRD933
Licence Type: Licensed Representative
Condition Added:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CE Name: MAK Tsz Kin
CE No.: BXA738
Licence Type: Licensed Representative
Condition Added:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CE Name: NAJI Ramin
CE No.: APH952
Licence Type: Licensed Representative
Condition Added:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: OKABE Jo
CE No.: BYS482
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: QIAO Ziyu
CE No.: BXY622
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: SEMBA Masahiro
CE No.: BWD221
Licence Type: Licensed Representative
Condition Added:
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: SEMBA Masahiro
CE No.: BWD221
Licence Type: Licensed Representative
Condition Added:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: SONG Ce
CE No.: BWN402
Licence Type: Licensed Representative
Condition Added:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CE Name: SU Simin
CE No.: AYD305
Licence Type: Licensed Representative
Condition Added:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CE Name: UENO Ruka
CE No.: BYA727
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: WANG Ran
CE No.: BUU867
Licence Type: Licensed Representative
Condition Added:
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 10/2026

CE Name: WANG Ran
CE No.: BUU867
Licence Type: Licensed Representative
Condition Added:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities, unless the licensee has passed the Licensing Examination for Securities and Futures Intermediaries (LE) Papers 1 and 16 not more than 3 years before the licensee's first engagement in sponsor work and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: WU Yang
CE No.: BHY416
Licence Type: Licensed Representative
Condition Added:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CE Name: XU Chao
CE No.: BOG720
Licence Type: Licensed Representative
Condition Removed:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities, unless the licensee has passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 16 not more than 3 years before the licensee's first engagement in sponsor work and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: YAN Xi
CE No.: BRR931
Licence Type: Licensed Representative
Condition Added:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: YANG Shixian
CE No.: BXO500
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: ZHANG Zhi
CE No.: BDT703
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: ZHAO Rae
CE No.: BXN868
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 10/2026

CE Name: ZHENG Xuerou
CE No.: BYO928
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: ZHENG Xuerou
CE No.: BYO928
Licence Type: Licensed Representative
Condition Removed:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities, unless the licensee has passed the Licensing Examination for Securities and Futures Intermediaries (LE) Papers 1 and 16 not more than 3 years before the licensee's first engagement in sponsor work and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: ZHU Rui
CE No.: BGH407
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 10/2026

CE Name: CHEN Yan
CE No.: BXV337
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: CHONG Man Ting
CE No.: BYN191
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: CHONG Zhen Han
CE No.: BXV673
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 10/2026

CE Name: DU Houliang
CE No.: BYG260
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: FAN Yu
CE No.: BXV848
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: FANG Hsin Ju
CE No.: BYG056
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 10/2026

CE Name: FANG Minjia
CE No.: BXU779
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: FANG Yuanyuan
CE No.: BXX670
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: GONZALEZ RUIZ Alejandro
CE No.: BYR580
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 10/2026

CE Name: HASSAN Tahmimm
CE No.: BII044
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: HE Dongjun
CE No.: BYA923
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: HE Shi
CE No.: BXT726
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 10/2026

CE Name: HO YINN MAN
CE No.: BYL060
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: HUANG Yi Hung
CE No.: BYO282
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: KANG Songyi
CE No.: BYH795
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 10/2026

CE Name: LAM WING YEUNG
CE No.: BXL340
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: LAM Ying Wai
CE No.: BYK367
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: LEI Yang
CE No.: BWK893
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 10/2026

CE Name: LI He
CE No.: BYR720
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 Mengyi
CE No.: BYG336
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: LIU Shuchen
CE No.: BXW746
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 10/2026

CE Name: LIU Xiaoyang
CE No.: BYG622
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: PUN Harvey
CE No.: BYP065
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: SHI Haodi
CE No.: BXX827
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 10/2026

CE Name: SHI Yang
CE No.: BYB110
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: SHUI XinYi
CE No.: BYG282
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: SU Tingting
CE No.: BYE027
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 10/2026

CE Name: TAKAHASHI Naohiro
CE No.: BXV490
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: WANG Jun
CE No.: AVA086
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: WANG Lei
CE No.: BXV697
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 10/2026

CE Name: WANG Xiaolei
CE No.: BXW224
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: WU Jing
CE No.: BYK601
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: WU Xintong
CE No.: BYN803
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 10/2026

CE Name: YANG RICHARD CHEN XIAO
CE No.: BXX726
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 Wenbin
CE No.: BYC411
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 Yiwen
CE No.: BXU687
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 10/2026

CE Name: YU Emily I Hsuan
CE No.: BYL933
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: YUAN Kanghong
CE No.: BYE352
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: YUEN Wai Hing
CE No.: BYF130
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 10/2026

CE Name: ZHANG Chenye
CE No.: BYG398
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 Xiaoying
CE No.: BEL750
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: ZHAO Hui
CE No.: BXW666
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 10/2026

CE Name: ZHENG Peng
CE No.: BXU766
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: ZHOU Wenjian
CE No.: BYB230
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 Yue
CE No.: BYE546
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 10/2026

CE Name: BAO Chengchao
CE No.: BTV797
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence

CE Name: CAI Yingjie
CE No.: BWH974
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence

CE Name: CHAIMA Uthman
CE No.: BUA999
Licence Type: Licensed Representative
Condition Added:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall not provide related services to any person other than a professional investor. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules.
Condition Level: Licence

CE Name: CHEN Xiangjun
CE No.: BSB982
Licence Type: Licensed Representative
Condition Added:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence

CE Name: CHENG Cheng
CE No.: BWH085
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: CHONG Jing
CE No.: BWG063
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence

CE Name: DING Jiawen
CE No.: BOK368
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence

CE Name: FU Jingxiao
CE No.: BWM008
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence

CE Name: HU Haofeng
CE No.: BWG876
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence

CE Name: HUANG Yunzhou
CE No.: BWK958
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: LI Hanqing
CE No.: BQA891
Licence Type: Licensed Representative
Condition Added:
The licensee:(1) shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year; and(2) shall not provide related services to any person other than a professional investor unless the licensee is accompanied at all times by a licensed person in performing the regulated activity(ies) in Hong Kong. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules.
Condition Level: Licence

CE Name: LI Leyu
CE No.: BUV113
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence

CE Name: LI Tianying
CE No.: BWH300
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence

CE Name: LIN Zhisheng
CE No.: BVB014
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: LIU Shichao
CE No.: BWH120
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence

CE Name: LONG Zhuokai
CE No.: BWH976
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence

CE Name: LU Dannan
CE No.: BWW661
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence

CE Name: MUTO Kai
CE No.: BVC461
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall not provide related services to any person other than a professional investor. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules.
Condition Level: Licence

CE Name: SHU HANG
CE No.: BWP373
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: SURESH Aditya
CE No.: AYC055
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall not provide related services to any person other than a professional investor. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules.
Condition Level: Licence

CE Name: WANG Ran
CE No.: BUU867
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence

CE Name: XU Shanshan
CE No.: BUP642
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence

CE Name: YU Haiyue
CE No.: BVC585
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: ZENG Yu
CE No.: BXU220
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall not provide related services to any person other than a professional investor. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules.
Condition Level: Licence

CE Name: ZHAO Jiewei
CE No.: BWR027
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence

CE Name: ZHOU Chuyi
CE No.: BWR026
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence

CE Name: HE Jiazi
CE No.: BYQ762
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 10/2026

CE Name: HUANG Menghan
CE No.: BYS053
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: ZHENG Sheng
CE No.: BYM705
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: HE Jiazi
CE No.: BYQ762
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 10/2026

CE Name: HUANG Menghan
CE No.: BYS053
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: ZHENG Sheng
CE No.: BYM705
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: HE Jiazi
CE No.: BYQ762
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 10/2026

CE Name: HUANG Menghan
CE No.: BYS053
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: ZHENG Sheng
CE No.: BYM705
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: BAZZONI Federico
CE No.: ADP682
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: CHAN Hi Kit
CE No.: AIH774
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

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: CHAN Tit Leung, Sunny
CE No.: ADP076
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: CHAN Yan Fong
CE No.: ALK716
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 Kuncai
CE No.: BTZ263
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 Kuncai
CE No.: BTZ263
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 10/2026

CE Name: CHENG Ka Wing
CE No.: AEW325
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: CHENG Ka Wing
CE No.: AEW325
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: CHIONG Joyce May-Wei
CE No.: AGM522
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: DANGAYACH Deepak
CE No.: BNJ919
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

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: GAN Tanya Li Phing
CE No.: AOP016
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: GAN Tanya Li Phing
CE No.: AOP016
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: GO Shogo
CE No.: BXY069
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: GO Shogo
CE No.: BXY069
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 10/2026

CE Name: GO Shogo
CE No.: BXY069
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: GO Shogo
CE No.: BXY069
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: GONG Xiaoman
CE No.: BNR624
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 10/2026

CE Name: GONG Xiaoman
CE No.: BNR624
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: GONG Xiaoman
CE No.: BNR624
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: GONG Xiaoman
CE No.: BNR624
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: GUO Zhen
CE No.: BJN521
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 10/2026

CE Name: GUO Zhen
CE No.: BJN521
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: HUANG Liang
CE No.: AWQ795
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: HUANG Liang
CE No.: AWQ795
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: IP Henry Hing Luen
CE No.: AXN295
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 10/2026

CE Name: IP Henry Hing Luen
CE No.: AXN295
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: JU Chung Ha Stella
CE No.: BDC504
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: JU Chung Ha Stella
CE No.: BDC504
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: KAN Ka Ho
CE No.: BEW802
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

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: KWAN Ho Yan
CE No.: BFW321
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: KWOK Ka Yin
CE No.: AQW492
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: LAM Fong Chun
CE No.: AYR790
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: LAM Fong Chun
CE No.: AYR790
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

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: LAM Fong Chun
CE No.: AYR790
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: LAU Pui Shan
CE No.: BPY752
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: LAU Pui Shan
CE No.: BPY752
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: LAU Pui Shan
CE No.: BPY752
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 10/2026

CE Name: LAU Pui Shan
CE No.: BPY752
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: LEE Ying Kin
CE No.: AUO103
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: LEE Yiu Sing
CE No.: ALI412
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: LEUNG Ka Yau
CE No.: AEF848
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 10/2026

CE Name: LEUNG Kin Cheong, Laurent
CE No.: AEO587
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: LEUNG Wai Ying
CE No.: ASC836
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: LI Jingwen
CE No.: BGC195
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: LI Jingwen
CE No.: BGC195
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 10/2026

CE Name: LI Ximei
CE No.: BPJ159
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: LI Ximei
CE No.: BPJ159
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: LIN Weibin
CE No.: BBG416
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: LIU Taojiang
CE No.: AZV756
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

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: LOU Yubao
CE No.: BUR260
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 Ting Pong, Johnny
CE No.: AJL345
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: LU Yue
CE No.: AGX670
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 Yue
CE No.: AGX670
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 10/2026

CE Name: MA Wing Yin, Janice
CE No.: BGA515
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: MA Wing Yin, Janice
CE No.: BGA515
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: MEHRA Nikhil
CE No.: BVL094
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: NG Ean Kiam
CE No.: AVS580
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 10/2026

CE Name: PREST Simon John
CE No.: BJQ806
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: PUN Hung Ming
CE No.: BER960
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: RAMAN Harish
CE No.: AXG850
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: RU Haiyang
CE No.: BTT772
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
The licensee shall only carry out the Type 1 regulated activity in connection with the operations of a centralised online virtual asset trading platform for trading of virtual assets on its platform and the carrying on of (1) off-platform virtual asset trading business and incidental services provided by it to its clients; and (2) activities conducted in relation to such off-platform business.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: SHASTRI Vallabh
CE No.: BRP342
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: SHASTRI Vallabh
CE No.: BRP342
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: SHEN Jie
CE No.: BRQ225
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: SU Pan
CE No.: BDE650
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

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: SUEN Hiu Laam
CE No.: BDF570
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: SUEN Hiu Laam
CE No.: BDF570
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: SUEN Hiu Laam
CE No.: BDF570
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: SUN Yu
CE No.: BWN652
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 10/2026

CE Name: SUN Yu
CE No.: BWN652
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: WAN Qing
CE No.: BUX694
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: WAN Qing
CE No.: BUX694
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: WANG Lan
CE No.: ASW638
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

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: WANG Nathan
CE No.: ADJ636
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 Bo
CE No.: AYA837
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: XU Bo
CE No.: AYA837
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: XU Haitao
CE No.: AXS426
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 10/2026

CE Name: XU Haitao
CE No.: AXS426
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: XU Shan
CE No.: BIR248
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: YAN Sin Hang
CE No.: AUL971
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: YAN Sin Hang
CE No.: AUL971
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 10/2026

CE Name: YANG Yong
CE No.: AYJ431
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: YANG Yong
CE No.: AYJ431
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: YU Weijiang
CE No.: AWW324
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: YUEN Kwok Hung
CE No.: ABV109
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 10/2026

CE Name: YUEN Kwok Hung
CE No.: ABV109
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: ZHANG Jinqin
CE No.: BQB103
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: ZHANG Jinqin
CE No.: BQB103
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: ZHANG Zhihua
CE No.: ANB118
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

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: ZHAO Honghao
CE No.: BVS616
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: ZHAO Honghao
CE No.: BVS616
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: ZHEN Jingjing
CE No.: AXH989
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: ZHOU Gaoliang
CE No.: BSI165
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 10/2026

CE Name: ZOLKIEWICZ Kevin John
CE No.: AVX106
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: ZOLKIEWICZ Kevin John
CE No.: AVX106
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: ZUO Jun
CE No.: BMV721
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: FUJII Shunsuke
CE No.: BDM851
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 10/2026

CE Name: FUJII Shunsuke
CE No.: BDM851
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) 16 September 2026 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 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: GO Shogo
CE No.: BXY069
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: GO Shogo
CE No.: BXY069
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 10/2026

CE Name: GO Shogo
CE No.: BXY069
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: GO Shogo
CE No.: BXY069
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: MIAO Di
CE No.: BRC197
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: MIAO Di
CE No.: BRC197
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 10/2026

CE Name: SHASTRI Vallabh
CE No.: BRP342
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: SHASTRI Vallabh
CE No.: BRP342
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: SONG Cheng
CE No.: BQL512
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: SONG Cheng
CE No.: BQL512
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

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: YU Xiao
CE No.: ALU918
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: YU Xiao
CE No.: ALU918
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: YUEN Kwok Hung
CE No.: ABV109
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: YUEN Kwok Hung
CE No.: ABV109
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 10/2026

CE Name: AU Ka Wah
CE No.: BOB552
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: AU Ka Wah
CE No.: BOB552
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 Kuncai
CE No.: BTZ263
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 Kuncai
CE No.: BTZ263
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 10/2026

CE Name: CHEN Liushan
CE No.: BIN722
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: CHEN Liushan
CE No.: BIN722
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 Yalei
CE No.: ARW897
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: CHEN Yalei
CE No.: ARW897
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 10/2026

CE Name: CHEN Yiqiao
CE No.: BIG732
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 Yiqiao
CE No.: BIG732
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: CHEN Yong
CE No.: BUD727
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 Yong
CE No.: BUD727
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 10/2026

CE Name: CHENG Ka Wing
CE No.: AEW325
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 Ka Wing
CE No.: AEW325
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: FAN Chengxing
CE No.: BEK871
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: FAN Chengxing
CE No.: BEK871
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 10/2026

CE Name: FUNG Hao Chuen, David
CE No.: AEE776
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: FUNG Hao Chuen, David
CE No.: AEE776
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: GAN Tanya Li Phing
CE No.: AOP016
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: GAN Tanya Li Phing
CE No.: AOP016
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 10/2026

CE Name: GO Shogo
CE No.: BXY069
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: GO Shogo
CE No.: BXY069
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: GO Shogo
CE No.: BXY069
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: GO Shogo
CE No.: BXY069
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 10/2026

CE Name: GONG Xiaoman
CE No.: BNR624
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: GONG Xiaoman
CE No.: BNR624
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: GONG Xiaoman
CE No.: BNR624
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: GONG Xiaoman
CE No.: BNR624
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 10/2026

CE Name: GRUEN Stewart Paul
CE No.: BMD848
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: HUANG Liang
CE No.: AWQ795
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: HUANG Liang
CE No.: AWQ795
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: JIANG Wei
CE No.: AWS208
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 10/2026

CE Name: JIANG Wei
CE No.: AWS208
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: JU Chung Ha Stella
CE No.: BDC504
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: JU Chung Ha Stella
CE No.: BDC504
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: KWAN Ho Yan
CE No.: BFW321
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 10/2026

CE Name: KWOK Ka Yin
CE No.: AQW492
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: KWOK Wah
CE No.: AEX602
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: KWOK Wah
CE No.: AEX602
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 10/2026

CE Name: LAM Fong Chun
CE No.: AYR790
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: LAM Fong Chun
CE No.: AYR790
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: LEE Yiu Sing
CE No.: ALI412
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: LEUNG Sam
CE No.: BHF143
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 10/2026

CE Name: LEUNG Sam
CE No.: BHF143
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: LI Cuifan
CE No.: BOR609
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 Cuifan
CE No.: BOR609
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 10/2026

CE Name: LI Jingwen
CE No.: BGC195
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: LI Jingwen
CE No.: BGC195
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 Kan Wan
CE No.: BEM085
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 Kan Wan
CE No.: BEM085
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 10/2026

CE Name: LI Yushan
CE No.: BVZ512
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 Yushan
CE No.: BVZ512
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: LIN King Ham, Kingston
CE No.: AEF252
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: LIN King Ham, Kingston
CE No.: AEF252
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 10/2026

CE Name: LIN Weibin
CE No.: BBG416
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: LU Yue
CE No.: AGX670
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: LU Yue
CE No.: AGX670
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: MA Xiaoling
CE No.: AQU423
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 10/2026

CE Name: MEHRA Nikhil
CE No.: BVL094
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: NGAN Chiu Kit
CE No.: BPK871
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: NGAN Chiu Kit
CE No.: BPK871
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 10/2026

CE Name: NGAN Chiu Kit
CE No.: BPK871
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: NGAN Chiu Kit
CE No.: BPK871
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: PARK Sang Chul
CE No.: BXQ008
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: PARK Sang Chul
CE No.: BXQ008
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 10/2026

CE Name: REN Ying
CE No.: BUY884
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: REN Ying
CE No.: BUY884
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: SU Hang
CE No.: BVQ212
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: SUN Yijing
CE No.: BXJ382
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 10/2026

CE Name: SUN Yijing
CE No.: BXJ382
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: SUN Yu
CE No.: BWN652
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: SUN Yu
CE No.: BWN652
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: TANG Yuanbei
CE No.: BUW063
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 10/2026

CE Name: TANG Yuanbei
CE No.: BUW063
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: TANG Yuanbei
CE No.: BUW063
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 Yuanbei
CE No.: BUW063
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: WAN Qing
CE No.: BUX694
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 10/2026

CE Name: WAN Qing
CE No.: BUX694
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: WANG Fang
CE No.: BXQ816
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: WANG Fang
CE No.: BXQ816
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: WONG Cheung Ming
CE No.: AWU123
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 10/2026

CE Name: XI Qi
CE No.: BNQ524
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: XI Qi
CE No.: BNQ524
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: XU Bo
CE No.: AYA837
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: XU Bo
CE No.: AYA837
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 10/2026

CE Name: XU Jie
CE No.: BRN956
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: XU Jie
CE No.: BRN956
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: YANG Yong
CE No.: AYJ431
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: YANG Yong
CE No.: AYJ431
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 10/2026

CE Name: YIU Chi Wai
CE No.: AUB977
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: YIU Chi Wai
CE No.: AUB977
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: YU Weijiang
CE No.: AWW324
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: YUAN Shenyi
CE No.: BFT021
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 10/2026

CE Name: YUEN Kwok Hung
CE No.: ABV109
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: YUEN Kwok Hung
CE No.: ABV109
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: ZHANG Jinqin
CE No.: BQB103
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 Jinqin
CE No.: BQB103
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 10/2026

CE Name: ZHAO Honghao
CE No.: BVS616
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: ZHAO Honghao
CE No.: BVS616
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: ZHOU Gaoliang
CE No.: BSI165
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: ZUO Jun
CE No.: BMV721
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 10/2026

CE Name: ZUO Juncheng
CE No.: BYA186
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: FUJII Shunsuke
CE No.: BDM851
Licence Type: Licensed Representative - Responsible Officer
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

CE Name: FUJII Shunsuke
CE No.: BDM851
Licence Type: Licensed Representative - Responsible Officer
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) 16 September 2026 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 3 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: GO Shogo
CE No.: BXY069
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

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: GO Shogo
CE No.: BXY069
Licence Type: Licensed Representative - Responsible Officer
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: GO Shogo
CE No.: BXY069
Licence Type: Licensed Representative - Responsible Officer
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

CE Name: GO Shogo
CE No.: BXY069
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
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: KWOK Wah
CE No.: AEX602
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

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: KWOK Wah
CE No.: AEX602
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
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: LING Chun Hui, Norbert
CE No.: BSD224
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: LING Chun Hui, Norbert
CE No.: BSD224
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
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: SONG Cheng
CE No.: BQL512
Licence Type: Licensed Representative - Responsible Officer
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

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: SONG Cheng
CE No.: BQL512
Licence Type: Licensed Representative - Responsible Officer
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: YU Xiao
CE No.: ALU918
Licence Type: Licensed Representative - Responsible Officer
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

CE Name: YU Xiao
CE No.: ALU918
Licence Type: Licensed Representative - Responsible Officer
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: BAZZONI Federico
CE No.: ADP682
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 10/2026

CE Name: CHAN Sau Lim
CE No.: BPI327
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: CHAN Tit Leung, Sunny
CE No.: ADP076
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: CHIU Man Wai, Janice
CE No.: BJD985
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: CHIU Man Wai, Janice
CE No.: BJD985
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

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: CHIU Man Wai, Janice
CE No.: BJD985
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
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: DANGAYACH Deepak
CE No.: BNJ919
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CE Name: DANGAYACH Deepak
CE No.: BNJ919
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: GUO Ziyu
CE No.: BQS942
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: GUO Ziyu
CE No.: BQS942
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: GUO Ziyu
CE No.: BQS942
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
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 Ziyu
CE No.: BQS942
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: KAN Ka Ho
CE No.: BEW802
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: LAM Fong Chun
CE No.: AYR790
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 10/2026

CE Name: LAM Fong Chun
CE No.: AYR790
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
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: LAM Fong Chun
CE No.: AYR790
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CE Name: LAM Fong Chun
CE No.: AYR790
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: LAM Long Hin, Hiram
CE No.: AUX369
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 10/2026

CE Name: LEE Ying Kin
CE No.: AUO103
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: LEUNG Kin Cheong, Laurent
CE No.: AEO587
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: LEUNG Tze Ying Gwen
CE No.: AYQ010
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: LI Hongli
CE No.: BDQ909
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: LI Hongli
CE No.: BDQ909
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: LI Hongli
CE No.: BDQ909
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
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 Hongli
CE No.: BDQ909
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: LI Ka Yu
CE No.: BJP083
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: LIU Taojiang
CE No.: AZV756
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 10/2026

CE Name: LO Hiu Lam
CE No.: APL937
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: LU Ting Pong, Johnny
CE No.: AJL345
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: MAK Lok Qun, Denise
CE No.: AIH187
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CE Name: MAK Lok Qun, Denise
CE No.: AIH187
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: NG Kai Pong
CE No.: AOB433
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 10/2026

CE Name: OW Dennis Kian Jing
CE No.: BDJ762
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: OW Dennis Kian Jing
CE No.: BDJ762
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: PUN Hung Ming
CE No.: BER960
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: RAMAN Harish
CE No.: AXG850
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: RAMAN Harish
CE No.: AXG850
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: SHEN Jie
CE No.: BRQ225
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: SIN Ka Yiu
CE No.: BDP260
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: 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: SU Pan
CE No.: BDE650
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 10/2026

CE Name: SUEN Hiu Laam
CE No.: BDF570
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: SUEN Hiu Laam
CE No.: BDF570
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
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: SUEN Hiu Laam
CE No.: BDF570
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: TSANG Oi Shan, Teresa
CE No.: ANB045
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: WANG Lan
CE No.: ASW638
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: YAU Yin Tan
CE No.: BFW878
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: YU Weijiang
CE No.: AWW324
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CE Name: YU Weijiang
CE No.: AWW324
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: ZHANG Congzhan
CE No.: BTJ178
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 10/2026

CE Name: ZHANG Congzhan
CE No.: BTJ178
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: ZHANG Jing
CE No.: BMY383
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: ZHANG Jing
CE No.: BMY383
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: ZHANG Jing
CE No.: BMY383
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 10/2026

CE Name: ZHANG Jing
CE No.: BMY383
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
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: ZHANG Jing
CE No.: BMY383
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: ZHANG Zhihua
CE No.: ANB118
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: ZHUANG Dong
CE No.: BNN869
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 10/2026

CE Name: ZHUANG Dong
CE No.: BNN869
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: ZOU Mengtong
CE No.: BNC596
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: ZOU Mengtong
CE No.: BNC596
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: AU Ka Wah
CE No.: BOB552
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 10/2026

CE Name: AU Ka Wah
CE No.: BOB552
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: CHA Yiu Chung Benjamin
CE No.: AHG919
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: CHA Yiu Chung Benjamin
CE No.: AHG919
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: CHEN Liushan
CE No.: BIN722
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 10/2026

CE Name: CHEN Liushan
CE No.: BIN722
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: DING Jinqiong
CE No.: BUU938
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: DING Jinqiong
CE No.: BUU938
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: FAN Chengxing
CE No.: BEK871
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 10/2026

CE Name: FAN Chengxing
CE No.: BEK871
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: FUNG Hao Chuen, David
CE No.: AEE776
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: FUNG Hao Chuen, David
CE No.: AEE776
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 10/2026

CE Name: GONG Yiyang
CE No.: AUN894
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: GONG Yiyang
CE No.: AUN894
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: GRUEN Stewart Paul
CE No.: BMD848
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: GRUEN Stewart Paul
CE No.: BMD848
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 10/2026

CE Name: HO Kin Man
CE No.: AWG976
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 Kin Man
CE No.: AWG976
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: HOU Shuai
CE No.: BXY338
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: HU Qianlin
CE No.: BRR017
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 10/2026

CE Name: JU Chung Ha Stella
CE No.: BDC504
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: JU Chung Ha Stella
CE No.: BDC504
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: KO Tsz Biu
CE No.: BBX348
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 Jian
CE No.: AGO919
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 10/2026

CE Name: LI Kan Wan
CE No.: BEM085
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 Kan Wan
CE No.: BEM085
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 Mavis Qiwen
CE No.: AMF022
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 Yushan
CE No.: BVZ512
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 10/2026

CE Name: LI Yushan
CE No.: BVZ512
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: LIN Weibin
CE No.: BBG416
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 Yiwen
CE No.: BXO247
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 10/2026

CE Name: LIU Yiwen
CE No.: BXO247
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: LU Yue
CE No.: AGX670
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: LU Yue
CE No.: AGX670
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 10/2026

CE Name: MEHRA Nikhil
CE No.: BVL094
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: NGAI Sun Ching Venus
CE No.: AGH987
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: NGAN Chiu Kit
CE No.: BPK871
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: NGAN Chiu Kit
CE No.: BPK871
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 10/2026

CE Name: NGAN Chiu Kit
CE No.: BPK871
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: NGAN Chiu Kit
CE No.: BPK871
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: PARK Sang Chul
CE No.: BXQ008
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: PARK Sang Chul
CE No.: BXQ008
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 10/2026

CE Name: SU Hang
CE No.: BVQ212
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: SUN Yijing
CE No.: BXJ382
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: SUN Yijing
CE No.: BXJ382
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: SUN Yu
CE No.: BWN652
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 10/2026

CE Name: SUN Yu
CE No.: BWN652
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: TAN Min
CE No.: BKR644
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: TAN Qiaowei
CE No.: BMT371
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) 10 January 2027 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 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

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: TANG Yuanbei
CE No.: BUW063
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: TANG Yuanbei
CE No.: BUW063
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: TANG Yuanbei
CE No.: BUW063
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: TONG Hing Lung
CE No.: AQW032
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 10/2026

CE Name: TONG Hing Lung
CE No.: AQW032
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: TONG Wai Cham
CE No.: AWV320
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: TONG Wai Cham
CE No.: AWV320
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 10/2026

CE Name: WANG Fang
CE No.: BXQ816
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 Fang
CE No.: BXQ816
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 Cheung Ming
CE No.: AWU123
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: WONG Ping Leong
CE No.: BTA064
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 10/2026

CE Name: WONG Ying Kit
CE No.: APH572
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: WU Ziyin
CE No.: BMV591
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: WU Ziyin
CE No.: BMV591
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: Xian Xingchi
CE No.: BWV250
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 10/2026

CE Name: YAU Ho Pan
CE No.: AWS533
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: YIP Matthew Shu Shun
CE No.: BIL940
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: YIP Matthew Shu Shun
CE No.: BIL940
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 10/2026

CE Name: YIP Wing Sum
CE No.: APD255
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: YIP Wing Sum
CE No.: APD255
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: YIU Chi Wai
CE No.: AUB977
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: YIU Chi Wai
CE No.: AUB977
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 10/2026

CE Name: YUAN Shenyi
CE No.: BFT021
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: ZHANG Zhikai
CE No.: BUT135
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: ZHANG Zhikai
CE No.: BUT135
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: ZHU Yi
CE No.: AWE965
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 10/2026

CE Name: ZUO Juncheng
CE No.: BYA186
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: Hongkong and Shanghai Banking Corporation Limited, The
CE No.: AAA523
Licence Type: Registered Institution
Condition Added:
With respect to providing virtual asset dealing services, the registered institution shall comply with the attached “Terms and conditions for licensed corporations or registered institutions providing virtual asset dealing services under an omnibus account arrangement” (as amended from time to time). The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CE Name: Hongkong and Shanghai Banking Corporation Limited, The
CE No.: AAA523
Licence Type: Registered Institution
Condition Added:
With respect to providing virtual asset dealing services, the registered institution shall only provide such services through operating an omnibus account established and maintained with an SFC-licensed platform, or an HKMA-licensed stablecoin issuer as far as a specified stablecoin the issue of which is authorised by a licence granted under the Stablecoins Ordinance (SO) (Relevant Stablecoin) and made by that issuer is concerned. The term “SFC-licensed platform” refers to a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (AMLO). The term “HKMA-licensed stablecoin issuer” means a stablecoin issuer which is licensed by the HKMA under section 15 of the SO. The term “virtual asset” is defined in section 53ZRA of the AMLO. The term “specified stablecoin” has the meaning given by section 4 of the SO.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Hongkong and Shanghai Banking Corporation Limited, The
CE No.: AAA523
Licence Type: Registered Institution
Condition Added:
With respect to providing virtual asset dealing services, the registered institution shall only provide such services to persons which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities), except where the registered institution provides virtual asset dealing services only in Relevant Stablecoins to its clients, such clients need not be its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CE Name: Mox Bank Limited
CE No.: BNO808
Licence Type: Registered Institution
Condition Removed:
With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services through operating an omnibus account established and maintained with an SFC-licensed platform. The term “SFC-licensed platform” refers to a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (AMLO). The term “virtual asset” is defined in section 53ZRA of the AMLO.
Condition Level: Type 1 Regulated Activity

CE Name: Mox Bank Limited
CE No.: BNO808
Licence Type: Registered Institution
Condition Removed:
With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to persons which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Mox Bank Limited
CE No.: BNO808
Licence Type: Registered Institution
Condition Added:
With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to persons which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities), except where the registered institution provides virtual asset dealing services only in Relevant Stablecoins to its clients, such clients need not be its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CE Name: Mox Bank Limited
CE No.: BNO808
Licence Type: Registered Institution
Condition Removed:
With respect to providing virtual asset dealing services, the licensee or registered institution shall comply with the attached “Terms and conditions for licensed corporations or registered institutions providing virtual asset dealing services under an omnibus account arrangement” (as amended from time to time). The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CE Name: Mox Bank Limited
CE No.: BNO808
Licence Type: Registered Institution
Condition Added:
With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services through operating an omnibus account established and maintained with an SFC-licensed platform, or an HKMA-licensed stablecoin issuer as far as a specified stablecoin the issue of which is authorised by a licence granted under the Stablecoins Ordinance (SO) (Relevant Stablecoin) and made by that issuer is concerned. The term “SFC-licensed platform” refers to a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (AMLO). The term “HKMA-licensed stablecoin issuer” means a stablecoin issuer which is licensed by the HKMA under section 15 of the SO. The term “virtual asset” is defined in section 53ZRA of the AMLO. The term “specified stablecoin” has the meaning given by section 4 of the SO.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Mox Bank Limited
CE No.: BNO808
Licence Type: Registered Institution
Condition Added:
With respect to providing virtual asset dealing services, the licensee or registered institution shall comply with the attached “Terms and conditions for licensed corporations or registered institutions providing virtual asset dealing services under an omnibus account arrangement” (as amended from time to time). The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CE Name: Shanghai Commercial Bank Limited
CE No.: AAJ281
Licence Type: Registered Institution
Condition Added:
With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services through operating an omnibus account established and maintained with an SFC-licensed platform, or an HKMA-licensed stablecoin issuer as far as a specified stablecoin the issue of which is authorised by a licence granted under the Stablecoins Ordinance (SO) (Relevant Stablecoin) and made by that issuer is concerned. The term “SFC-licensed platform” refers to a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (AMLO). The term “HKMA-licensed stablecoin issuer” means a stablecoin issuer which is licensed by the HKMA under section 15 of the SO. The term “virtual asset” is defined in section 53ZRA of the AMLO. The term “specified stablecoin” has the meaning given by section 4 of the SO.
Condition Level: Type 1 Regulated Activity

CE Name: Shanghai Commercial Bank Limited
CE No.: AAJ281
Licence Type: Registered Institution
Condition Added:
With respect to providing virtual asset dealing services, the licensee or registered institution shall comply with the attached “Terms and conditions for licensed corporations or registered institutions providing virtual asset dealing services under an omnibus account arrangement” (as amended from time to time). The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: Shanghai Commercial Bank Limited
CE No.: AAJ281
Licence Type: Registered Institution
Condition Added:
With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to persons which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities), except where the registered institution provides virtual asset dealing services only in Relevant Stablecoins to its clients, such clients need not be its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CE Name: ZA Bank Limited
CE No.: BOJ557
Licence Type: Registered Institution
Condition Added:
With respect to providing virtual asset dealing services, the registered institution shall only provide such services through operating an omnibus account established and maintained with an SFC-licensed platform, or an HKMA-licensed stablecoin issuer as far as a specified stablecoin the issue of which is authorised by a licence granted under the Stablecoins Ordinance (SO) (Relevant Stablecoin) and made by that issuer is concerned. The term “SFC-licensed platform” refers to a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (AMLO). The term “HKMA-licensed stablecoin issuer” means a stablecoin issuer which is licensed by the HKMA under section 15 of the SO. The term “virtual asset” is defined in section 53ZRA of the AMLO. The term “specified stablecoin” has the meaning given by section 4 of the SO.
Condition Level: Type 1 Regulated Activity

CE Name: ZA Bank Limited
CE No.: BOJ557
Licence Type: Registered Institution
Condition Added:
With respect to providing virtual asset dealing services, the registered institution shall comply with the attached “Terms and conditions for licensed corporations or registered institutions providing virtual asset dealing services under an omnibus account arrangement” (as amended from time to time). The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: ZA Bank Limited
CE No.: BOJ557
Licence Type: Registered Institution
Condition Added:
With respect to providing virtual asset dealing services, the registered institution shall only provide such services to persons which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities), except where the registered institution provides virtual asset dealing services only in Relevant Stablecoins to its clients, such clients need not be its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CE Name: ZA Bank Limited
CE No.: BOJ557
Licence Type: Registered Institution
Condition Removed:
With respect to providing virtual asset dealing services, the registered institution shall comply with the “ Terms and conditions for licensed corporations or registered institutions providing virtual asset dealing services under an omnibus account arrangement ” (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 1 Regulated Activity

CE Name: ZA Bank Limited
CE No.: BOJ557
Licence Type: Registered Institution
Condition Removed:
With respect to providing virtual asset dealing services, the registered institution shall only provide such services through operating an omnibus account established and maintained with an SFC-licensed platform. The term “SFC-licensed platform” refers to a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (AMLO). The term “virtual asset” is defined in section 53ZRA of the AMLO.
Condition Level: Type 1 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: ZA Bank Limited
CE No.: BOJ557
Licence Type: Registered Institution
Condition Removed:
With respect to providing virtual asset dealing services, the registered institution shall only provide such services to persons which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “dealing in securities” is specified in Part 2 of Schedule 5 to the Securities and Futures Ordinance. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Type 1 Regulated Activity

CE Name: Hongkong and Shanghai Banking Corporation Limited, The
CE No.: AAA523
Licence Type: Registered Institution
Condition Added:
With respect to providing virtual asset dealing services, the registered institution shall provide virtual asset dealing services only in Relevant Stablecoins. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
Condition Level: Registration

CE Name: Hongkong and Shanghai Banking Corporation Limited, The
CE No.: AAA523
Licence Type: Registered Institution
Condition Added:
Where the registered institution provides virtual asset dealing services in respect of a Relevant Stablecoin issued by it, it may provide such services through an omnibus account established and maintained by it in which the Relevant Stablecoins held for its clients are held on trust, provided that the registered institution segregates the Relevant Stablecoins held for each client from the registered institution’s proprietary assets and maintains books and records which separately identify and account for each client's entitlement to the Relevant Stablecoins so held. Such arrangement shall constitute an omnibus account arrangement for the purposes of the registered institution’s compliance with the terms and conditions imposed on it in respect of its provision of virtual asset dealing services, including any requirement thereunder for an omnibus account to be established and maintained with the HKMA-licensed stablecoin issuer of the Relevant Stablecoin. For the avoidance of doubt, this condition does not otherwise modify or disapply any requirement imposed on the registered institution in respect of its provision of virtual asset dealing services.
Condition Level: Registration

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: CHU Sai Tak
CE No.: ADX572
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: FONG Kam Hung
CE No.: AML472
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: KAN Tsz Yan, Arthur
CE No.: AGO945
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: LIN Ke
CE No.: BRS682
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: LUK Wai Sum
CE No.: BGE246
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 10/2026

CE Name: NI Yifan
CE No.: BPF441
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: SCHRANTZ Alexander
CE No.: AFF166
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: WANG Yanan
CE No.: AVE602
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: ZHANG Jinmai
CE No.: BHL027
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: ZHANG Na
CE No.: AVJ731
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

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: NI Yifan
CE No.: BPF441
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: ZHANG Na
CE No.: AVJ731
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: CHU Sai Tak
CE No.: ADX572
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: FONG Kam Hung
CE No.: AML472
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

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: HUANG Sike
CE No.: BHI178
Licence Type: Licensed Representative
Condition Removed:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CE Name: KAN Tsz Yan, Arthur
CE No.: AGO945
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: LI Ang
CE No.: BXK159
Licence Type: Licensed Representative
Condition Removed:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities, unless the licensee has passed the Licensing Examination for Securities and Futures Intermediaries (LE) Papers 1 and 16 not more than 3 years before the licensee's first engagement in sponsor work and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: LI Ang
CE No.: BXK159
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 10/2026

CE Name: LIN Ke
CE No.: BRS682
Licence Type: Licensed Representative
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: LUK Wai Sum
CE No.: BGE246
Licence Type: Licensed Representative
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: SCHRANTZ Alexander
CE No.: AFF166
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 Repurchases 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: ZHANG Jinmai
CE No.: BHL027
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: ZHONG Jingcheng
CE No.: BOT991
Licence Type: Licensed Representative
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

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: FU Ming
CE No.: ATI402
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: MA Ming Hei
CE No.: BRW412
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: NI Yifan
CE No.: BPF441
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: ZHOU Tingting
CE No.: AUG803
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 10/2026

CE Name: LI Hanqing
CE No.: BQA891
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence

CE Name: SEMBA Masahiro
CE No.: BWD221
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall not provide related services to any person other than a professional investor. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules.
Condition Level: Licence

CE Name: YANG Linna
CE No.: BTX954
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence

CE Name: YE Xiaoxiong
CE No.: BHU991
Licence Type: Licensed Representative
Condition Removed:
The licensee:(1) shall not carry out the regulated activity(ies) in Hong Kong for more than 45 days in each calendar year; and(2) shall not provide related services to any person other than a professional investor unless the licensee is accompanied at all times by a licensed person in performing the regulated activity(ies) in Hong Kong. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules.
Condition Level: Licence

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: CHAN Hi Kit
CE No.: AIH774
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: CHAN Hi Kit
CE No.: AIH774
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: KAN Ka Ho
CE No.: BEW802
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: LEUNG Wai Ying
CE No.: ASC836
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: ZHEN Jingjing
CE No.: AXH989
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 10/2026

CE Name: FONG Wai Ying, Vivian Catherine
CE No.: BBT305
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 Yanping
CE No.: BVS105
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: KAN Ka Ho
CE No.: BEW802
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: LO Hiu Lam
CE No.: APL937
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

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 10/2026

CE Name: NG Kai Pong
CE No.: AOB433
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: YAU Yin Tan
CE No.: BFW878
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: ZHANG Jing
CE No.: BGX097
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 6 regulated activity, the licensee shall not engage in sponsor work in respect of an application for the listing on a recognized stock market of any securities, unless the licensee has passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 16 not more than 3 years before the licensee's first engagement in sponsor work and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: FONG Wai Ying, Vivian Catherine
CE No.: BBT305
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