

**Notice under Sections 204 and 205 of the
Securities and Futures Ordinance
Cap.571 ("SFO")**

It appears to the Securities and Futures Commission ("**Commission**"), for the reasons set out in the Statement of Reasons of this date, that the Commission should exercise the powers conferred by sections 204 and 205 of the SFO.

THE COMMISSION HEREBY GIVES NOTICE THAT:

Except with the prior written consent of the Commission, such consent to be granted by any two Executive Directors of the Commission:

1. Pursuant to sections 204(1)(a) and 205(1) of the SFO, **Huatai Financial Holdings (Hong Kong) Limited ("Specified Corporation")** is, in respect of the following client accounts ("**Accounts**"):

Account No.
992021116
992621115

- (a) prohibited from disposing of or dealing with, or assisting, counselling or procuring another person to dispose of or deal with any assets in any way in each of the Accounts (i.e. the accounts numbered: 992021116 and 992621115) up to the value of **HK\$5,448,745** and **HK\$6,927,231** respectively, including:
 - (i) entering into transactions to acquire securities on the instructions of an authorized person of any of the Accounts or by a person acting on behalf of any of the holders of the Accounts;
 - (ii) processing withdrawals or transfers of securities and/or cash or processing transfers of money arising from the disposal of securities;
 - (iii) disposing of or dealing with securities or cash on the instructions of an authorized person of any of the Accounts or by a person acting on behalf of any of the holders of the Accounts; and/or
 - (iv) assisting another person to deal with any relevant property in a specified manner or other than in a specified manner; and
- (b) required to notify the Commission immediately upon receipt of any instruction from an authorized person of any of the Accounts and/or a person acting on behalf of any of the holders of the Accounts, regarding:
 - (i) a request to withdraw or transfer any securities or cash from any of the Accounts; and/or
 - (ii) a request to dispose of or deal with any securities or cash which form part or the entirety of those assets subject to the prohibition in (a) above.

2. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeals Tribunal for a review of the Commission's decision to impose the prohibitions and/or requirements specified in this Notice. Such application must be made within twenty-one days after the day on which this Notice is served on the Specified Corporation. Further, under section 208 of the SFO, the Specified Corporation or a person affected by the prohibitions and/or requirements may apply to the Commission for the prohibitions and/or requirements to be withdrawn, substituted or varied.

This Notice takes effect at the time of service upon the Specified Corporation.

Dated this 15th day of March 2021

For and on behalf of the Commission

Ashley Alder
Chief Executive Officer