

**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 GIVES NOTICE THAT:**

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

1. Under sections 204(1)(a) and 205(1) of the SFO, Yuanta Securities (Hong Kong) Company Limited (the "**Specified Corporation**") is, in respect of the following account (**Account**):

Account no.	Cash balance as at 15/4/2021 HK\$	Securities balance as at 15/4/2021 HK\$
138842	103,167.68	1,226,756.00

- (a) prohibited from disposing of or dealing with, assisting, counselling or procuring another person to dispose of or deal with, any assets in any way in the Account up to the total value of HK\$124,880,056, including:
  - (i) entering into transactions for any securities;
  - (ii) processing any withdrawals or transfers of securities and/or cash or any transfers of money arising from the disposal of securities;
  - (iii) disposing of or dealing with any securities or cash on the instructions of any authorized person of the Account or by any person acting on their behalf;
  - (iv) assisting another person to dispose of any relevant property or deal with any relevant property in a specified manner;
- (b) required to notify the Commission immediately upon receipt of any instruction from the authorized person of the Account, or by any person acting on their behalf, regarding:
  - (i) any requests to withdraw any securities or cash from the Account and/or transfer money arising from the disposal of any securities which would result in any change in the value of the assets in the Account; and/or
  - (ii) any requests to dispose of or deal with any securities or cash which concern those assets subject to the prohibitions in (a) above.

2. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeal Tribunal for a review of the Commission's decision to impose the prohibition and/or requirement imposed by 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 may apply to the Commission for the prohibition and/or requirement imposed by this Notice to be withdrawn, substituted or varied.

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

Dated this 13th day of May 2021

For and on behalf of the Commission

Ashley Alder  
Chief Executive Officer