

**NOTICE UNDER SECTIONS 204 AND 205 OF THE
SECURITIES AND FUTURES ORDINANCE (Chapter 571) ("SFO")**

It appears to the Securities and Futures Commission ("Commission") 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, CNI Securities Group Limited ("**Specified Corporation**") is, in respect of the following client accounts:

Account number
188879
186617
186665

(hereinafter collectively referred to as the "**Accounts**")

- (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 account number 188879 up to the value of HK\$ 8,095,410.95, in account number 186617 up to the value of HK\$50,964,040.10 and in account number 186665 up to value of HK\$50,889,611.35, including:
- (i) entering into transactions in respect of 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 and/or cash on the instructions of any authorized person of the Accounts or by any person acting on their behalf; and/or
 - (iv) assisting another person to dispose of any relevant property or deal with any relevant property in a specified manner; and
- (b) required to notify the Commission immediately upon receipt of any instruction from any authorized person of the Accounts, and/or any person acting on his/her behalf, regarding:
- (i) any requests to withdraw or transfer any securities and/or cash from the Accounts; and/or
 - (ii) any requests to dispose or deal with any securities and/or cash which concern 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 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. Furthermore, under section 208 of the SFO, the Specified Corporation or a person affected by the prohibition or requirement imposed by this Notice may apply to the Commission for the prohibition and/or requirement to be withdrawn, substituted or varied.

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

Dated this 23rd day of December 2020.

For and on behalf of the Commission

Ashley Alder
Chief Executive Officer