



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

CE Name: Springs Capital (Hong Kong) Limited

CE No.: AWQ098

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: Titan Financial Services Limited

CE No.: BFR957

Licence Type: Licensed Corporation

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: Moonfare Asia Limited

CE No.: BOO902

Licence Type: Licensed Corporation

Condition Added:

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: Moonfare Asia Limited

CE No.: BOO902

Licence Type: Licensed Corporation

Condition Removed:

For Type 1 regulated activity, the licensee shall only perform distribution function for collective investment schemes. The term "distribution function" is defined in the Code on Unit Trusts and Mutual Funds issued by the Commission.

Condition Level: Type 1 Regulated Activity

CE Name: Springs Capital (Hong Kong) Limited

CE No.: AWQ098

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

CE Name: Cupola Capital Limited

CE No.: ADB486

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 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: Cupola Capital Limited

CE No.: ADB486

Licence Type: Licensed Corporation

Condition Removed:

For Type 6 regulated activity, with effect from 1 January 2007, the licensee 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

CE Name: Wallbank Brothers Securities (Hong Kong) Limited

CE No.: AHT876

Licence Type: Licensed Corporation

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: AccFin Corporate Finance Limited

CE No.: BIV442

Licence Type: Licensed Corporation

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: AccFin Corporate Finance Limited

CE No.: BIV442

Licence Type: Licensed Corporation

Condition Added:

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



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Condition Level: Type 6 Regulated Activity

CE Name: Jun Hui International Finance Limited

CE No.: BOE739

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: People Securities Company Limited

CE No.: AQW828

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: Springs Capital (Hong Kong) Limited

CE No.: AWQ098

Licence Type: Licensed Corporation

Condition Added:

For Type 9 regulated activity, the licensee shall only provide services to professional investors, employees of the licensee and employees of subsidiaries of the licensee.

The terms "subsidiary" and "professional investor" are defined under the Securities and Futures Ordinance.

Condition Level: Type 9 Regulated Activity

CE Name: Venture Smart Asia Limited

CE No.: BCO369

Licence Type: Licensed Corporation

Condition Added:

The licensee shall comply with the "[https://www.sfc.hk/web/EN/files/IS/publications/VA_Portfolio_Managers_Terms_and_Conditions_\(EN\).pdf](https://www.sfc.hk/web/EN/files/IS/publications/VA_Portfolio_Managers_Terms_and_Conditions_(EN).pdf)" target="_blank">Proforma Terms and Conditions for Licensed Corporations which Manage Portfolios that Invest in Virtual Assets" ("T&C") issued by the Securities and Futures Commission on 4 October 2019 and any amendments made to the T&C thereafter.

Condition Level: Type 9 Regulated Activity

CE Name: Venture Smart Asia Limited

CE No.: BCO369



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

Licence Type: Licensed Corporation

Condition Removed:

The licensee shall comply with the "[Proforma Terms and Conditions for Licensed Corporations which Manage Portfolios that Invest in Virtual Assets](https://www.sfc.hk/web/EN/files/IS/publications/VA_Portfolio_Managers_Terms_and_Conditions_(EN).pdf)" ("T&C") issued by the Securities and Futures Commission ("SFC") on 4 October 2019 and any amendments made to the T&C thereafter. Any changes to the information previously provided to the SFC, including changes to fund structures and/or service providers (e.g. custodians, administrators and virtual asset trading platforms), should only be made and/or adopted with the SFC's written consent.

Condition Level: Type 9 Regulated Activity

CE Name: GFM Group Limited

CE No.: BGT035

Licence Type: Licensed Corporation

Condition Added:

For Type 9 regulated activity, the licensee shall only carry on a business in the management of:

- (a) discretionary accounts; and
- (b) collective investment schemes that are offered to professional investors only.

The terms "collective investment scheme" and "professional investor" are defined under the Securities and Futures Ordinance and its subsidiary legislation (where applicable).

Condition Level: Type 9 Regulated Activity

CE Name: GFM Group Limited

CE No.: BGT035

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: Eurizon Capital Asia Limited

CE No.: BHO750

Licence Type: Licensed Corporation

Condition Removed:

For Type 9 regulated activity, the licensee shall not provide a service of managing a portfolio of futures contracts for another person.

Condition Level: Type 9 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

CE Name: Aspenwood Capital Limited

CE No.: BHY235

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: SBI E2-Capital Securities Limited

CE No.: BIC854

Licence Type: Licensed Corporation

Condition Added:

For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance.

Condition Level: Type 9 Regulated Activity

CE Name: Upmax Securities Limited

CE No.: BJN701

Licence Type: Licensed Corporation

Condition Added:

For Type 9 regulated activity, the licensee shall only carry on a business in the management of:

(a) discretionary accounts; and

(b) collective investment schemes that are offered to professional investors only.

The terms "collective investment scheme" and "professional investor" are defined under the Securities and Futures Ordinance and its subsidiary legislation (where applicable).

Condition Level: Type 9 Regulated Activity

CE Name: Huobi Asset Management (Hong Kong) Limited

CE No.: BPK544

Licence Type: Licensed Corporation

Condition Added:

The licensee shall comply with the "[Proforma Terms and Conditions for Licensed Corporations which Manage Portfolios that Invest in Virtual Assets](https://www.sfc.hk/web/EN/files/IS/publications/VA_Portfolio_Managers_Terms_and_Conditions_(EN).pdf)" ("T&C") issued by the Securities and Futures Commission on 4 October 2019 and any amendments made to the T&C thereafter.

Condition Level: Type 9 Regulated Activity

CE Name: Celestial Securities Limited

CE No.: AAF532

Licence Type: Licensed Corporation



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

Condition Added:

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

Condition Level: Licence

CE Name: Wallbank Brothers Securities (Hong Kong) Limited

CE No.: AHT876

Licence Type: Licensed Corporation

Condition Added:

The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation.

Condition Level: Licence

CE Name: Springs Capital (Hong Kong) Limited

CE No.: AWQ098

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: China Orient International Asset Management Limited

CE No.: AZD667

Licence Type: Licensed Corporation

Condition Removed:

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

Condition Level: Licence

CE Name: Venture Smart Asia Limited

CE No.: BCO369

Licence Type: Licensed Corporation

Condition Added:

The licensee shall comply with the "[Proforma Terms and Conditions for Licensed Corporations which Manage Portfolios that Invest in Virtual Assets](https://www.sfc.hk/web/EN/files/IS/publications/VA_Portfolio_Managers_Terms_and_Conditions_(EN).pdf)" ("T&C") issued by the Securities and Futures Commission on 4 October 2019 and any amendments made to the T&C thereafter.

Condition Level: Licence

CE Name: Venture Smart Asia Limited

CE No.: BCO369



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

Licence Type: Licensed Corporation

Condition Removed:

The licensee shall comply with the "[Proforma Terms and Conditions for Licensed Corporations which Manage Portfolios that Invest in Virtual Assets](https://www.sfc.hk/web/EN/files/IS/publications/VA_Portfolio_Managers_Terms_and_Conditions_(EN).pdf)" ("T&C") issued by the Securities and Futures Commission on 4 October 2019 and any amendments made to the T&C thereafter.

Condition Level: Licence

CE Name: Trillion Asset Management Limited

CE No.: BHJ968

Licence Type: Licensed Corporation

Condition Added:

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

Condition Level: Licence

CE Name: Aspenwood Capital Limited

CE No.: BHY235

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: MARCON Stephen James Neville

CE No.: AAD512

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: LEE Che Chiu

CE No.: AAZ110

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



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(b) not subject to this condition.

Condition Level: Type 1 Regulated Activity

CE Name: HO Chi Ming

CE No.: AAZ139

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: SO Kwok Yan, Robert

CE No.: ABA369

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:

(a) accredited to the principal concerned of the licensee in respect of the activity; and

(b) not subject to this condition.

Condition Level: Type 1 Regulated Activity

CE Name: YIP Sze Ki

CE No.: ACL453

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: YIP Sze Ki

CE No.: ACL453

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),



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whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: MULCHANDANI Narayan Phatu

CE No.: ACZ175

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: MULCHANDANI Narayan Phatu

CE No.: ACZ175

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: LAI Chung Cheong

CE No.: ADZ903

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



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CE Name: LAI Chung Cheong

CE No.: ADZ903

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: FU Yiu Hang

CE No.: AGH815

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: LO Kai Tung

CE No.: AGV227

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: LO Kai Tung

CE No.: AGV227

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: LO Kai Tung

CE No.: AGV227

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: YAU Wai

CE No.: AIU419

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: YIP Yuen Man, Letitia

CE No.: AIY988

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: YIP Yuen Man, Letitia

CE No.: AIY988

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: WILDMAN Richard John

CE No.: AJB354

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



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(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: WILDMAN Richard John

CE No.: AJB354

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:

- (a) accredited to the principal concerned of the licensee in respect of the activity; and
- (b) not subject to this condition.

Condition Level: Type 1 Regulated Activity

CE Name: CHEUNG Wai On, Simon

CE No.: AJK782

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: CHEUNG Wai On, Simon

CE No.: AJK782

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: SMITH Guy William

CE No.: AJO483

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



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CE Name: SMITH Guy William

CE No.: AJO483

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: SMITH Guy William

CE No.: AJO483

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: ABAGIAN Alex

CE No.: ALS080

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: XIE Jia Yue

CE No.: AMU495

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.



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Condition Level: Type 1 Regulated Activity

CE Name: LUI Kin Wai

CE No.: ANM045

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: HOR Kin Hung

CE No.: AOT575

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: HOR Kin Hung

CE No.: AOT575

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: WAN Kin Pong

CE No.: APH641

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



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(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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 Kin Pong

CE No.: APH641

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: CHEONG Ngai Dick, Andrew

CE No.: APO885

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: CHEONG Ngai Dick, Andrew

CE No.: APO885

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: CHEN Xi

CE No.: APW610

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



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(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: CHAN Wah Man Carman

CE No.: AQD276

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: YU Thomas Ka Ming

CE No.: AQI247

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: YU Thomas Ka Ming

CE No.: AQI247

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: CHEUNG Kik

CE No.: ARC094

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:

- (a) accredited to the principal concerned of the licensee in respect of the activity; and
- (b) not subject to this condition.

Condition Level: Type 1 Regulated Activity

CE Name: CHEUNG Kik

CE No.: ARC094

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: GUO Wei

CE No.: ASU040

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: KIRK Bruce Stephen James

CE No.: ASZ619

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 03/2021

CE Name: ZHANG Jincheng

CE No.: ATT807

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: BOAS Michael Joel

CE No.: AUF165

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: BOAS Michael Joel

CE No.: AUF165

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: WOO Lai Ming, Raymond

CE No.: AUS410

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: WOO Lai Ming, Raymond

CE No.: AUS410

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: LOMHOLT Axel Carl Christian

CE No.: AVI187

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: LOMHOLT Axel Carl Christian

CE No.: AVI187

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 03/2021

CE Name: ROLFE Roland Christopher

CE No.: AVI388

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: XIONG Lang

CE No.: AVM879

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: XIONG Lang

CE No.: AVM879

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: WONG Nga Yan

CE No.: AWD491

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: WONG Nga Yan

CE No.: AWD491

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: WONG Nga Yan

CE No.: AWD491

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 1 Regulated Activity

CE Name: REN Cheng

CE No.: AXC895

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: WONG Wai Yam

CE No.: AXX085

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 03/2021

CE Name: WONG Wai Yam

CE No.: AXX085

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: WONG Wai Yam

CE No.: AXX085

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 To Wai

CE No.: AYD437

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: LI To Wai

CE No.: AYD437

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),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: YAM Chak Sun

CE No.: AYG286

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: LIU Chao

CE No.: AZH606

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: LIU Chao

CE No.: AZH606

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: GEORGE Manu

CE No.: AZJ281

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

(ii) 22 November 2020 (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: GEORGE Manu

CE No.: AZJ281

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 approval for carrying on that regulated activity as a responsible officer (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 2 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: WANG Da Qing

CE No.: BAB056

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:

(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or

(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: WANG Da Qing

CE No.: BAB056

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

Condition Level: Type 1 Regulated Activity

CE Name: HU Saisai

CE No.: BAB450

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: SHEK Wan Sang Andy

CE No.: BAG221

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: SHEK Wan Sang Andy

CE No.: BAG221

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: NIE Zheng

CE No.: BAH325

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: NIE Zheng

CE No.: BAH325

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 Wenjin

CE No.: BAK706

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: TAM Chun Chiu

CE No.: BBB754

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: TAM Chun Chiu

CE No.: BBB754



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: FAYARD Franck Nicolas Michel

CE No.: BBP230

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: FAYARD Franck Nicolas Michel

CE No.: BBP230

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: FAYARD Franck Nicolas Michel

CE No.: BBP230

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),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: FAYARD Franck Nicolas Michel

CE No.: BBP230

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 Jianwei

CE No.: BDO483

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 Jianwei

CE No.: BDO483

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: MA Jianwei

CE No.: BDO483

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: SHI Dai

CE No.: BEQ696

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: SHI Dai

CE No.: BEQ696

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: SHI Dai

CE No.: BEQ696

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: YUNG Kin

CE No.: BEZ276

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 03/2021

CE Name: SO Chiu Fung

CE No.: BFC353

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: SO Chiu Fung

CE No.: BFC353

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: NIU Xiao

CE No.: BFO764

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: NIU Xiao

CE No.: BFO764

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),



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whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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 Sihui

CE No.: BFS549

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 Sihui

CE No.: BFS549

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: HU Yong

CE No.: BGT644

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: HU Yong

CE No.: BGT644

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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 Jeremy Chai Yuen

CE No.: BHJ188

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: PIGOTT Christopher Charles

CE No.: BIH451

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: PIGOTT Christopher Charles

CE No.: BIH451

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



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CE Name: CHIN Chi Ho Stanley

CE No.: BIQ723

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: CHIN Chi Ho Stanley

CE No.: BIQ723

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 Bun Hei

CE No.: BIS018

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: LAM Bun Hei

CE No.: BIS018

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),



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whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: MOK Siu Hong

CE No.: BIY801

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: WANG Quan

CE No.: BJP307

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 Yiding

CE No.: BKW037

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: WAN Yiding

CE No.: BKW037

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



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(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: PAN Yinglong

CE No.: BLH884

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) 10 September 2021 (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: PAN Yinglong

CE No.: BLH884

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) 10 September 2021 (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: LEADSOM David James

CE No.: BNU517

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),



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whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: FUQUA Joseph Ben

CE No.: BOF969

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: FUQUA Joseph Ben

CE No.: BOF969

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: LI Hongxian

CE No.: BOF972

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: TING Zaixiong Shaun

CE No.: BOK227

Licence Type: Licensed Representative

Condition Added:



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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: KAJIYAMA Yohei

CE No.: BOP676

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: NOVAK Theodore Justin

CE No.: BOZ913

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: NOVAK Theodore Justin

CE No.: BOZ913

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:



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- (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: XIN Geng

CE No.: BPA015

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) 7 March 2021 (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: LIAN Katherine Qing

CE No.: BPS183

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: ILLINGWORTH Piers

CE No.: BPU518

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



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CE Name: TANG Jialei

CE No.: BPW433

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: JACOB Patrick Harry

CE No.: BPW830

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:

(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or

(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),

whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: CHENG Nga Sze

CE No.: BPW904

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: LIANG Lulu

CE No.: BPX022

Licence Type: Licensed Representative



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: KALE Aditya Ajit

CE No.: BPX071

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 Chang

CE No.: BPX390

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: PARK Jihyun

CE No.: BPX564

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:



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(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: QIAN Catherine Ruyun
CE No.: BPX566
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: KATO Akira
CE No.: BPY006
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: KATO Akira
CE No.: BPY006
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),



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whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: PLAUCHU Simon

CE No.: BPY238

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: MURSHED Izaan Mohammad

CE No.: BPY376

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: CHOI Yong Min

CE No.: BPY423

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.



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Condition Level: Type 1 Regulated Activity

CE Name: LU Yue

CE No.: BPY460

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 Jennifer Jihyun

CE No.: BPY519

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: HUH Taemin

CE No.: BPY754

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



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CE Name: LIU Yanming

CE No.: BPY788

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: SHEN Zhibo

CE No.: BPZ957

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 Pui Ni

CE No.: BQA616

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 Kaiwen

CE No.: BQB160

Licence Type: Licensed Representative



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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 Yucan

CE No.: BQC043

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: HUMPHREY Michael Robert

CE No.: BQC363

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: GAIO Alexandre Gilbert Gerard

CE No.: BQC467

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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 Yudian
CE No.: BQC791
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: FANG Yingxue
CE No.: BQC792
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: FANG Yingxue
CE No.: BQC792
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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: GAO Zhiheng

CE No.: BQD153

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: YEN Pin Chen

CE No.: BQE103

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 Xinyu

CE No.: BQE326

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),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: BROOKE Charles Stephen Anthony

CE No.: BQE331

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 Wei

CE No.: BQE370

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 Fangzheng

CE No.: BQE740

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

Condition Level: Type 1 Regulated Activity

CE Name: CHENET Thomas

CE No.: BQF142

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 Zhou

CE No.: BQF153

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 Chun Lung

CE No.: BQF283

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 03/2021

CE Name: SOLOVEV Aleksei

CE No.: BQF356

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 Wai Hon

CE No.: BQF616

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: BENJAMIN Marc David

CE No.: BQF774

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 Yiran

CE No.: BQG293

Licence Type: Licensed Representative



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: LE COURT Delphine Marie-Gabrielle

CE No.: BQG648

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: HENDERSON Paul Ifedayo

CE No.: BQG734

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: SUEN Lok Ho, Howard

CE No.: BQG764

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: DAVIES Maximilian Toby George

CE No.: BQG780

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: EVANS Rhodri Lloyd

CE No.: BQH313

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: SHISHKOV Svetoslav Dimitrov

CE No.: BQH327

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: QIU Jiangjie

CE No.: BQH353

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: MIKAMI Kazuhisa

CE No.: BQI678

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 Boyan

CE No.: BQJ743

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),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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 Fangyi

CE No.: BQK243

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 Sin Yeung

CE No.: BQM186

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: GRUSZEWSKI Toby William

CE No.: BQM539

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.



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Condition Level: Type 1 Regulated Activity

CE Name: WANG Kaifeng

CE No.: BQO197

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: KIMURA Tomonobu

CE No.: BQO841

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: QUINN Joseph

CE No.: BQP052

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 03/2021

CE Name: YUNG Steven

CE No.: BQP401

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: YE Wenkang

CE No.: BQP558

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: FU Ning

CE No.: BQQ088

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 Jianjiao

CE No.: BQQ137

Licence Type: Licensed Representative



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: LUK Kwun Hei

CE No.: BQQ345

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 Yajing

CE No.: BQQ386

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 Chen

CE No.: BQQ786

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:



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(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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 Ruoyang

CE No.: BQQ791

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: HE Shufen

CE No.: BQQ796

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: LIN Shaolong

CE No.: BQQ845

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



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(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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 Cho Ming Jeremy

CE No.: BQR013

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 Shiting

CE No.: BQR865

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: BULL Harriet Julia Sarah

CE No.: BQR870

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),



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whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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 Shing Yuk

CE No.: BQT179

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: QI Wenjing

CE No.: BQT185

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: CHOI Young Jun

CE No.: BQT888

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.



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Condition Level: Type 1 Regulated Activity

CE Name: CHONG Yi Chun

CE No.: BQU916

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: NGAN Siu Hang

CE No.: BQV992

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: TSUI Melanie Pui- Chi

CE No.: BQK519

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 10 regulated activity, shall lapse and cease to have effect:

(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or

(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),

whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 10 Regulated Activity



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CE Name: NG Yiu Man

CE No.: AGJ090

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: XIE Jia Yue

CE No.: AMU495

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: LUI Kin Wai

CE No.: ANM045

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: WONG Yui Ho

CE No.: AOR998

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.



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Condition Level: Type 2 Regulated Activity

CE Name: WONG Yui Ho

CE No.: AOR998

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: KIRK Bruce Stephen James

CE No.: ASZ619

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: LAM Wing Hei

CE No.: ATB985

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: KOK Sen Kan

CE No.: AUC483

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



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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: SHEK Wan Sang Andy

CE No.: BAG221

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: SHEK Wan Sang Andy

CE No.: BAG221

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: LIANG Lixuan

CE No.: BBE457

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: LIANG Lixuan

CE No.: BBE457



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: ZHU Yuxiang

CE No.: BER747

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: ZHU Yuxiang

CE No.: BER747

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:

- (a) accredited to the principal concerned of the licensee in respect of the activity; and
- (b) not subject to this condition.

Condition Level: Type 2 Regulated Activity

CE Name: LEUNG Chun Kin

CE No.: BOJ546

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



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(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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 Miao

CE No.: BOX399

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: ZHANG Miao

CE No.: BOX399

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: JACOB Patrick Harry

CE No.: BPW830

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



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CE Name: KALE Aditya Ajit

CE No.: BPX071

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: PARK Jihyun

CE No.: BPX564

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: PLAUCHU Simon

CE No.: BPY238

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: LI Yucan

CE No.: BQC043

Licence Type: Licensed Representative



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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: GAIO Alexandre Gilbert Gerard

CE No.: BQC467

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: CHENET Thomas

CE No.: BQF142

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 Zhou

CE No.: BQF153

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:



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(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: SOLOVEV Aleksei

CE No.: BQF356

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: BENJAMIN Marc David

CE No.: BQF774

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: HENDERSON Paul Ifedayo

CE No.: BQG734

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



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(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: MIKAMI Kazuhisa

CE No.: BQI678

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: PARK Yoon Hye

CE No.: BQJ934

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: SALL Ibrahima Zouwaya

CE No.: BQM154

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),



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whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: FU Ning

CE No.: BQQ088

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 Jianjiao

CE No.: BQQ137

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:

(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or

(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),

whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 2 Regulated Activity

CE Name: CAO Chen

CE No.: BQQ786

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.



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Condition Level: Type 2 Regulated Activity

CE Name: HE Shufen

CE No.: BQQ796

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: YU Cho Ming Jeremy

CE No.: BQR013

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 Shiting

CE No.: BQR865

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 03/2021

CE Name: BULL Harriet Julia Sarah
CE No.: BQR870
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: NG Shing Yuk
CE No.: BQT179
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: NGAN Siu Hang
CE No.: BQV992
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: YEUNG Chun Ki
CE No.: AEP502
Licence Type: Licensed Representative



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: PUN Tsz Sang

CE No.: AVM927

Licence Type: Licensed Representative - Responsible Officer

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: PUN Tsz Sang

CE No.: AVM927

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 3 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:

(a) accredited to the principal concerned of the licensee in respect of the activity; and

(b) not subject to this condition.

Condition Level: Type 3 Regulated Activity

CE Name: CHEUNG Chi Hang

CE No.: AWC633

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: SUEN Ka Kit

CE No.: BAM439

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 03/2021

CE Name: PIGOTT Christopher Charles

CE No.: BIH451

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 3 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:

- (a) accredited to the principal concerned of the licensee in respect of the activity; and
- (b) not subject to this condition.

Condition Level: Type 3 Regulated Activity

CE Name: PIGOTT Christopher Charles

CE No.: BIH451

Licence Type: Licensed Representative - Responsible Officer

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: DIU Felix Chi Ho

CE No.: BOB732

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: DIU Felix Chi Ho

CE No.: BOB732

Licence Type: Licensed Representative

Condition Removed:

For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.

Condition Level: Type 3 Regulated Activity

CE Name: CHAN Shu Kai

CE No.: AAJ626

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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 Che Chiu

CE No.: AAZ110

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: HO Chi Ming

CE No.: AAZ139

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: YIP Sze Ki

CE No.: ACL453

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: YIP Sze Ki

CE No.: ACL453



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: YUEN Lai Yan, Darius

CE No.: ACO079

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: MULCHANDANI Narayan Phatu

CE No.: ACZ175

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: MULCHANDANI Narayan Phatu

CE No.: ACZ175

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 03/2021

CE Name: LAI Chung Cheong

CE No.: ADZ903

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: LAI Chung Cheong

CE No.: ADZ903

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:

- (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
 - (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
- whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: CHEUNG Siu Fai

CE No.: AGD973

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:

- (a) accredited to the principal concerned of the licensee in respect of the activity; and
- (b) not subject to this condition.

Condition Level: Type 4 Regulated Activity

CE Name: CHEUNG Siu Fai

CE No.: AGD973

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),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: FU Yiu Hang

CE No.: AGH815

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: MAK Kit Ping

CE No.: AIR528

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: YIP Yuen Man, Letitia

CE No.: AIY988

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: SMITH Guy William

CE No.: AJO483

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: SMITH Guy William

CE No.: AJO483

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: XIE Jia Yue

CE No.: AMU495

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: LIANG Xiaoli

CE No.: ANG867

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: LIANG Xiaoli

CE No.: ANG867



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: LUI Winnoc

CE No.: AOS682

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: LUI Winnoc

CE No.: AOS682

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: HOR Kin Hung

CE No.: AOT575

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: KIM Eun Ae

CE No.: APR854

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: KIM Eun Ae

CE No.: APR854

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:

- (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
- (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: CHEUNG Kik

CE No.: ARC094

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:

- (a) accredited to the principal concerned of the licensee in respect of the activity; and
- (b) not subject to this condition.

Condition Level: Type 4 Regulated Activity

CE Name: CHEUNG Kik

CE No.: ARC094



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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 Chung Ping

CE No.: ARV063

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:

(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or

(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: LEUNG Chung Ping

CE No.: ARV063

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: GUO Wei

CE No.: ASU040

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



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(b) not subject to this condition.

Condition Level: Type 4 Regulated Activity

CE Name: KIRK Bruce Stephen James

CE No.: ASZ619

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 Yu

CE No.: ATI173

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: ZHANG Jincheng

CE No.: ATT807

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: BOAS Michael Joel

CE No.: AUF165

Licence Type: Licensed Representative - Responsible Officer



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: BOAS Michael Joel

CE No.: AUF165

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: KAO Cheng Yung

CE No.: AUW023

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: KAO Cheng Yung

CE No.: AUW023

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

Condition Level: Type 4 Regulated Activity

CE Name: LOMHOLT Axel Carl Christian

CE No.: AVI187

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: LOMHOLT Axel Carl Christian

CE No.: AVI187

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: FU Wang Kit

CE No.: AVM406

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: FUNG Yu Ching

CE No.: AWN156

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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 Yu Ching

CE No.: AWN156

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:

- (a) accredited to the principal concerned of the licensee in respect of the activity; and
- (b) not subject to this condition.

Condition Level: Type 4 Regulated Activity

CE Name: LIU Ge

CE No.: AXK573

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:

- (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
- (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: LIU Ge

CE No.: AXK573

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 To Wai

CE No.: AYD437



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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 To Wai

CE No.: AYD437

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: CHIU Ka Leung

CE No.: AYK457

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: LIU Chao

CE No.: AZH606

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 03/2021

CE Name: LIU Chao

CE No.: AZH606

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 Xi

CE No.: AZT130

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 Xi

CE No.: AZT130

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: TAI Christopher Hin-Long

CE No.: AZX289

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: TAI Christopher Hin-Long

CE No.: AZX289

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:

(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or

(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),

whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: HU Saisai

CE No.: BAB450

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: SHEK Wan Sang Andy

CE No.: BAG221

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),



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whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: SHEK Wan Sang Andy

CE No.: BAG221

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: NIE Zheng

CE No.: BAH325

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: NIE Zheng

CE No.: BAH325

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: TAM Chun Chiu

CE No.: BBB754

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:

- (a) accredited to the principal concerned of the licensee in respect of the activity; and
- (b) not subject to this condition.

Condition Level: Type 4 Regulated Activity

CE Name: TAM Chun Chiu

CE No.: BBB754

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: PAN Qi

CE No.: BBV884

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: PAN Qi

CE No.: BBV884

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 03/2021

CE Name: HIZON Karen Louise Hilado

CE No.: BDU666

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) 16/09/2021 (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 4 Regulated Activity

CE Name: XU Wei

CE No.: BEY955

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: XU Wei

CE No.: BEY955

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: SO Chiu Fung

CE No.: BFC353

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:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

- (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: SO Chiu Fung

CE No.: BFC353

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: NIU Xiao

CE No.: BFO764

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: NIU Xiao

CE No.: BFO764

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: LUO Ding

CE No.: BFS676



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: LUO Ding

CE No.: BFS676

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:

- (a) accredited to the principal concerned of the licensee in respect of the activity; and
- (b) not subject to this condition.

Condition Level: Type 4 Regulated Activity

CE Name: CHAN Wang

CE No.: BGO479

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: CHAN Wang

CE No.: BGO479

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



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(b) not subject to this condition.

Condition Level: Type 4 Regulated Activity

CE Name: LUI Cheuk Fung

CE No.: BGP038

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: LUI Cheuk Fung

CE No.: BGP038

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 Wen-Liang

CE No.: BHE181

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: SUN Qiwen

CE No.: BHZ320

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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 Mengyun

CE No.: BIB964

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

CE Name: CHAN Wai Sze

CE No.: BIN990

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: ZHANG Rujie

CE No.: BIQ311

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: ZHANG Rujie

CE No.: BIQ311



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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 Bun Hei

CE No.: BIS018

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:

- (a) accredited to the principal concerned of the licensee in respect of the activity; and
- (b) not subject to this condition.

Condition Level: Type 4 Regulated Activity

CE Name: LAM Bun Hei

CE No.: BIS018

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) 27 December 2020 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 2 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: LEE Chun Hin

CE No.: BIT239

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

(b) not subject to this condition.

Condition Level: Type 4 Regulated Activity

CE Name: LEE Chun Hin

CE No.: BIT239

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: GUO Jing

CE No.: BIU928

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: GUO Jing

CE No.: BIU928

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: DELORENZI Raffaele

CE No.: BJD135

Licence Type: Licensed Representative - Responsible Officer



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: DELORENZI Raffaele

CE No.: BJD135

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 Chenfeng

CE No.: BJT261

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:

- (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
- (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: JIANG Chenfeng

CE No.: BJT261

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

Condition Level: Type 4 Regulated Activity

CE Name: WONG Kin Chuen

CE No.: BKA550

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:

- (a) accredited to the principal concerned of the licensee in respect of the activity; and
- (b) not subject to this condition.

Condition Level: Type 4 Regulated Activity

CE Name: WONG Kin Chuen

CE No.: BKA550

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 Yiding

CE No.: BKW037

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: WAN Yiding

CE No.: BKW037

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: PAN Yinglong

CE No.: BLH884

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) 10 September 2021 (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 4 Regulated Activity

CE Name: PAN Yinglong

CE No.: BLH884

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) 10 September 2021 (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 4 Regulated Activity

CE Name: ZHAO Xiang

CE No.: BLN130

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 03/2021

CE Name: ZHAO Xiang

CE No.: BLN130

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: SHI Qi

CE No.: BMN445

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: ZHANG Yue

CE No.: BNL473

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: ZHANG Yue

CE No.: BNL473

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),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: LEADSOM David James

CE No.: BNU517

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: NOVAK Theodore Justin

CE No.: BOZ913

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: NOVAK Theodore Justin

CE No.: BOZ913

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 03/2021

CE Name: XIN Geng

CE No.: BPA015

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) 7 March 2021 (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 4 Regulated Activity

CE Name: LIAN Katherine Qing

CE No.: BPS183

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: KUAI Jian

CE No.: BPT856

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: KUAI Jian

CE No.: BPT856

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:



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(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: ILLINGWORTH Piers
CE No.: BPU518
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 Qilin
CE No.: BPV249
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: YANG Qilin
CE No.: BPV249
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),



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whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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 Chak Hon

CE No.: BPW107

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: LIANG Lulu

CE No.: BPX022

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: PARK Jihyun

CE No.: BPX564

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.



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Condition Level: Type 4 Regulated Activity

CE Name: QIAN Catherine Ruyun

CE No.: BPX566

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: WENG Moyue

CE No.: BPX684

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 Yanming

CE No.: BPY788

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



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CE Name: ZHANG Yi

CE No.: BPZ898

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:

(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or

(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),

whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: XU Yiren

CE No.: BPZ928

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 Pui Ni

CE No.: BQA616

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 Kaiwen

CE No.: BQB160

Licence Type: Licensed Representative



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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 Yucan

CE No.: BQC043

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: HUMPHREY Michael Robert

CE No.: BQC363

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:

- (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
- (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: GAO Zhiheng

CE No.: BQD153

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:



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(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: BROOKE Charles Stephen Anthony
CE No.: BQE331

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 Tianwei

CE No.: BQG295

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: LE COURT Delphine Marie-Gabrielle

CE No.: BQG648

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



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(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: GUO Shaoyu

CE No.: BQG663

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: SUEN Lok Ho, Howard

CE No.: BQG764

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: DAVIES Maximilian Toby George

CE No.: BQG780

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),



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whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: NIE ZHAOYI

CE No.: BQH122

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: QIU Jiangjie

CE No.: BQH353

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: LONG Hongquan

CE No.: BQI376

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.



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Condition Level: Type 4 Regulated Activity

CE Name: ZHANG Boyan

CE No.: BQJ743

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 Sin Yeung

CE No.: BQM186

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 Ying

CE No.: BQN184

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 03/2021

CE Name: WANG Kaifeng

CE No.: BQO197

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 Yingjie

CE No.: BQO618

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: KIMURA Tomonobu

CE No.: BQO841

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 Xutong

CE No.: BQP318

Licence Type: Licensed Representative



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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) 28 July 2021 (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 [%number%] 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 Xutong

CE No.: BQP318

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) 28 July 2021 (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 4 Regulated Activity

CE Name: YUNG Steven

CE No.: BQP401

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: YAN Min

CE No.: BQQ558

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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 Shaolong

CE No.: BQQ845

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:

(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: YU Cho Ming Jeremy

CE No.: BQR013

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 Kedi

CE No.: BQS297

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: CHOI Young Jun

CE No.: BQT888

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: WU Dongying

CE No.: BQT951

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 Xiaoyu

CE No.: BQV107

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),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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 Wing Hong, Jansen

CE No.: ACD417

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: LEE Tsz Ho

CE No.: AGF160

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: KAO Cheng Yung

CE No.: AUW023

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: LIANG Cheng Chung

CE No.: AVS465

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:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

- (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: SHEK Wan Sang Andy

CE No.: BAG221

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: SHEK Wan Sang Andy

CE No.: BAG221

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: WANG Xiaotian

CE No.: BAO743

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: WANG Xiaotian

CE No.: BAO743

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

This licence, in relation to Type 5 regulated activity, shall lapse and cease to have effect:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: LIANG Lixuan

CE No.: BBE457

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: LIANG Lixuan

CE No.: BBE457

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: ZHU Yuxiang

CE No.: BER747

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),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: ZHU Yuxiang

CE No.: BER747

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: SUN Qiwen

CE No.: BHZ320

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: SUN Qiwen

CE No.: BHZ320

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: LELAND Todd Wilson

CE No.: BLR545

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



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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: ZHANG Yue

CE No.: BNL473

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: ZHANG Yue

CE No.: BNL473

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: PARK Jihyun

CE No.: BPX564

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 5 regulated activity, shall lapse and cease to have effect:

(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or

(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 5 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

CE Name: PARK Yoon Hye

CE No.: BQJ934

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: CHAN Yee Mee, Emily

CE No.: AAE427

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: LEE Hon Man Eric

CE No.: ACB655

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

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: LAM Ka Cheong, Jason

CE No.: AEZ130



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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 Repurchases issued by the Commission.

Condition Level: Type 6 Regulated Activity

CE Name: WANG Li-wen

CE No.: AGP525

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: TONG Wai Tak, William

CE No.: AJB117

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: SMITH Guy William

CE No.: AJO483

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: SMITH Guy William

CE No.: AJO483

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:



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(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: SMITH Guy William

CE No.: AJO483

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: ABAGIAN Alex

CE No.: ALS080

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: FONG Kam Hung

CE No.: AML472

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: FONG Kam Hung

CE No.: AML472

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: YAN Monika

CE No.: ANA194

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: YAN Monika

CE No.: ANA194

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 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: DENG Jun

CE No.: APZ630

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: CHUNG Chi Kin, Kenneth

CE No.: ARB660

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 03/2021

CE Name: CHUNG Chi Kin, Kenneth

CE No.: ARB660

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: WONG Yin Kwan, Brenda

CE No.: ARH793

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: WONG Yin Kwan, Brenda

CE No.: ARH793

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: WU Junya

CE No.: ARO390

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: LEUNG Chi Kin

CE No.: ATV920

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: SUNG Ting Yee

CE No.: AUW414

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: SUNG Ting Yee

CE No.: AUW414

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: WONG Shing Hang

CE No.: AVM747

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: CHEUNG Kam Hong

CE No.: AVT081

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: CHEUNG Kam Hong

CE No.: AVT081

Licence Type: Licensed Representative - Responsible Officer



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: LUK Pui Chi

CE No.: AWJ279

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: LUK Pui Chi

CE No.: AWJ279

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: SHUM Ching Hei

CE No.: AWT804

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: REN Cheng

CE No.: AXC895

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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

Condition Level: Type 6 Regulated Activity

CE Name: CHEUNG Ho Yuen, Douglas

CE No.: AXV666

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: YAM Chak Sun

CE No.: AYG286

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: NG Kin Kwan

CE No.: AYT810

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: AU YEUNG Wai Kin

CE No.: AZJ599

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 03/2021

CE Name: AU YEUNG Wai Kin

CE No.: AZJ599

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: AU YEUNG Wai Kin

CE No.: AZJ599

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: TAI Christopher Hin-Long

CE No.: AZX289

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: TAI Christopher Hin-Long

CE No.: AZX289

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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 Wenjin

CE No.: BAK706

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: LAI Ki Cheong

CE No.: BBF446

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: MA Jianwei

CE No.: BDO483

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: MA Jianwei

CE No.: BDO483

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: MA Jianwei

CE No.: BDO483

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: YUNG Kin

CE No.: BEZ276

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: ZHAO Guangyuan

CE No.: BFM348

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: WONG Kai Yu

CE No.: BFM952

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



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(b) not subject to this condition.

Condition Level: Type 6 Regulated Activity

CE Name: WONG Kai Yu

CE No.: BFM952

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 Xin

CE No.: BGI637

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: LIU Xiao

CE No.: BHO362

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: LIU Xiao

CE No.: BHO362

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 03/2021

CE Name: LIU Xiao

CE No.: BHO362

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: YAU Tung Shing

CE No.: BHP483

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 Ling

CE No.: BJN297

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: COBEN Craig Bradley

CE No.: BPV438

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: COBEN Craig Bradley

CE No.: BPV438

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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 Licensing Examination for Securities and Futures Intermediaries (LE) Paper 5 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: TANG Jialei

CE No.: BPW433

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: LIANG Lulu

CE No.: BPX022

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: LU Yue

CE No.: BPY460

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



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(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: BASLER Matthew Howard

CE No.: BPY590

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: BASLER Matthew Howard

CE No.: BPY590

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 Licensing Examination for Securities and Futures Intermediaries (LE) Paper 5 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: HUH Taemin

CE No.: BPY754

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



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CE Name: SHEN Zhibo

CE No.: BPZ957

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: LIU Yudian

CE No.: BQC791

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: YAN Yiran

CE No.: BQG293

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: HENDERSON Paul Ifedayo

CE No.: BQG734

Licence Type: Licensed Representative



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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: FUNG Wing Yan

CE No.: BQH319

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: QIU Jiangjie

CE No.: BQH353

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 Fangyi

CE No.: BQK243

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:



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(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: GRUSZEWSKI Toby William

CE No.: BQM539

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: DUAN KaiZhong

CE No.: BQO342

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: KIMURA Tomonobu

CE No.: BQO841

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



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(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: YUNG Steven

CE No.: BQP401

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 Yajing

CE No.: BQQ386

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: LIU Ruoyang

CE No.: BQQ791

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),



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whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: CHONG Yi Chun

CE No.: BQU916

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:

(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or

(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),

whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 6 Regulated Activity

CE Name: MAILLEUX Sebastien, Andre, Paul

CE No.: ASQ093

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 7 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:

(a) accredited to the principal concerned of the licensee in respect of the activity; and

(b) not subject to this condition.

Condition Level: Type 7 Regulated Activity

CE Name: AU Tsan Sang

CE No.: AAF445

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 Him Chi, Angela Natasha

CE No.: AAW459

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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 Him Chi, Angela Natasha

CE No.: AAW459

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: LAI Chun Kong

CE No.: ABZ482

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: LUI Mei Mei

CE No.: ACJ982

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 03/2021

CE Name: LUI Mei Mei

CE No.: ACJ982

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: YIP Sze Ki

CE No.: ACL453

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 Sze Ki

CE No.: ACL453

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: MULCHANDANI Narayan Phatu

CE No.: ACZ175

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

Condition Level: Type 9 Regulated Activity

CE Name: MULCHANDANI Narayan Phatu

CE No.: ACZ175

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: GIBSON Michael

CE No.: ADG323

Licence Type: Licensed Representative

Condition Removed:

For Type 9 regulated activity ("the activity"), the licensee must, in the capacity as a responsible officer in managing or supervising the management of portfolios containing futures contracts for another person, act under the advice of another responsible officer who is:

(a) licensed for the activity without any condition which prohibits him/her from providing a service of managing a portfolio of futures contracts for another person;

(b) accredited to the principal concerned of the licensee in respect of the activity; and

(c) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: KIM Young Kun

CE No.: ADH570

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 03/2021

CE Name: KIM Young Kun

CE No.: ADH570

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 Kin Kong

CE No.: ADS751

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: YIP Kin Kong

CE No.: ADS751

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 Ka Lung

CE No.: ADZ376

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

Condition Level: Type 9 Regulated Activity

CE Name: CHAN Yiu Kwong

CE No.: AED596

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: CHEUNG Sze Hon, Heath

CE No.: AEI046

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: FONG Wai Lok, Raymond

CE No.: AFT306

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: TO Tsz Wai

CE No.: AFU687

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:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

- (a) accredited to the principal concerned of the licensee in respect of the activity; and
- (b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: TO Tsz Wai

CE No.: AFU687

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: FU Yiu Hang

CE No.: AGH815

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: YAN Chi Kwan

CE No.: AGL147

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: HUI Sai Tsun, Peter

CE No.: AHU751

Licence Type: Licensed Representative

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: MAK Kit Ping

CE No.: AIR528

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: TSANG Kennedy Kin Tak

CE No.: ALP977

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: TSANG Kennedy Kin Tak

CE No.: ALP977

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: SCHOLLUM Myo Wai

CE No.: AMP186



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: XIE Jia Yue

CE No.: AMU495

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: LEUNG Kit Yee, Elka

CE No.: AMW549

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: LIANG Xiaoli

CE No.: ANG867

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: LIANG Xiaoli

CE No.: ANG867

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: HOR Kin Hung

CE No.: AOT575

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: HOR Kin Hung

CE No.: AOT575

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 Shing Yip

CE No.: AQM559



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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 Shing Yip

CE No.: AQM559

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 Hanzhi

CE No.: ARA149

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: LEUNG Chung Ping

CE No.: ARV063

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),



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whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: LEUNG Chung Ping

CE No.: ARV063

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: YE Yingcong

CE No.: ARW530

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: YE Yingcong

CE No.: ARW530

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: WENG Youyi

CE No.: AVV680

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: WENG Youyi

CE No.: AVV680

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: LEUNG Kelvin Ming Yuen

CE No.: AWK629

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: LEUNG Kelvin Ming Yuen

CE No.: AWK629

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 03/2021

CE Name: FUNG Yu Ching

CE No.: AWN156

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: LIM Tak Hung

CE No.: AXP028

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 To Wai

CE No.: AYD437

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: LI To Wai

CE No.: AYD437

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: CHIU Ka Leung

CE No.: AYK457

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: LEE Ching

CE No.: AYK657

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 Chao

CE No.: AZH606

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 03/2021

CE Name: SHAO Ying

CE No.: AZQ933

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: TAI Christopher Hin-Long

CE No.: AZX289

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: TAI Christopher Hin-Long

CE No.: AZX289

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: HU Saisai

CE No.: BAB450

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: FAYARD Franck Nicolas Michel
CE No.: BBP230

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: FAYARD Franck Nicolas Michel
CE No.: BBP230

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: ZHANG Kangkang
CE No.: BBP542

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 03/2021

CE Name: ZHANG Kangkang

CE No.: BBP542

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 Calvin Su-chi

CE No.: BBU724

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:

(a) accredited to the principal concerned of the licensee in respect of the activity; and

(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: WONG Calvin Su-chi

CE No.: BBU724

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:

(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or

(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),

whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity

CE Name: WONG Kwok Lun, Clovis

CE No.: BCP173

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: NGO Hiu Fung

CE No.: BDX181

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: NGO Hiu Fung

CE No.: BDX181

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 Rui

CE No.: BEB344

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: LU Rui

CE No.: BEB344



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: YUAN Aaron

CE No.: BEH954

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: YUAN Aaron

CE No.: BEH954

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: XU Wei

CE No.: BEY955

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity

CE Name: XU Wei

CE No.: BEY955

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: SO Chiu Fung

CE No.: BFC353

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: SO Chiu Fung

CE No.: BFC353

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: NIU Xiao

CE No.: BFO764



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: NIU Xiao

CE No.: BFO764

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: LEUNG Su Lung

CE No.: BGA561

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: LEUNG Su Lung

CE No.: BGA561

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),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: LEUNG Su Lung

CE No.: BGA561

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: LEUNG Su Lung

CE No.: BGA561

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: CHAN Wang

CE No.: BGO479

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 03/2021

CE Name: CHAN Wang

CE No.: BGO479

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: LUI Cheuk Fung

CE No.: BGP038

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: LUI Cheuk Fung

CE No.: BGP038

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 Qing

CE No.: BGP173

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

Condition Level: Type 9 Regulated Activity

CE Name: LU Qing

CE No.: BGP173

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: COLBERG Adrian Alexander

CE No.: BHL332

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: COLBERG Adrian Alexander

CE No.: BHL332

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 Rujie

CE No.: BIQ311

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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 Rujie

CE No.: BIQ311

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: CHIN Chi Ho Stanley

CE No.: BIQ723

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: LAM Bun Hei

CE No.: BIS018

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 03/2021

CE Name: LAM Bun Hei

CE No.: BIS018

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: GUO Jing

CE No.: BIU928

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: GUO Jing

CE No.: BIU928

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: XIE Yuanxi

CE No.: BJP646

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: XIE Yuanxi

CE No.: BJP646

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 Wing Kit

CE No.: BJR907

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: JIANG Chenfeng

CE No.: BJT261

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: ZHAO Xiang

CE No.: BLN130



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: ZHAO Xiang

CE No.: BLN130

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 Yue

CE No.: BNL473

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 Yue

CE No.: BNL473

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),



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whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity

CE Name: TSANG Tsz Kin

CE No.: BNL499

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: CANG Biao

CE No.: BOE269

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: FUQUA Joseph Ben

CE No.: BOF969

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: FUQUA Joseph Ben

CE No.: BOF969

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: ZHU Yingwen

CE No.: BOL261

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: SHIN David Minchul

CE No.: BOW985

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: SHIN David Minchul

CE No.: BOW985

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: XIN Geng

CE No.: BPA015



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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: XIN Geng

CE No.: BPA015

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: XIN Geng

CE No.: BPA015

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) 7 March 2021 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 1 pursuant to the Guidelines on

Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity

CE Name: LAW Sze Chung

CE No.: BPL908

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



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(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: LAW Sze Chung

CE No.: BPL908

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: LIAN Katherine Qing

CE No.: BPS183

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: ILLINGWORTH Piers

CE No.: BPU518

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



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CE Name: ZHOU Chak Hon

CE No.: BPW107

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: ZHENG Tiantao

CE No.: BPX547

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: QIAN Catherine Ruyun

CE No.: BPX566

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: WENG Moyue

CE No.: BPX684

Licence Type: Licensed Representative



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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: GUPTA Vikash

CE No.: BPY677

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:

- (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
- (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity

CE Name: WONG Pui Ni

CE No.: BQA616

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: CHAN Hoi Ting

CE No.: BQC479

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:



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(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity

CE Name: GAO Zhiheng

CE No.: BQD153

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: BROOKE Charles Stephen Anthony

CE No.: BQE331

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: GUO Shaoyu

CE No.: BQG663

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



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(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: SUEN Lok Ho, Howard

CE No.: BQG764

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: LONG Hongquan

CE No.: BQI376

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 Boyan

CE No.: BQJ743

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),



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whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: PATHARE Rohan Ramesh

CE No.: BQL614

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: LEE Sin Yeung

CE No.: BQM186

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 Kaifeng

CE No.: BQO197

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.



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Condition Level: Type 9 Regulated Activity

CE Name: CHEN Yingjie

CE No.: BQO618

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:

(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or

(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),

whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity

CE Name: WONG Ka Fai

CE No.: BQR406

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:

(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or

(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),

whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity

CE Name: HUANG Shiting

CE No.: BQR865

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



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CE Name: HUANG Mu

CE No.: BQS336

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: CHOI Young Jun

CE No.: BQT888

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:

(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or

(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),

whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity

CE Name: LEE Pui Yu

CE No.: BQU992

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:

(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or

(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),

whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity

CE Name: WEI Min

CE No.: ASC827

Licence Type: Licensed Representative



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Condition Added:

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

Condition Level: Licence

CE Name: GONG Shu

CE No.: AXD116

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Licence

CE Name: HIZON Karen Louise Hilado

CE No.: BDU666

Licence Type: Licensed Representative

Condition Removed:

The licensee:

(1) shall not carry out the regulated activity(ies) in Hong Kong for more than 30 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: WU Jiaqing

CE No.: BFU119

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Licence

CE Name: CHEN Jiayi

CE No.: BFX533

Licence Type: Licensed Representative

Condition Removed:

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



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Condition Level: Licence

CE Name: ZHANG Mengyun

CE No.: BIB964

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Licence

CE Name: XING Yifan

CE No.: BJX197

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Licence

CE Name: WANG Yiqiu

CE No.: BKH331

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Licence

CE Name: PAN Yinglong

CE No.: BLH884

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Licence

CE Name: YANG Bo

CE No.: BMV352

Licence Type: Licensed Representative

Condition Removed:

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



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Condition Level: Licence

CE Name: YU Xiaoxiao

CE No.: BNA992

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Licence

CE Name: TING Zaixiong Shaun

CE No.: BOK227

Licence Type: Licensed Representative

Condition Removed:

The licensee:

(1) shall not carry out the regulated activity(ies) in Hong Kong for more than 30 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: WANG Ziwei

CE No.: BOZ639

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Licence

CE Name: CANG Biao

CE No.: BOE269

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



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CE Name: CHAN Shu Kai

CE No.: AAJ626

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: CHAN Tit Leung, Sunny

CE No.: ADP076

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: CHAU Paul

CE No.: AMH146

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: CHEUNG Sze Hon, Heath

CE No.: AEI046

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: CHU Chun Hung

CE No.: AXK728

Licence Type: Licensed Representative

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: IP Mei Shun

CE No.: AVP618

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: LAI Chun Kong

CE No.: ABZ482

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:

- (a) accredited to the principal concerned of the licensee in respect of the activity; and
- (b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: LAM Lai Heung

CE No.: AEP936

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: LEE Jeok

CE No.: ANH621

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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 Jeok

CE No.: ANH621

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: LEONG Vui Ling

CE No.: AEB584

Licence Type: Licensed Representative

Condition Removed:

For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:

- (a) accredited to the principal concerned of the licensee in respect of the activity; and
- (b) not subject to this condition.

Condition Level: Type 5 Regulated Activity

CE Name: LOONG Kwok Chueng

CE No.: AEU391

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: OW Dennis Kian Jing

CE No.: BDJ762

Licence Type: Licensed Representative

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: SCHOLLUM Myo Wai

CE No.: AMP186

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: WANG Ke

CE No.: BGN393

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: WILLIAMS Alexander Boyd

CE No.: BPY300

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 Ka Ching

CE No.: AGI520

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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: YAU Deirdre

CE No.: ADS781

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 Hui

CE No.: AOX819

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: ZHANG Xiangbing

CE No.: BGH429

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 Xiangbing

CE No.: BGH429

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 03/2021

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 Xiangbing

CE No.: BGH429

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 Xiangbing

CE No.: BGH429

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