



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

CE Name: Somerley Capital Limited

CE No.: BAU754

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: Powership Capital Management Limited

CE No.: BIV461

Licence Type: Licensed Corporation

Condition Added:

For Type 1 regulated activity, the licensee shall not engage in dealing activities other than -

- (a) underwriting and placing of securities;
- (b) communicating offers to effect dealings in securities to a corporation that is licensed by or registered with the Securities and Futures Commission for Type 1 regulated activity, in the names of the persons from whom those offers are received;
- (c) introducing persons to a corporation that is licensed by or registered with the Securities and Futures Commission for Type 1 regulated activity, in order that such persons may:
 - (i) effect dealings in securities; or
 - (ii) make offers to deal in securities; and
- (d) 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: Rainbow Capital (HK) Limited

CE No.: BPB716

Licence Type: Licensed Corporation

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: Guotai Junan Securities (Hong Kong) Limited

CE No.: ABY236

Licence Type: Licensed Corporation

Condition Added:

For Type 2 regulated activity, the licensee shall only engage in dealing in futures contracts for hedging purpose in relation to its activities as an issuer of products listed on the recognized stock market.

Condition Level: Type 2 Regulated Activity

CE Name: I-Access Investors Limited

CE No.: ALV032



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

Licence Type: Licensed Corporation

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: I-Access Investors Limited

CE No.: ALV032

Licence Type: Licensed Corporation

Condition Added:

For Type 3 regulated activity, the licensee shall not conduct business other than communicating offers of clients by phone to effect leveraged foreign exchange trading to Emperor International Exchange (Hong Kong) Company Limited.

Condition Level: Type 3 Regulated Activity

CE Name: Pine Peak Corporate Finance Limited

CE No.: BJL235

Licence Type: Licensed Corporation

Condition Added:

For Type 6 regulated activity, the licensee shall not act as sponsor in respect of an application for the listing on a recognized stock market of any securities apart from completing sponsor or compliance adviser work which it became contractually bound to complete prior to 20 March 2021.

Condition Level: Type 6 Regulated Activity

CE Name: Pine Peak Corporate Finance Limited

CE No.: BJL235

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.

Condition Level: Type 6 Regulated Activity

CE Name: COFCO Asset Management (International) Company Limited

CE No.: AZY974

Licence Type: Licensed Corporation

Condition Added:

For Type 9 regulated activity, the licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation.

Condition Level: Type 9 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

CE Name: Donvex Asia Capital Limited

CE No.: BAV343

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: Carrington Asset Management Limited

CE No.: BIB414

Licence Type: Licensed Corporation

Condition Added:

For Type 9 regulated activity, the licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation.

Condition Level: Type 9 Regulated Activity

CE Name: Solomon Capital Management Limited

CE No.: BOF835

Licence Type: Licensed Corporation

Condition Added:

For Type 9 regulated activity, the licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation.

Condition Level: Type 9 Regulated Activity

CE Name: OceanVast Capital Limited

CE No.: BPT399

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: COFCO Asset Management (International) Company Limited

CE No.: AZY974

Licence Type: Licensed Corporation

Condition Removed:

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

Condition Level: Licence



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

CE Name: COFCO Asset Management (International) Company Limited

CE No.: AZY974

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: Somerley Capital Limited

CE No.: BAU754

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: Somerley Capital Limited

CE No.: BAU754

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: Carrington Asset Management Limited

CE No.: BIB414

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: Powership Capital Management Limited

CE No.: BIV461

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: Solomon Capital Management Limited

CE No.: BOF835

Licence Type: Licensed Corporation

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: Solomon Capital Management Limited

CE No.: BOF835

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: YAU Chiu Tong

CE No.: AAH690

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: YAU Chiu Tong

CE No.: AAH690

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 Hoi Wai

CE No.: ADS048

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

(b) not subject to this condition.

Condition Level: Type 1 Regulated Activity

CE Name: CHAN Suk Chi

CE No.: AEI844

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: CHAU Shamrock Roy

CE No.: AEO767

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: CHUNG Francis Chuan-pu

CE No.: AEU334

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: CHEUNG Kam Ping

CE No.: AEX966

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

(b) not subject to this condition.

Condition Level: Type 1 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

CE Name: CHAN Lai Ngor

CE No.: AEZ697

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: KWAN Jennifer Yin Ping

CE No.: AGB992

Licence Type: Licensed Representative

Condition Removed:

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

- (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
- (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),

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

Condition Level: Type 1 Regulated Activity

CE Name: ZHENG Juan

CE No.: AGI798

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: MAIYA Parampally Murlidhar

CE No.: AGO391

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Type 1 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

CE Name: DING Xuebing

CE No.: AIZ252

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: DING Xuebing

CE No.: AIZ252

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: CHAN Hong Ming, Frank

CE No.: AJG444

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 Hong Ming, Frank

CE No.: AJG444

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: TSENG Tzu Wen, Maryann

CE No.: AKI550

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: TSENG Tzu Wen, Maryann

CE No.: AKI550

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: TSENG Tzu Wen, Maryann

CE No.: AKI550

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: LEUNG Bik San

CE No.: AKT369

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: CHUNG Ho Fai, Derek

CE No.: ALA688

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: CHUNG Ho Fai, Derek

CE No.: ALA688

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: BRYANT Steve Roger

CE No.: ALI655

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: WANG Nan

CE No.: ANS070



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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 Nan

CE No.: ANS070

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: WONG Shing Chi

CE No.: AOS348

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 Shing Chi

CE No.: AOS348

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 04/2021

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: CHIU Yee Wan

CE No.: AOZ097

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 Ching Wo

CE No.: APO049

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: MA Ching Wo

CE No.: APO049

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: HUI Wai Yan, Kelly

CE No.: APZ793

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: LIU Woei Shin

CE No.: AQP988

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 Woei Shin

CE No.: AQP988

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: JOSEPH Michael Eric

CE No.: ARH187

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 Yuanmo

CE No.: ARJ807

Licence Type: Licensed Representative - Responsible Officer

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 Yuanmo

CE No.: ARJ807

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: LIN John Jun

CE No.: ARM925

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: WANG Zhi

CE No.: ARO579

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: WANG Zhi

CE No.: ARO579

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

(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: YOSHINO Ai

CE No.: ARO626

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: YOSHINO Ai

CE No.: ARO626

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: KIRTON Daniel Earle William

CE No.: ASH434

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 1 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

CE Name: HE Jialin

CE No.: ASL683

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: HE Jialin

CE No.: ASL683

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: HALL Jeremy George

CE No.: ATD521

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: CHOI Tan Yee

CE No.: AUM132

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

Condition Level: Type 1 Regulated Activity

CE Name: CHOI Tan Yee

CE No.: AUM132

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: CHOI Tan Yee

CE No.: AUM132

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: SAWAI Ankit Kumar

CE No.: AUV595

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: KWAN Sin Hang

CE No.: AVF586

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:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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

Condition Level: Type 1 Regulated Activity

CE Name: NG Warren Brian Ka Hei

CE No.: AVN286

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: LEUNG Ho Ming Danny

CE No.: AVV519

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: CHAI Tak Loon

CE No.: AWH859

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: TAN Shuyue

CE No.: AWP011

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

CE Name: LAM Houston

CE No.: AWT986

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: YU Hsiao-Tsui

CE No.: AXG205

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: CHAN Man Fung

CE No.: AXN001

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 Hui

CE No.: AYS989

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: HU Han Shen Frank

CE No.: AYV783

Licence Type: Licensed Representative

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: CHENG Chi Kin

CE No.: AZL565

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: CHENG Chi Kin

CE No.: AZL565

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 Yangyang

CE No.: BAA704

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 04/2021

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: CHU Ka Siu

CE No.: BBK031

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: YEUNG Chun Yin

CE No.: BBZ245

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: HE Xin

CE No.: BDA090

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: HE Xin

CE No.: BDA090

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:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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

Condition Level: Type 1 Regulated Activity

CE Name: SU Pan

CE No.: BDE650

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 Qingchuan

CE No.: BDF375

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: LAU Gar Hung Christopher

CE No.: BDR387

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: LAU Gar Hung Christopher

CE No.: BDR387

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: POON Chung Keung

CE No.: BDU243

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: POON Chung Keung

CE No.: BDU243

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: CHUNG Chi Chuen Ryan

CE No.: BDV071

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: CHUNG Chi Chuen Ryan

CE No.: BDV071

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 04/2021

- (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: CHUNG Chi Chuen Ryan

CE No.: BDV071

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: TSANG Yat Lung

CE No.: BEC299

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: TSANG Yat Lung

CE No.: BEC299

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: YAO Zhengwei

CE No.: BEE981

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: LAI Yiu Kuen

CE No.: BEK732

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: WAN Sihui

CE No.: BFS549

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

- (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
- (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),

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

Condition Level: Type 1 Regulated Activity

CE Name: WAN Sihui

CE No.: BFS549

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

CE Name: LIN Jiusong

CE No.: BGK401

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: LUO Hao

CE No.: BGK468

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: LUO Hao

CE No.: BGK468

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

(b) not subject to this condition.

Condition Level: Type 1 Regulated Activity

CE Name: CHEN Wen-Liang

CE No.: BHE181

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: CHEN Jianfeng Peter

CE No.: BHM019

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: HO Sin Hung

CE No.: BHP299

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: HO Sin Hung

CE No.: BHP299

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: DONG Na

CE No.: BHR878



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: DONG Na

CE No.: BHR878

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: JOYCE John Collins

CE No.: BIB302

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: JOYCE John Collins

CE No.: BIB302

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),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: LI Meng

CE No.: BIX319

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: CHIA Shaw Ming

CE No.: BJM103

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: FUNG Ka Yin

CE No.: BJM219

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: WANG Bei

CE No.: BLK413

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:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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

Condition Level: Type 1 Regulated Activity

CE Name: WANG Bei

CE No.: BLK413

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: SUN Tianshu

CE No.: BLX804

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: SUN Tianshu

CE No.: BLX804

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: FURUTA Taketora

CE No.: BMP059



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: FURUTA Taketora

CE No.: BMP059

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: KU-MARTIN Rina, Man Sai

CE No.: BNB164

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: ZHU Jiang

CE No.: BNB630

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

(b) not subject to this condition.

Condition Level: Type 1 Regulated Activity

CE Name: ZHU Jiang

CE No.: BNB630

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: FAN Yun-Chieh

CE No.: BNO886

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: ZHOU Linghui

CE No.: BNW224

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 04/2021

CE Name: LIANG Lihua

CE No.: BNZ091

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: SEWARD Thomas William

CE No.: BOA532

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: SEWARD Thomas William

CE No.: BOA532

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: LOKESH Lekith Kumar Chikanayak

CE No.: BOB235

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),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: LOKESH Lekith Kumar Chikanayak

CE No.: BOB235

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: WEI Daren

CE No.: BOI623

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: GIARRATANO James Robert

CE No.: BOL534

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 04/2021

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

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

CE No.: BPA015

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: AHLERS Steffen

CE No.: BPE977

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: AW Yong Sheng

CE No.: BPE981

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 04/2021

(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: MC DERMOTT Toni Frances
CE No.: BPR462

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 Yang

CE No.: BPU163

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) 12 January 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: LIN Yang

CE No.: BPU163

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

(b) not subject to this condition.

Condition Level: Type 1 Regulated Activity

CE Name: LIN Yang

CE No.: BPU163

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: LIU Dan

CE No.: BPW745

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: LIN Kai

CE No.: BPX018

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 04/2021

CE Name: LI Xiuzhu

CE No.: BPX605

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: CHAKRABORTY Shounak

CE No.: BPX701

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: MUKHERJI Raja

CE No.: BPX956

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: KHOSA Amarik Singh

CE No.: BPY323

Licence Type: Licensed Representative



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: KIM Mu Seong

CE No.: BPY360

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 Zi Yue

CE No.: BPY505

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: KIM Eric Myung Joon

CE No.: BQA662

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 04/2021

(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: HENTHORN Kurt Davis

CE No.: BQA663

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 Li

CE No.: BQB508

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: NIPPRESS Leigh William

CE No.: BQC292

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 04/2021

(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: WONG Yuen Tung

CE No.: BQC375

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: YUAN Quan

CE No.: BQC376

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: CAI Qiyu

CE No.: BQC377

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 04/2021

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: LI Tianci

CE No.: BQC381

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: WANG Yuxi

CE No.: BQC524

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: LAU Wing Yuen, Whitney

CE No.: BQC532

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 04/2021

Condition Level: Type 1 Regulated Activity

CE Name: ERB Eric Thomas

CE No.: BQE052

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: YAMASHITA Ryosuke

CE No.: BQE468

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: CHAN Sik Lam

CE No.: BQE830

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 Sik Lam

CE No.: BQE830

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: CHOI Hyung-Jin

CE No.: BQG332

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: CHAN Yee Hang Alice

CE No.: BQG595

Licence Type: Licensed Representative

Condition Removed:

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

- (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
 - (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
- whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
- Condition Level: Type 1 Regulated Activity

CE Name: LI Ao

CE No.: BQG749

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 04/2021

(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: TAY Hui Yi

CE No.: BQH099

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 Mujun

CE No.: BQH170

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 Wing Chung

CE No.: BQI320

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 04/2021

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: XU Xueqing

CE No.: BQI515

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: QIAN Fangzheng

CE No.: BQJ978

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: PENG Cong

CE No.: BQK234

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 04/2021

Condition Level: Type 1 Regulated Activity

CE Name: MURRAYLEE Blaise Edward

CE No.: BQK600

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: HU Jerry

CE No.: BQL334

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: PEI Dandi

CE No.: BQL401

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 04/2021

CE Name: DING Danhao

CE No.: BQL551

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: MEREDITH John Patrick Paul

CE No.: BQL640

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: WENG Anyang

CE No.: BQM491

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 Haibin

CE No.: BQM497

Licence Type: Licensed Representative



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: MC KERNAN Eamonn Peter

CE No.: BQM936

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 Wenyi

CE No.: BQP045

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: TSE Kai Yan, Venus

CE No.: BQQ098

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 04/2021

(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: LI Huaxin

CE No.: BQQ112

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: BHANOT Rohan

CE No.: BQQ390

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 Wenbin

CE No.: BQQ793

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 04/2021

(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: BYUN Heesuk

CE No.: BQS080

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: HU Yi

CE No.: BQS128

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: WANG Sihao

CE No.: BQS629

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 04/2021

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: CHUNG Ka Pak

CE No.: BQT173

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 Songbo

CE No.: BQT635

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 Jizong

CE No.: BQU274

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 04/2021

Condition Level: Type 1 Regulated Activity

CE Name: XIONG Xueying

CE No.: BQV378

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: LAI Qiwen

CE No.: BQV868

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 Qingyun

CE No.: BQW104

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 04/2021

CE Name: LI Zihao

CE No.: BQW194

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 Pei Yee Jovina

CE No.: BQW994

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: LI Zhiyao

CE No.: BQY967

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 Hongda

CE No.: BQY997

Licence Type: Licensed Representative (Provisional Licence)



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: LIU Ying

CE No.: BRA248

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: LIU Xiaohan

CE No.: BQD008

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

CE Name: WONG Sze Nga Cecilia

CE No.: BQT324

Licence Type: Licensed Representative

Condition Removed:

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

(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 10 Regulated Activity

CE Name: LO Siu Fong, Regina
CE No.: ACB850
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: LO Siu Fong, Regina
CE No.: ACB850
Licence Type: Licensed Representative
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: PANG Ka Kon, Stephen
CE No.: ACW359
Licence Type: Licensed Representative - Responsible Officer
Condition Added:

For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 2 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

CE Name: AN Liyan

CE No.: AHS161

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: CREEDON Katherine Claire

CE No.: AQI626

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: CREEDON Katherine Claire

CE No.: AQI626

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: WANG Zhi

CE No.: ARO579

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),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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 2 Regulated Activity

CE Name: WANG Zhi

CE No.: ARO579

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: KIM Samuel, Nicolas

CE No.: ATX996

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: KIM Samuel, Nicolas

CE No.: ATX996

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: LI Cheng

CE No.: BBB742

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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 Cheng

CE No.: BBB742

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: LAI Yiu Kuen

CE No.: BEK732

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 2 Regulated Activity

CE Name: CHEN Yu

CE No.: BFD957

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 2 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

CE Name: CHEN Yu

CE No.: BFD957

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: MILLER Elizabeth Kathleen

CE No.: BGH558

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: MILLER Elizabeth Kathleen

CE No.: BGH558

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: CHIU Chun Lung

CE No.: BHX544

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: FURUTA Taketora

CE No.: BMP059

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: FURUTA Taketora

CE No.: BMP059

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: CHENG Xiongfei

CE No.: BNL345

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 Lihua

CE No.: BNZ091



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: WEI Daren

CE No.: BOI623

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 Miao

CE No.: BOX399

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: CHAKRABORTY Shounak

CE No.: BPX701

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

(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 2 Regulated Activity

CE Name: KIM Eric Myung Joon

CE No.: BQA662

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: HENTHORN Kurt Davis

CE No.: BQA663

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: LIU Li

CE No.: BQB508

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),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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 2 Regulated Activity

CE Name: LAU Wing Yuen, Whitney

CE No.: BQC532

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: QIAN Fangzheng

CE No.: BQJ978

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: MURRAYLEE Blaise Edward

CE No.: BQK600

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) 2/6/2021 (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 2 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

CE Name: DING Danhao

CE No.: BQL551

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: MEREDITH John Patrick Paul

CE No.: BQL640

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: LIN Wenyi

CE No.: BQP045

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 Huaxin

CE No.: BQQ112

Licence Type: Licensed Representative



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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 Wenbin

CE No.: BQQ793

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 2 Regulated Activity

CE Name: HU Yi

CE No.: BQS128

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 2 Regulated Activity

CE Name: CHEN Jizong

CE No.: BQU274

Licence Type: Licensed Representative

Condition Removed:

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

(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 2 Regulated Activity

CE Name: XIONG Xueying

CE No.: BQV378

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 Qingyun

CE No.: BQW104

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: LEE Pei Yee Jovina

CE No.: BQW994

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

(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 2 Regulated Activity

CE Name: YUEN Ying Ho

CE No.: ACK266

Licence Type: Licensed Representative - Responsible Officer

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: CHUNG Lai Yin

CE No.: ADA522

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: CHUNG Lai Yin

CE No.: ADA522

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: MAK Kwong Fai

CE No.: AEF530

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: MAK Kwong Fai

CE No.: AEF530

Licence Type: Licensed Representative - Responsible Officer

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: HUNG Siu Chun, Michael

CE No.: AGA524

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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: HUNG Siu Chun, Michael

CE No.: AGA524

Licence Type: Licensed Representative - Responsible Officer

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: LIU Lingyu

CE No.: BOF624

Licence Type: Licensed Representative

Condition Added:

This licence, in relation to Type 3 regulated activity, shall lapse and cease to have effect:

- (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
- (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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 3 Regulated Activity

CE Name: LIU Lingyu

CE No.: BOF624

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: LEE Mei Yee

CE No.: BQI189

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: CHENG Ka Chai

CE No.: BQO627

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 3 regulated activity, shall lapse and cease to have effect:

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

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

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

Condition Level: Type 3 Regulated Activity

CE Name: CHEUNG Kam Ping

CE No.: AEX966

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 04/2021

CE Name: CHAN Lai Ngor

CE No.: AEZ697

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: HO Kar Ming

CE No.: AFU408

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: KWAN Jennifer Yin Ping

CE No.: AGB992

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 4 Regulated Activity

CE Name: YEUNG Hon Keung

CE No.: AHZ655

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: YEUNG Hon Keung

CE No.: AHZ655

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: DING Xuebing

CE No.: AIZ252

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: DING Xuebing

CE No.: AIZ252

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

CE Name: LAI Kwok Leung

CE No.: AJE162

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: HOLLAND Thomas Patrick

CE No.: AJE846

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: HOLLAND Thomas Patrick

CE No.: AJE846

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: TONG Jiangqiao

CE No.: AKS644

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

Condition Level: Type 4 Regulated Activity

CE Name: TONG Jiangqiao

CE No.: AKS644

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 Bik San

CE No.: AKT369

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: CHUNG Ho Fai, Derek

CE No.: ALA688

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

CE Name: BRYANT Steve Roger

CE No.: ALI655

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: CHOW Chun Kit

CE No.: ALI715

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: CHAN Cheuk Wing, Andy

CE No.: ALV385

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: CHAN Cheuk Wing, Andy

CE No.: ALV385

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 04/2021

Condition Level: Type 4 Regulated Activity

CE Name: WONG Shing Chi

CE No.: AOS348

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 Shing Chi

CE No.: AOS348

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 Yee Wan

CE No.: AOZ097

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 4 Regulated Activity

CE Name: MA Ching Wo

CE No.: APO049

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 04/2021

- (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: MA Ching Wo

CE No.: APO049

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: LI Wan Yi

CE No.: APP544

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: LI Wan Yi

CE No.: APP544

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 Ka Ki, Katherine

CE No.: APY872



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: WAN Ka Ki, Katherine

CE No.: APY872

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: OU Hung Chieh

CE No.: AQE456

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: OU Hung Chieh

CE No.: AQE456

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 04/2021

(b) not subject to this condition.

Condition Level: Type 4 Regulated Activity

CE Name: JOSEPH Michael Eric

CE No.: ARH187

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: PUTATUNDA Rajarshi

CE No.: ARO118

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: HE Jialin

CE No.: ASL683

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: HE Jialin

CE No.: ASL683

Licence Type: Licensed Representative - Responsible Officer

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 04/2021

- (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: HALL Jeremy George

CE No.: ATD521

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: LIOU Wei Jei

CE No.: ATO438

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: LIOU Wei Jei

CE No.: ATO438

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

CE Name: PAU Tien Sum, Esme

CE No.: ATP176

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: PAU Tien Sum, Esme

CE No.: ATP176

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: SHEPPARD Neil Murray

CE No.: AUC311

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: SHEPPARD Neil Murray

CE No.: AUC311

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: LAM Sai Wing

CE No.: AVL286

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 Sai Wing

CE No.: AVL286

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 Shan Shan

CE No.: AVM545

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: CHAI Yunmin

CE No.: AWC185



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: CHAI Yunmin

CE No.: AWC185

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: WU Wing Hong, Simon

CE No.: AWH566

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: WU Wing Hong, Simon

CE No.: AWH566

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 04/2021

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: CHAI Tak Loon

CE No.: AWH859

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: ZHOU Enxu

CE No.: AWJ278

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: ZHOU Enxu

CE No.: AWJ278

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

CE Name: CHENG Ki Sum

CE No.: AXU779

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: CHENG Chi Kin

CE No.: AZL565

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: CHENG Chi Kin

CE No.: AZL565

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: MAO Yunjun

CE No.: AZR330

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 04/2021

(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: LI Yangyang

CE No.: BAA704

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: XIANG Xi

CE No.: BAP836

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: LIN Lan

CE No.: BCI747

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 04/2021

CE Name: HE Xin

CE No.: BDA090

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: HE Xin

CE No.: BDA090

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: LAU Gar Hung Christopher

CE No.: BDR387

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: LAU Gar Hung Christopher

CE No.: BDR387

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: CHUNG Chi Chuen Ryan

CE No.: BDV071

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: CHUNG Chi Chuen Ryan

CE No.: BDV071

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: LAI Yiu Kuen

CE No.: BEK732

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 04/2021

CE Name: DAI Xudong

CE No.: BEO462

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: DAI Xudong

CE No.: BEO462

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: FU Shiwei

CE No.: BFS397

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: LIU Bo

CE No.: BGA920

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),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: LUO Hao

CE No.: BGK468

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: LUO Hao

CE No.: BGK468

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: YANG Zhifan

CE No.: BGV223

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

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

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

Condition Level: Type 4 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

CE Name: YANG Zhifan

CE No.: BGV223

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 Kwok Wai

CE No.: BHF628

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 Kwok Wai

CE No.: BHF628

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: HO Sin Hung

CE No.: BHP299

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),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: HO Sin Hung

CE No.: BHP299

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: FAN Jiachen

CE No.: BHP648

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: FAN Jiachen

CE No.: BHP648

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: DONG Na

CE No.: BHR878

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: DONG Na

CE No.: BHR878

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: JOYCE John Collins

CE No.: BIB302

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: JOYCE John Collins

CE No.: BIB302

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

- (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
- (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),

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

Condition Level: Type 4 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

CE Name: ZHANG Rujie

CE No.: BIQ311

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: SHANG Quanxi

CE No.: BIQ844

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: TSAI John Jeng-Yow

CE No.: BIV592

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: WEI Yumou

CE No.: BLJ441

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

(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: WEI Yumou

CE No.: BLJ441

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 4 Regulated Activity

CE Name: WANG Bei

CE No.: BLK413

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: WANG Bei

CE No.: BLK413

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 04/2021

CE Name: HUANG Jin

CE No.: BMM592

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: FURUTA Taketora

CE No.: BMP059

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: FURUTA Taketora

CE No.: BMP059

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: ZHU Jiang

CE No.: BNB630

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 04/2021

Condition Level: Type 4 Regulated Activity

CE Name: ZHU Jiang

CE No.: BNB630

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: FAN Yun-Chieh

CE No.: BNO886

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: ZHOU Linghui

CE No.: BNW224

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

CE Name: LIANG Lihua

CE No.: BNZ091

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: SEWARD Thomas William

CE No.: BOA532

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: SEWARD Thomas William

CE No.: BOA532

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: LOKESH Lekith Kumar Chikanayak

CE No.: BOB235

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 04/2021

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: LOKESH Lekith Kumar Chikanayak

CE No.: BOB235

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 Kevin

CE No.: BOI082

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: CHEUNG Kevin

CE No.: BOI082

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: ECHEGORRI RODRIGUEZ Alejandro Elias

CE No.: BOP427

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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

CE No.: BPA015

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 4 Regulated Activity

CE Name: LIN Yang

CE No.: BPU163

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 04/2021

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: LIN Yang

CE No.: BPU163

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) 12 January 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: LIN Yang

CE No.: BPU163

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: MI Pan

CE No.: BPU303

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

Condition Level: Type 4 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

CE Name: MI Pan

CE No.: BPU303

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 4 Regulated Activity

CE Name: LIN Kai

CE No.: BPX018

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: GUO Kaize

CE No.: BQB504

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: YUAN Quan

CE No.: BQC376

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 04/2021

(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: CAI Qiyu

CE No.: BQC377

Licence Type: Licensed Representative

Condition Removed:

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

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

CE Name: LI Tianci

CE No.: BQC381

Licence Type: Licensed Representative

Condition Removed:

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

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

CE Name: WANG Yuxi

CE No.: BQC524

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

(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: YAMASHITA Ryosuke

CE No.: BQE468

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: CHAN Sik Lam

CE No.: BQE830

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: CHAN Sik Lam

CE No.: BQE830

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

Condition Level: Type 4 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

CE Name: GORHAM Philip Matthew

CE No.: BQF352

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: GORHAM Philip Matthew

CE No.: BQF352

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: CHOI Hyung-Jin

CE No.: BQG332

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 4 Regulated Activity

CE Name: LI Ao

CE No.: BQG749

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 04/2021

(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: TAY Hui Yi

CE No.: BQH099

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 Mujun

CE No.: BQH170

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 Gengxing

CE No.: BQH311

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

(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 Wing Chung

CE No.: BQI320

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 Xueqing

CE No.: BQI515

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: HU Jerry

CE No.: BQL334

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),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: WENG Anyang

CE No.: BQM491

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 Haibin

CE No.: BQM497

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: ZHAO Jiahe

CE No.: BQM994

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

Condition Level: Type 4 Regulated Activity

CE Name: TSE Kai Yan, Venus

CE No.: BQQ098

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: BHANOT Rohan

CE No.: BQQ390

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 Wenbin

CE No.: BQQ793

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 04/2021

CE Name: NEO Choon Hoong, Colin

CE No.: BQS037

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: BYUN Heesuk

CE No.: BQS080

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: SHINOHARA Naoto

CE No.: BQS086

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: WANG Sihao

CE No.: BQS629

Licence Type: Licensed Representative



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: LIU Songbo

CE No.: BQT635

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: CUI Minhui

CE No.: BQU944

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: WU Guoyuan

CE No.: BQV487

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 04/2021

(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: HE Zijng

CE No.: BQV967

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 Hongda

CE No.: BQY997

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: LIU Ying

CE No.: BRA248

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 04/2021

(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: LO Siu Fong, Regina

CE No.: ACB850

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: LO Siu Fong, Regina

CE No.: ACB850

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: HOLLAND Thomas Patrick

CE No.: AJE846

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

CE Name: HOLLAND Thomas Patrick

CE No.: AJE846

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: FURUTA Taketora

CE No.: BMP059

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: FURUTA Taketora

CE No.: BMP059

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: CHOI Hyung-Jin

CE No.: BQG332

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),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: CHAU Shamrock Roy

CE No.: AEO767

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: MAIYA Parampally Murlidhar

CE No.: AGO391

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: LI Ping Sun

CE No.: AHN494

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: LI Ping Sun

CE No.: AHN494

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:

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

Condition Level: Type 6 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

CE Name: SO Chi Keung, Jeffrey

CE No.: AMC258

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: TAN Leng Cheng, Aaron

CE No.: APF168

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: JOSEPH Michael Eric

CE No.: ARH187

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: LIN John Jun

CE No.: ARM925

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: CHAN Lung Ming

CE No.: ATT477

Licence Type: Licensed Representative

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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 Wai Hung

CE No.: AUN717

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.

Condition Level: Type 6 Regulated Activity

CE Name: NG Warren Brian Ka Hei

CE No.: AVN286

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: WAI Kwai Fong

CE No.: AWQ619

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: SUN Weijun

CE No.: AXZ547

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 04/2021

CE Name: HO Ting Kin

CE No.: AYI236

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.

Condition Level: Type 6 Regulated Activity

CE Name: YU Hui

CE No.: AYS989

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 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: AU YEUNG Wai Kin

CE No.: AZJ599

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: LI Yangyang

CE No.: BAA704



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: LEE Hin Pong

CE No.: BBQ604

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: LEE Hin Pong

CE No.: BBQ604

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 6 Regulated Activity

CE Name: SU Pan

CE No.: BDE650

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 6 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

CE Name: LIU Qingchuan

CE No.: BDF375

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: LIU Qingchuan

CE No.: BDF375

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: WONG Man Ho Henry

CE No.: BDJ300

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: TSANG Yat Lung

CE No.: BEC299

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: TSANG Yat Lung

CE No.: BEC299

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: KANG Jinghao

CE No.: BER256

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: KANG Jinghao

CE No.: BER256

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: KANG Jinghao

CE No.: BER256

Licence Type: Licensed Representative

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: LI Jie

CE No.: BES022

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

(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 6 Regulated Activity

CE Name: YEUNG Yee Kan

CE No.: BGP572

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: YEUNG Yee Kan

CE No.: BGP572

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: YEUNG Yee Kan

CE No.: BGP572

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: SWAN Andrew Christopher Seymour

CE No.: BHN965

Licence Type: Licensed Representative - Responsible Officer



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: LIU Xiao

CE No.: BHO362

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: LIU Xiao

CE No.: BHO362

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: MAK Suet Man

CE No.: BIB910

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 6 Regulated Activity

CE Name: LEUNG Siu Fung

CE No.: BJA647

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: LEUNG Siu Fung

CE No.: BJA647

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: CHIA Shaw Ming

CE No.: BJM103

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: ZHOU Linghui

CE No.: BNW224

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: SEWARD Thomas William

CE No.: BOA532

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

(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 6 Regulated Activity

CE Name: SEWARD Thomas William

CE No.: BOA532

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: MC DERMOTT Toni Frances

CE No.: BPR462

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: LI Xiuzhu

CE No.: BPX605

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),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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 6 Regulated Activity

CE Name: KHOSA Amarik Singh

CE No.: BPY323

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: KIM Mu Seong

CE No.: BPY360

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 Zi Yue

CE No.: BPY505

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

Condition Level: Type 6 Regulated Activity

CE Name: WONG Florian

CE No.: BQC211

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: XU Anqi

CE No.: BQC219

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: LEUNG Lok Kwan

CE No.: BQC222

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 6 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

CE Name: YUAN Quan

CE No.: BQC376

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: CAI Qiyu

CE No.: BQC377

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: LI Tianci

CE No.: BQC381

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 6 Regulated Activity

CE Name: WANG Yuxi

CE No.: BQC524

Licence Type: Licensed Representative



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: YAMASHITA Ryosuke

CE No.: BQE468

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: YANG Mujun

CE No.: BQH170

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: PEI Dandi

CE No.: BQL401

Licence Type: Licensed Representative

Condition Removed:

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

(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 6 Regulated Activity

CE Name: WENG Anyang

CE No.: BQM491

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 6 Regulated Activity

CE Name: ZHANG Haibin

CE No.: BQM497

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 6 Regulated Activity

CE Name: WANG Sihao

CE No.: BQS629

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

(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 6 Regulated Activity

CE Name: CHUNG Ka Pak

CE No.: BQT173

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: LI Zhiyao

CE No.: BQY967

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 Hongda

CE No.: BQY997

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),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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 6 Regulated Activity

CE Name: LIU Ying

CE No.: BRA248

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: BHANOT Rohan

CE No.: BQQ390

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 7 regulated activity, shall lapse and cease to have effect:

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

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

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

Condition Level: Type 7 Regulated Activity

CE Name: YAN Samuel C

CE No.: AEH944

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

Condition Level: Type 9 Regulated Activity

CE Name: YAN Samuel C

CE No.: AEH944

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 Kam Ping

CE No.: AEX966

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: CHEUNG Kam Ping

CE No.: AEX966

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: LIANG Yiming

CE No.: AEY432

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

(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: HO Kar Ming

CE No.: AFU408

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: KWAN Jennifer Yin Ping

CE No.: AGB992

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 Chun King

CE No.: AGQ451

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 04/2021

CE Name: LAW Cheuk Kin, Stephen

CE No.: AH1655

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) 4 May 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: POHLI Brian Albert

CE No.: AIR628

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: DING Xuebing

CE No.: AIZ252

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: DING Xuebing

CE No.: AIZ252

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),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: CHAN Hong Ming, Frank

CE No.: AJG444

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: CHAN Hong Ming, Frank

CE No.: AJG444

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: KO Oi Na

CE No.: ALF942

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: KO Oi Na

CE No.: ALF942

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: CHOW Chun Kit

CE No.: ALI715

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: LUK Ka Ping, Amy

CE No.: ALL503

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: LUK Ka Ping, Amy

CE No.: ALL503

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 04/2021

CE Name: CHAN Cheuk Wing, Andy

CE No.: ALV385

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: CHAN Cheuk Wing, Andy

CE No.: ALV385

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: CHIU Simon Siu Hung

CE No.: ALW291

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: SRIVASTAVA Manish

CE No.: ANE868

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 04/2021

Condition Level: Type 9 Regulated Activity

CE Name: SRIVASTAVA Manish

CE No.: ANE868

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 Ming Fung

CE No.: ANR264

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 Chi

CE No.: AOS348

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 Shing Chi

CE No.: AOS348

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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 Yee Wan

CE No.: AOZ097

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: TSE Phoebe Yuen Ting

CE No.: APH924

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: TSE Phoebe Yuen Ting

CE No.: APH924

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: DA ROCHA DE CASTRO E CORTE REAL Miguel Jose

CE No.: ARW732



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: CHUNG Kok Fook

CE No.: ASY849

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: CHUNG Kok Fook

CE No.: ASY849

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: CHAN Shan Shan

CE No.: AVM545

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: WU Wing Hong, Simon

CE No.: AWH566

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

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

Condition Level: Type 9 Regulated Activity

CE Name: WU Wing Hong, Simon

CE No.: AWH566

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: ZHOU Enxu

CE No.: AWJ278

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: ZHOU Enxu

CE No.: AWJ278

Licence Type: Licensed Representative - Responsible Officer

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 04/2021

(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: WU Tony Li Yang

CE No.: AWW749

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: CHENG Ki Sum

CE No.: AXU779

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 Zhiyu

CE No.: AYQ807

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 04/2021

CE Name: LEVINE Benjamin Leslie

CE No.: AZJ382

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: MAO Yunjun

CE No.: AZR330

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: SIU Wing Man

CE No.: BAJ174

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: WU Andrew Kai

CE No.: BAK957

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 04/2021

Condition Level: Type 9 Regulated Activity

CE Name: LAU Gar Hung Christopher

CE No.: BDR387

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: LAU Gar Hung Christopher

CE No.: BDR387

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: FU Shiwei

CE No.: BFS397

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: JACKMAN John Paul

CE No.: BFX755

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

(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: JACKMAN John Paul

CE No.: BFX755

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: LIU Bo

CE No.: BGA920

Licence Type: Licensed Representative

Condition Removed:

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

- (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
- (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),

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

Condition Level: Type 9 Regulated Activity

CE Name: FAN Jiachen

CE No.: BHP648

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: FAN Jiachen

CE No.: BHP648



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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 Mengyun

CE No.: BIB964

Licence Type: Licensed Representative

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) 19/9/2021(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: ZHANG Rujie

CE No.: BIQ311

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: SHANG Quanxi

CE No.: BIQ844

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: TSAI John Jeng-Yow

CE No.: BIV592

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: DELORENZI Raffaele

CE No.: BJD135

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: DELORENZI Raffaele

CE No.: BJD135

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 04/2021

CE Name: WEI Yumou

CE No.: BLJ441

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: WEI Yumou

CE No.: BLJ441

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: WANG Bei

CE No.: BLK413

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: HUANG Jin

CE No.: BMM592

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: MORI Masashi

CE No.: BMN428

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 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 9 Regulated Activity

CE Name: QI Xiaohe

CE No.: BMP042

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: WU Xinyu

CE No.: BMT294

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),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: WU Xinyu

CE No.: BMT294

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: FAN Yun-Chieh

CE No.: BNO886

Licence Type: Licensed Representative

Condition Removed:

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

- (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
- (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),

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

Condition Level: Type 9 Regulated Activity

CE Name: ZHOU Linghui

CE No.: BNW224

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 04/2021

CE Name: CHEUNG Kevin

CE No.: BOI082

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: ECHEGORRI RODRIGUEZ Alejandro Elias

CE No.: BOP427

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

- (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
- (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),

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

Condition Level: Type 9 Regulated Activity

CE Name: DING Hao

CE No.: BPG698

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: XIA Yang

CE No.: BPQ936

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 04/2021

(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: CHEN Yu Lung

CE No.: BPT486

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: LIN Yang

CE No.: BPU163

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: LIN Yang

CE No.: BPU163

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),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: LIN Yang

CE No.: BPU163

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) 12 January 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: YANG Qilin

CE No.: BPV249

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: YANG Qilin

CE No.: BPV249

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 04/2021

CE Name: FOK CHI MING

CE No.: BPW474

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: FOK CHI MING

CE No.: BPW474

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: LIU Dan

CE No.: BPW745

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 Dan

CE No.: BPW745

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: GOPALAKRISHNAN Prakash

CE No.: BPW944

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: PENG Kuan Shen

CE No.: BPX915

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 Jaejoon

CE No.: BQA942

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),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: GUO Kaize

CE No.: BQB504

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: LUNDSTROM Jan Benjamin Kenneth

CE No.: BQE582

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 9 Regulated Activity

CE Name: LI Ao

CE No.: BQG749

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

Condition Level: Type 9 Regulated Activity

CE Name: TAY Hui Yi

CE No.: BQH099

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 Wing Chung

CE No.: BQI320

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 Wai Hung Keith

CE No.: BQI477

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 04/2021

CE Name: VERB Agoston

CE No.: BQK484

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 Tse Hei

CE No.: BQL404

Licence Type: Licensed Representative

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) 14 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 9 Regulated Activity

CE Name: ZHOU Sihong

CE No.: BQO018

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: KU Ming Jen

CE No.: BQO818

Licence Type: Licensed Representative - Responsible Officer



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: KU Ming Jen

CE No.: BQO818

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: KU Ming Jen

CE No.: BQO818

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) 7 October 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: KU Ming Jen

CE No.: BQO818

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 04/2021

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: TSE Kai Yan, Venus

CE No.: BQQ098

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 Wenbin

CE No.: BQQ793

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: SHINOHARA Naoto

CE No.: BQS086

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

Condition Level: Type 9 Regulated Activity

CE Name: HE Zijong

CE No.: BQV967

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 9 Regulated Activity

CE Name: LIU Qiang

CE No.: AXS380

Licence Type: Licensed Representative

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: SEQUEIRA Jonathan Gabrijel

CE No.: BBF275

Licence Type: Licensed Representative

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: ZHU Yiqi

CE No.: BDQ465

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: ZHUANG Xiao

CE No.: BEB093



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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 Han

CE No.: BGK953

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: LIANG Yue

CE No.: BIL738

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: TAYLOR Emma Leah

CE No.: BMT377

Licence Type: Licensed Representative

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: LIU Yicheng

CE No.: BNI544

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

CE Name: FAN Hong

CE No.: BNQ776

Licence Type: Licensed Representative

Condition Added:

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: SU Zijian

CE No.: BNV821

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: CHAN Wang Wai

CE No.: BOE732

Licence Type: Licensed Representative

Condition Added:

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: AU Kai Tat

CE No.: AVB807

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: CHENG Ngai Chung

CE No.: ALZ081

Licence Type: Licensed Representative

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: FUNG Man Wa

CE No.: BQV999

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: FUNG Man Wa

CE No.: BQV999

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 04/2021

CE Name: HUANG Jie

CE No.: BBD156

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: HUANG Jin

CE No.: BMM592

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: HUANG Jin

CE No.: BMM592

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: JIANG Ziqi

CE No.: BHX700

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 04/2021

CE Name: JIN Yuanjie

CE No.: BIS262

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: LAI Ching Man, Jimmy

CE No.: APZ857

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: LEE Hoi Ying

CE No.: AOV787

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: NGAI To Nam

CE No.: AVV214

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: NGAI Wui Tung

CE No.: BEL021

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Type 6 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

CE Name: QIN Li

CE No.: BLV366

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: Serica Partners Asia Limited

CE No.: BED953

Licence Type: Licensed Corporation

Condition Removed:

Ms LEUNG Kar Cheung, Catherine shall not involve in the management or operations of the licensee.

Condition Level: Licence

CE Name: TAN Kai

CE No.: AVJ582

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: TONG Cheuk Fu Jeffery

CE No.: BLD317

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: TONG Cheuk Fu Jeffery

CE No.: BLD317

Licence Type: Licensed Representative

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 04/2021

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: YUEN Ying Ho

CE No.: ACK266

Licence Type: Licensed Representative - Responsible Officer

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: ZHANG Qilong

CE No.: AXY565

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 4 Regulated Activity

CE Name: ZHANG Qilong

CE No.: AXY565

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 04/2021

CE Name: ZHANG Yeshuang

CE No.: BHD212

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