

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”)

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
1.	Citibank, N.A. (“Citibank”) (AAP937)	29 March 2012	7 December 2012	<p>Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), Citibank may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that Citibank is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>Reasons for the revocation: The Commission has revoked the above modification as Citibank no longer needs the benefit of the modification upon the granting of the new modifications of the Rules to Citibank on the same date on which the modification was revoked.</p>
2.	Citigroup Global Markets Asia Limited (“CGMAL”) (AAA137)	29 March 2012	7 December 2012	<p>Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CGMAL may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that CGMAL is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>Reasons for the revocation: The Commission has revoked the above modification as CGMAL no longer needs the benefit of the modification upon the granting of the new modifications of the Rules to CGMAL on the same date on which the modification was revoked.</p>
3.	Citigroup Global Markets Hong Kong Futures and Securities Limited	29 March 2012	7 December 2012	<p>Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”)

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
	(“CGMFSL”) (ABM371)			<p>foreign currency), CGMFSL may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that CGMFSL is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>Reasons for the revocation: The Commission has revoked the above modification as CGMFSL no longer needs the benefit of the modification upon the granting of the new modifications of the Rules to CGMFSL on the same date on which the modification was revoked.</p>
4.	HSBC Broking Securities (Asia) Limited (“HCBS”) (ABX727)	26 June 2003	24 January 2013	<ol style="list-style-type: none"> 1. Modification of the requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual’s portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit the portfolio of a corporation whose sole business is to hold investments and which is wholly owned by the individual also to be taken into account. 2. Modification of the requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to be wholly owned by a corporation which is a professional investor within the description in section 3(c) of the Rules. 3. Modification of the requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”)

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to be wholly owned by more than one individual provided that each individual falls within the description in section 3(b) of the Rules.</p> <p>Reasons for the revocation: The Commission has revoked the above modifications as HCBS no longer needs the benefit of the modifications upon the granting of the new modifications of the Rules to HCBS on the same date on which the modifications were revoked.</p>
5.	ABN AMRO Bank N.V. (“AAB”) (AUR972)	18 January 2012	2 August 2013	<ol style="list-style-type: none"> 1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), AAB may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or: <ol style="list-style-type: none"> A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date. 2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), AAB may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”)

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), AAB may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>4. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), AAB may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”)

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>5. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in section 3(b), (c) of the Rules, subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as AAB no longer needs the benefit of the modification upon the granting of the new modifications of the Rules to AAB on the same date on which the modification was revoked.</p>
6.	BSI Investment Advisors Limited (“BSIIA”) (AUZ717)	12 November 2010	4 June 2014	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BSIIA may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”)

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BSIIA may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BSIIA may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that BSIIA is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BSIIA may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”)

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BSIIA may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as “any corporation (i) the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with any of his associates on a joint account,</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”)

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>falls within the description in paragraph (b); or</p> <p>(ii) the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as BSIIA no longer needs the benefit of the above modification on the ground that BSIIA has ceased business on 31 December 2013 and surrendered its licence to the Commission.</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
1.	The Hongkong and Shanghai Banking Corporation Limited (AAA523)	14 July 2003	13 July 2018	<ol style="list-style-type: none"> 1. Modification of the requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual’s portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit the portfolio of a corporation whose sole business is to hold investments and which is wholly owned by the individual also to be taken into account. 2. Modification of the requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual’s portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit a share of a portfolio held in a joint account by individuals who are not associates also to be taken into account where The Hongkong and Shanghai Banking Corporation Limited is reasonably satisfied that each of the individuals is beneficially entitled to a share of the portfolio of not less than \$8 million. 3. Modification of the requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to be wholly owned by a corporation which is a professional investor within the description in section 3(c) of the Rules. 4. Modification of the requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to be wholly owned by more than one individual provided that each individual falls within the description in section 3(b) of the Rules.

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				Reasons for the revocation: The Commission has revoked the above modification as the person no longer needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.
2.	HSBC Republic Bank (Suisse) SA (AGN346)	14 July 2003	13 July 2018	<ol style="list-style-type: none"> 1. Modification of the requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual’s portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit the portfolio of a corporation whose sole business is to hold investments and which is wholly owned by the individual also to be taken into account. 2. Modification of the requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual’s portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit a share of a portfolio held in a joint account by individuals who are not associates also to be taken into account where HSBC Republic Bank (Suisse) SA is reasonably satisfied that each of the individuals is beneficially entitled to a share of the portfolio of not less than \$8 million. 3. Modification of the requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to be wholly owned by a corporation which is a professional investor within the description in section 3(c) of the Rules.

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>4. Modification of the requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to be wholly owned by more than one individual provided that each individual falls within the description in section 3(b) of the Rules.</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no longer needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
3.	HSBC Securities (Asia) Ltd (AAB241)	19 September 2003	13 July 2018	<p>1. Modification of the requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual’s portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit the portfolio of a corporation whose sole business is to hold investments and which is wholly owned by the individual also to be taken into account.</p> <p>2. Modification of the requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to be wholly owned by a corporation which is a professional investor within the description in section 3(c) of the Rules.</p> <p>3. Modification of the requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to be wholly owned by more than one individual provided that each individual falls within the description in section 3(b) of the Rules.</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
4.	Morgan Stanley Dean Witter Asia Limited (AAD291)	16 December 2003	13 July 2018	<p>1. The requirement of section 3(a) of the Rules that for the purposes of ascertaining whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than \$40 million reference should be made to:</p> <ul style="list-style-type: none"> i. the most recent audited financial statement prepared in respect of the trust corporation within 16 months before the relevant date; ii. the most recent audited financial statement or statements prepared in respect of the trust or any of the trusts within 16 months before the relevant date; or iii. one or more custodian statements issued to the trust corporation in respect of the trust or any of the trusts within 12 months before the relevant date <p>is modified to permit reference also to be made to:</p> <ul style="list-style-type: none"> A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside of Hong Kong within 12 months before the relevant date; or B. a certificate issued by an auditor, a professional accountant or a custodian of the trust or any of the trusts within 12 months before the relevant date.

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>2. The requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual’s portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit the portfolio of a corporation whose principal businesses include the holding of investments and which is wholly owned by the individual also to be taken into account.</p> <p>3. The requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual’s portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit a share of a portfolio held in a joint account by individuals who are not associates also to be taken into account where Morgan Stanley Dean Witter Asia Limited is reasonably satisfied that each of the individuals is beneficially entitled to a share of the portfolio of not less than \$8 million each.</p> <p>4. The requirement of section 3(b) of the Rules that for the purposes of ascertaining whether an individual, either alone or with any of his associates on a joint account, has a portfolio of not less than \$8 million reference should be made to:</p> <ul style="list-style-type: none"> i. a certificate issued by an auditor or a professional accountant of the individual within 12 months before the relevant date; or ii. one or more custodian statements issued to the individual (either alone or with the associate) within 12 months before the relevant date <p>is modified to permit reference also to be made to:</p> <ul style="list-style-type: none"> A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside of Hong Kong within 12 months before the relevant date; or

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>B. a certificate issued by a custodian of the individual within 12 months before the relevant date.</p> <p>5. The requirement of section 3(c) of the Rules that for the purposes of ascertaining whether a corporation or partnership has a portfolio of not less than \$8 million or total assets of not less than \$40 million reference should be made to:</p> <ul style="list-style-type: none"> i. the most recent audited financial statement prepared in respect of the corporation or partnership within 16 months before the relevant date; or ii. one or more custodian statements issued to the corporation or partnership within 12 months before the relevant date <p>is modified to permit reference also to be made to:</p> <ul style="list-style-type: none"> A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside of Hong Kong within 12 months before the relevant date; or B. a certificate issued by an auditor, a professional accountant or a custodian of the corporation or partnership within 12 months before the relevant date. <p>6. The requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to have principal businesses including the holding of investments provided that it is wholly owned by one or more persons, each of whom falls within the descriptions in sections 3(b), 3(c) or 3(d) of the Rules or paragraphs (a), (d), (e), (f), (g) or (h) of the definition for “professional</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>investor” in Part 1 of Schedule 1 to the Securities and Futures Ordinance.</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no longer needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
5.	Morgan Stanley Dean Witter Futures (Hong Kong) Limited (AAE964)	16 December 2003	13 July 2018	<p>1. The requirement of section 3(a) of the Rules that for the purposes of ascertaining whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than \$40 million reference should be made to:</p> <ul style="list-style-type: none"> i. the most recent audited financial statement prepared in respect of the trust corporation within 16 months before the relevant date; ii. the most recent audited financial statement or statements prepared in respect of the trust or any of the trusts within 16 months before the relevant date; or iii. one or more custodian statements issued to the trust corporation in respect of the trust or any of the trusts within 12 months before the relevant date <p>is modified to permit reference also to be made to:</p> <ul style="list-style-type: none"> A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside of Hong Kong within 12 months before the relevant date; or B. a certificate issued by an auditor, a professional accountant or a custodian of the trust or any of the trusts within 12 months before the relevant date. <p>2. The requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual’s portfolio is not less than \$8 million,</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit the portfolio of a corporation whose principal businesses include the holding of investments and which is wholly owned by the individual also to be taken into account.</p> <p>3. The requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual’s portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit a share of a portfolio held in a joint account by individuals who are not associates also to be taken into account where Morgan Stanley Dean Witter Futures (Hong Kong) Limited is reasonably satisfied that each of the individuals is beneficially entitled to a share of the portfolio of not less than \$8 million each.</p> <p>4. The requirement of section 3(b) of the Rules that for the purposes of ascertaining whether an individual, either alone or with any of his associates on a joint account, has a portfolio of not less than \$8 million reference should be made to:</p> <ul style="list-style-type: none"> i. a certificate issued by an auditor or a professional accountant of the individual within 12 months before the relevant date; or ii. one or more custodian statements issued to the individual (either alone or with the associate) within 12 months before the relevant date <p>is modified to permit reference also to be made to:</p> <ul style="list-style-type: none"> A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside of Hong Kong within 12 months before the relevant date; or B. a certificate issued by a custodian of the individual within 12 months before the relevant date.

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>5. The requirement of section 3(c) of the Rules that for the purposes of ascertaining whether a corporation or partnership has a portfolio of not less than \$8 million or total assets of not less than \$40 million reference should be made to:</p> <ul style="list-style-type: none"> i. the most recent audited financial statement prepared in respect of the corporation or partnership within 16 months before the relevant date; or ii. one or more custodian statements issued to the corporation or partnership within 12 months before the relevant date <p>is modified to permit reference also to be made to:</p> <ul style="list-style-type: none"> A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside of Hong Kong within 12 months before the relevant date; or B. a certificate issued by an auditor, a professional accountant or a custodian of the corporation or partnership within 12 months before the relevant date. <p>6. The requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to have principal businesses including the holding of investments provided that it is wholly owned by one or more persons, each of whom falls within the descriptions in sections 3(b), 3(c) or 3(d) of the Rules or paragraphs (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Securities and Futures Ordinance.</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

6.	Hang Seng Bank Limited (AAH297)	2 January 2004	13 July 2018	<ol style="list-style-type: none"> 1. Modification of the requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual’s portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit the portfolio of a corporation whose sole business is to hold investments and which is wholly owned by the individual also to be taken into account. 2. Modification of the requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual’s portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit a share of a portfolio held in a joint account by individuals who are not associates also to be taken into account where Hang Seng Bank Limited is reasonably satisfied that each of the individuals is beneficially entitled to a share of the portfolio of not less than \$8 million. 3. Modification of the requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to be wholly owned by a corporation which is a professional investor within the description in section 3(c) of the Rules. 4. Modification of the requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to be wholly owned by more than one individual provided that each individual falls within the description in section 3(b) of the Rules. <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the</p>
----	---------------------------------	----------------	--------------	--

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

7.	Goldman Sachs (Asia) L.L.C. (ACC536)	5 March 2004	13 July 2018	<p>1. The requirement of section 3(a) of the Rules that for the purposes of ascertaining whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than \$40 million reference should be made to:</p> <ul style="list-style-type: none"> i. the most recent audited financial statement prepared in respect of the trust corporation within 16 months before the relevant date; ii. the most recent audited financial statement or statements prepared in respect of the trust or any of the trusts within 16 months before the relevant date; or iii. one or more custodian statements issued to the trust corporation in respect of the trust or any of the trusts within 12 months before the relevant date <p>is modified to permit reference also to be made to:</p> <ul style="list-style-type: none"> A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside of Hong Kong within 12 months before the relevant date; or B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date. <p>2. The requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual’s portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit the portfolio of a corporation whose principal businesses include the holding of investments and which is wholly owned by the individual also to be taken into account.</p> <p>3. The requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual’s portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit a share of a portfolio held in a joint account by individuals who</p>
----	--------------------------------------	--------------	--------------	--

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>are not associates also to be taken into account where <i>Goldman Sachs (Asia) L.L.C.</i> is reasonably satisfied that each of the individuals is beneficially entitled to a share of the portfolio of not less than \$8 million each.</p> <p>4. The requirement of section 3(b) of the Rules that for the purposes of ascertaining whether an individual, either alone or with any of his associates on a joint account, has a portfolio of not less than \$8 million reference should be made to:</p> <ul style="list-style-type: none"> i. a certificate issued by an auditor or a professional accountant of the individual within 12 months before the relevant date; or ii. one or more custodian statements issued to the individual (either alone or with the associate) within 12 months before the relevant date <p>is modified to permit reference also to be made to:</p> <ul style="list-style-type: none"> A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside of Hong Kong within 12 months before the relevant date; or B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date. <p>5. The requirement of section 3(c) of the Rules that for the purposes of ascertaining whether a corporation or partnership has a portfolio of not less than \$8 million or total assets of not less than \$40 million reference should be made to:</p> <ul style="list-style-type: none"> i. the most recent audited financial statement prepared in respect of the corporation or partnership within 16 months before the relevant date; or ii. one or more custodian statements issued to the corporation or partnership within 12 months before the relevant date

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>is modified to permit reference also to be made to:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside of Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. The requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to have principal businesses including the holding of investments provided that it is wholly owned by one or more persons, each of whom falls within the descriptions in sections 3(b), 3(c) or 3(d) of the Rules or paragraphs (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Securities and Futures Ordinance.</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no longer needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
8.	BNP Paribas Peregrine Securities Limited (AAF669)	6 August 2004	13 July 2018	<p>1. The requirement of section 3(a) of the Rules that for the purposes of ascertaining whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than \$40 million, reference should be made to:</p> <p>i. the most recent audited financial statement prepared in respect of the trust corporation within 16 months before the relevant date;</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>ii. the most recent audited financial statement or statements prepared in respect of the trust or any of the trusts within 16 months before the relevant date; or</p> <p>iii. one or more custodian statements issued to the trust corporation in respect of the trust or any of the trusts within 12 months before the relevant date</p> <p>is modified to permit reference also to be made to:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside of Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. The requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual’s portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit the portfolio of a corporation whose principal businesses include the holding of investments and which is wholly owned by the individual also to be taken into account.</p> <p>3. The requirement of section 3(b) of the Rules that for the purposes of ascertaining whether an individual, either alone or with any of his associates on a joint account, has a portfolio of not less than \$8 million, reference should be made to:</p> <p>i. a certificate issued by an auditor or a professional accountant of the individual within 12 months before the relevant date; or</p> <p>ii. one or more custodian statements issued to the individual (either alone or with the associate) within 12 months before the relevant date</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>is modified to permit reference also to be made to:</p> <ul style="list-style-type: none"> A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside of Hong Kong within 12 months before the relevant date; or B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date. <p>4. The requirement of section 3(c) of the Rules that for the purposes of ascertaining whether a corporation or partnership has a portfolio of not less than \$8 million or total assets of not less than \$40 million, reference should be made to:</p> <ul style="list-style-type: none"> i. the most recent audited financial statement prepared in respect of the corporation or partnership within 16 months before the relevant date; or ii. one or more custodian statements issued to the corporation or partnership within 12 months before the relevant date <p>is modified to permit reference also to be made to:</p> <ul style="list-style-type: none"> A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside of Hong Kong within 12 months before the relevant date; or B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date. <p>5. The requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>3(b) of the Rules is modified to permit such a corporation to have principal businesses that is wholly owned by one or more persons, each of whom falls within the descriptions in sections 3(b) or 3(c) of the Rules or paragraph (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Securities and Futures Ordinance.</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
9.	KGI Asia Limited (“KGIA”)	16 February 2005	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than \$40 million, KGIA may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than \$8 million, KGIA may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than \$8 million, KGIA may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that KGIA is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than \$8 million (or its equivalent in any other currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than \$8 million, KGIA may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than \$8 million or total assets of not less than \$40 million, KGIA may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
10.	Standard Chartered Bank (Hong Kong) Limited (“SCBHK”) (AJ1614)	25 April 2007	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than \$40 million, SCBHK may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than \$8 million, SCBHK may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than \$8 million, SCBHK may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that SCBHK is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than \$8 million (or its equivalent in any other currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than \$8 million, SCBHK may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than \$8 million or total assets of not less than \$40 million, SCBHK may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				Reasons for the revocation: The Commission has revoked the above modification as the person no longer needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.
11.	Deutsche Bank Aktiengesellschaft, Hong Kong Branch (“DBHK”)	12 June 2007	13 July 2018	<ol style="list-style-type: none"> 1. Modification of the requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual’s portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit the portfolio of a corporation whose sole business is to hold investments and which is wholly owned by the individual also to be taken into account. 2. Modification of the requirement of section 3(b) of the Rules that for the purposes of assessing whether an individual’s portfolio is not less than \$8 million, only the portfolio of an individual, held either alone or with any of his associates on a joint account, will be taken into account is modified to permit a share of a portfolio held in a joint account by individuals who are not associates also to be taken into account where DBHK is reasonably satisfied that each of the individuals is beneficially entitled to a share of the portfolio of not less than \$8 million. 3. Modification of the requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to be wholly owned by more than one individual provided that each individual falls within the description in section 3(b) of the Rules. 4. Modification of the requirement of section 3(d) of the Rules that for the purposes of assessing whether a corporation is a professional

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>investor, that corporation must have a sole business of holding investments and be wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in section 3(b) of the Rules is modified to permit such a corporation to be wholly owned by a corporation which is a professional investor within the description in section 3(c) of the Rules.</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no longer needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
12.	Societe Generale Bank & Trust (“SGBT”)	28 September 2007	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), SGBT may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <ul style="list-style-type: none"> A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date. <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), SGBT may also take into account the portfolio of any corporation which is wholly owned by</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>the individual and the principal businesses of which include the holding of investments.</p> <ol style="list-style-type: none"> 3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), SGBT may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that SGBT is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any other currency) of the portfolio held in that joint account. 4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any other currency), SGBT may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or: <ol style="list-style-type: none"> A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date. 5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), SGBT may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
13.	BOCI Securities Limited (“BOCIS”) (AAC298)	23 November 2007	13 July 2018	<p>1. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>foreign currency), BOCIS may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BOCIS may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that BOCIS is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BOCIS may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>4. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BOCIS may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>5. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
14.	BNP Paribas Private Bank (“BNPPPB”)	15 April 2008	13 July 2018	1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
	(AHR124)			<p>corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BNPPPB may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BNPPPB may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BNPPPB may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that BNPPPB is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BNPPPB may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BNPPPB may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
15.	Lehman Brothers Asia Limited (“LBAL”) (AAE689)	15 April 2008	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), LBAL may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), LBAL may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), LBAL may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that LBAL is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any other currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any other currency), LBAL may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p style="margin-left: 40px;">A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p style="margin-left: 40px;">B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), LBAL may</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>B. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>C. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(iii) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(iv) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no longer needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
16.	Lehman Brothers Futures Asia Limited (“LBFAL”) (ACN180)	15 April 2008	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), LBFAL may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), LBFAL may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), LBFAL may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that LBFAL is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any other currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>a portfolio of not less than HK\$8 million (or its equivalent in any other currency), LBFAL may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), LBFAL may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
17.	Lehman Brothers Securities Asia Limited (“LBSAL”) (AAE656)	15 April 2008	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), LBSAL may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>currency), LBSAL may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), LBSAL may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that LBSAL is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any other currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any other currency), LBSAL may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), LBSAL may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
18.	Bank SinoPac (“BSP”) (ABR747)	16 June 2008	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>equivalent in any foreign currency), BSP may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <ul style="list-style-type: none"> A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date. <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BSP may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BSP may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that BSP is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>foreign currency), BSP may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BSP may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as:</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
19.	Credit Suisse ("CS") (AAP920)	23 June 2008	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CS may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>foreign currency), CS may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CS may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that CS is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CS may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p style="padding-left: 40px;">A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p style="padding-left: 40px;">B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CS may</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
20.	Credit Suisse (Hong Kong) Limited (“CSHK”) (AAO017)	23 June 2008	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CSHK may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSHK may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSHK may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that CSHK is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSHK may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p style="padding-left: 40px;">A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p style="padding-left: 40px;">B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CSHK may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p style="padding-left: 40px;">A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p style="padding-left: 40px;">B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
21.	Credit Suisse Securities (Hong Kong) Limited (“CSSHK”) (ACB048)	23 June 2008	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CSSHK may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSSHK may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSSHK may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that CSSHK is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSSHK may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CSSHK may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.
22.	Credit Suisse Futures (Hong Kong) Limited (“CSFHK”) (ACO143)	23 June 2008	13 July 2018	<ol style="list-style-type: none"> 1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CSFHK may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or: <ol style="list-style-type: none"> A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date. 2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSFHK may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments. 3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSFHK may also take into account a share of a portfolio held in a joint account by the individual and other

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>individual(s) who are not associates, provided that CSFHK is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSFHK may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CSFHK may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>6. Section 3(d) of the Rules shall be modified to read as</p> <p style="padding-left: 40px;">“any corporation</p> <p style="padding-left: 40px;">(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p style="padding-left: 40px;">(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
23.	Credit Suisse Asset Management (Hong Kong) Limited (“CSAMHK”) (ALP545)	23 June 2008	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CSAMHK may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p style="padding-left: 40px;">A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p style="text-align: right;">outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSAMHK may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSAMHK may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that CSAMHK is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSAMHK may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CSAMHK may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no longer needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
24.	Credit Suisse Solution Partners (Hong Kong) Limited (“CSSPHK”) (ALC490)	23 June 2008	13 July 2018	<ol style="list-style-type: none"> 1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CSSPHK may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or: <ol style="list-style-type: none"> A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date. 2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSSPHK may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments. 3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSSPHK may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that CSSPHK is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CSSPHK may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CSSPHK may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
25.	Fubon Bank (Hong Kong) Limited (“FBHK”) (AAA582)	11 July 2008	13 July 2018	Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), FBHK may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				Reasons for the revocation: The Commission has revoked the above modification as the person no longer needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.
26.	Deutsche Bank Aktiengesellschaft, Hong Kong Branch (“DBHK”) (AAK077)	24 July 2008	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), DBHK may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), DBHK may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>3. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), DBHK may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
27.	UBS AG (AEP554)	10 November 2008	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), UBS AG may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>B. a certificate issued by an auditor, a professional accountant or a custodian of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), UBS AG may also take into account the portfolio of a corporation whose sole business is to hold investments and which is wholly owned by the individual.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), UBS AG may also take into account a share of a portfolio held in a joint account by the individuals who are not associates, provided that UBS AG is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), UBS AG may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate issued by a custodian of the individual within 12 months before the relevant date.</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), UBS AG may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate issued by an auditor, a professional accountant or a custodian of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.
28.	RBS Coutts Bank AG ("RBS Coutts") (ABR813)	14 November 2008	13 July 2018	<ol style="list-style-type: none"> 1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), RBS Coutts may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:- <ol style="list-style-type: none"> A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date. 2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), RBS Coutts may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments. 3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), RBS Coutts may also take into account a share of

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that RBS Coutts is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), RBS Coutts may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:-</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), RBS Coutts may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:-</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
29.	BNP Paribas Futures (Hong Kong) Limited (“BNPPF”) (ACR577)	9 December 2008	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BNPPF may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BNPPF may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BNPPF may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that BNPPF is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BNPPF may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BNPPF may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				Reasons for the revocation: The Commission has revoked the above modification as the person no longer needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 coming into operation on 13 July 2018.
30.	BNP Paribas Hong Kong Branch (“BNPPHK”) (ARF328)	25 March 2009	13 July 2018	<ol style="list-style-type: none"> 1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BNPPHK may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or: <ol style="list-style-type: none"> A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date. 2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BNPPHK may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments. 3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BNPPHK may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that BNPPHK is reasonably satisfied that

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BNPPHK may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <ul style="list-style-type: none"> A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date. <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BNPPHK may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <ul style="list-style-type: none"> A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date. <p>6. Section 3(d) of the Rules shall be modified to read as “any corporation</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
31.	ING Asia Private Bank Limited (“INGAPB”) (ALB135)	8 July 2009	13 July 2018	<p>Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), INGAPB may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
32.	LGT Investment Management (Asia) Limited (“LGTIM”) (AAC801)	13 November 2009	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), LGTIM may make reference to</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), LGTIM may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), LGTIM may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that LGTIM is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>foreign currency), LGTIM may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), LGTIM may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(ii) the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
33.	ING Asia Private Bank Limited (“INGAPB”) (ALB135)	1 December 2009	13 July 2018	<p>Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), INGAPB may also take into account a share of portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that INGAPB is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

34.	Bank of China International Limited (“BOCIL”) (AAN851)	21 December 2009	13 July 2018	<ol style="list-style-type: none"> 1. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BOCIL may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments. 2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BOCIL may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that BOCIL is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account. 3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BOCIL may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or: <ol style="list-style-type: none"> A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date. 4. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BOCIL may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or: <ol style="list-style-type: none"> A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or
-----	--	------------------	--------------	---

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>5. Section 3(d) of the Rules shall be modified to read as “any corporation (i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or (ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
35.	Sarasin Rabo Investment Management Limited (“SRIML”) (ADV625)	2 February 2010	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), SRIML may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate issued by an auditor, a professional accountant or a custodian of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), SRIML may also take into account the portfolio of a corporation whose sole business is to hold investments and which is wholly owned by the individual.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), SRIML may also take into account a share of a portfolio held in a joint account by the individuals who are not associates, provided that SRIML is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), SRIML may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>B. a certificate issued by a custodian of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), SRIML may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate issued by an auditor, a professional accountant or a custodian of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as “any corporation (i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or (ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
36.	Bank Sarasin & Cie AG, Hong Kong Branch (“BSCHK”) (AHX499)	13 April 2010	13 July 2018	<ol style="list-style-type: none"> 1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BSCHK may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or: <ol style="list-style-type: none"> A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or B. a certificate issued by an auditor, a professional accountant or a custodian of the trust or any of the trusts within 12 months before the relevant date. 2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BSCHK may also take into account the portfolio of a corporation whose sole business is to hold investments and which is wholly owned by the individual. 3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BSCHK may also take into account a share of a portfolio held in a joint account by the individuals who are not associates, provided that BSCHK is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BSCHK may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate issued by a custodian of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BSCHK may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate issued by an auditor, a professional accountant or a custodian of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(ii) the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition for “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
37.	Dah Sing Bank, Limited (“DSB”) (AAK565)	8 June 2010	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), DSB may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), DSB may also take into account the portfolio of</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), DSB may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that DSB is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), DSB may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), DSB may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
38.	CCB International Securities Limited (“CCBIS”) (AMB276)	31 August 2010	13 July 2018	<p>1. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CCBIS may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>2. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>i. the sole business of which is to hold investments and which is wholly owned by an individual, who either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>ii. the principal businesses of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in this subparagraph or paragraph (b), (c), or subparagraph (d)(i) of section 3 of these Rules, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.
39.	Clariden Leu Asset Management (Hong Kong) Limited (“CLAM”) (AAZ959)	4 January 2011	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CLAM may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CLAM may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CLAM may also take into account a share of a portfolio held in a joint account by the individual and other</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>individual(s) who are not associates, provided that CLAM is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CLAM may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CLAM may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<ul style="list-style-type: none"> (i) the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or (ii) the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in section 3(b), (c) of the Rules, subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.” <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
40.	Bank of Singapore Limited ("BOS") (ALB135)	15 February 2011	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BOS may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BOS may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>3. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BOS may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>4. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in this subparagraph or paragraph (b), (c) or subparagraph (d)(i) of section 3 of these Rules, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
41.	Renaissance Capital (Hong Kong) Limited (“RCHK”) (AVI442)	29 March 2011	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), RCHK may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), RCHK may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), RCHK may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that RCHK is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), RCHK may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), RCHK may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>i. the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>ii. the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>or each of those persons, as the case may be, falls within the description in section 3(b), (c) of the Rules, subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
42.	EFG Bank AG Hong Kong (“EFG Bank”) (AFV863)	29 June 2011	13 July 2018	<ol style="list-style-type: none"> 1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), EFG Bank may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or: <ol style="list-style-type: none"> A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date. 2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), EFG Bank may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), EFG Bank may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that EFG Bank is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), EFG Bank may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), EFG Bank may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in section 3(b), (c) of the Rules, subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
43.	Morgan Stanley Hong Kong Securities Limited (“MSHK”) (AAD401)	7 July 2011	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), MSHK may make reference to any</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), MSHK may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), MSHK may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that MSHK is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), MSHK may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), MSHK may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>(i) Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(ii) the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in section 3(b), (c) of the Rules, subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
44.	Lombard Odier Darier Hentsch (Asia) Limited (“LODHAL”) (AAI957)	5 September 2011	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), LODHAL may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>currency), LODHAL may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), LODHAL may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that LODHAL is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), LODHAL may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p style="padding-left: 40px;">A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p style="padding-left: 40px;">B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), LODHAL may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>D. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>E. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(v) the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(vi) the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in section 3(b), (c) of the Rules, subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
45.	DBS Bank (Hong Kong) Limited (“DBSHK”)	10 October 2011	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
	(AAL664)			<p>as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), DBSHK may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), DBSHK may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), DBSHK may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that DBSHK is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>currency), DBSHK may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), DBSHK may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(ii) the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
46.	Credit Agricole (Suisse) SA (“CAS”) (AGM683)	13 October 2011	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CAS may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>currency), CAS may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CAS may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that CAS is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), CAS may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), CAS may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in section 3(b), (c) of the Rules, subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
47.	LGT Bank in Liechtenstein AG (“LGTBL”) (AWF529)	4 November 2011	13 July 2018	1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), LGTBL may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p> <p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), LGTBL may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), LGTBL may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that LGTBL is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>foreign currency), LGTBL may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), LGTBL may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>i. the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with any of</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>his associates on a joint account, falls within the description in paragraph (b); or</p> <p>ii. the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
48.	Bank Julius Baer & Co. Ltd. (“BJBHK”)	14 December 2011	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BJBHK may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or:</p> <p>A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date.</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BJBHK may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments.</p> <p>3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BJBHK may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that BJBHK is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BJBHK may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p style="padding-left: 20px;">A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p style="padding-left: 20px;">B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>HK\$40 million (or its equivalent in any foreign currency), BJBHK may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p> <p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in section 3(b), (c) of the Rules, subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no longer needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
49.	Bank Morgan Stanley AG (“BMSAG”) (AJE129)	13 February 2012	13 July 2018	<ol style="list-style-type: none"> 1. Section 3(a) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a trust corporation has been entrusted under a trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BMSAG may make reference to any of the documents specified in subparagraph (i) to (iii) of that section or: <ol style="list-style-type: none"> A. public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date. 2. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BMSAG may also take into account the portfolio of any corporation which is wholly owned by the individual and the principal businesses of which include the holding of investments. 3. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BMSAG may also take into account a share of a portfolio held in a joint account by the individual and other individual(s) who are not associates, provided that BMSAG is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>to a share of not less than HK\$8 million (or its equivalent in any foreign currency) of the portfolio held in that joint account.</p> <p>4. Section 3(b) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether an individual has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency), BMSAG may make reference to any of the documents specified in subparagraph (i) or (ii) of that section or:</p> <p>A. public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date.</p> <p>5. Section 3(c) of the Rules shall be modified to the extent that for the purposes of ascertaining under that section whether a corporation or partnership has a portfolio of not less than HK\$8 million (or its equivalent in any foreign currency) or total assets of not less than HK\$40 million (or its equivalent in any foreign currency), BMSAG may make reference to any of the documents specified in subparagraph (iii) or (iv) of that section or:</p> <p>A. public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>B. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date.</p> <p>6. Section 3(d) of the Rules shall be modified to read as</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>“any corporation</p> <p>(i) the sole business of which is to hold investments and which is wholly owned by an individual who, either alone or with any of his associates on a joint account, falls within the description in paragraph (b); or</p> <p>(ii) the principal business of which include the holding of investments and which is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in section 3(b), (c) of the Rules, subparagraph (i), this subparagraph, or paragraph (a), (d), (e), (f), (g) or (h) of the definition of “professional investor” in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
50.	BSI Limited (“BSIL”) (AMH249)	8 November 2012	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to read as:</p> <p>“any trust corporation having been entrusted under the trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million or its equivalent in any foreign currency at the relevant date or-</p> <p>(i) as stated in the most recent audited financial statement prepared-</p> <ol style="list-style-type: none"> 1. in respect of the trust corporation; and 2. within 16 months before the relevant date;

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(ii) as ascertained by referring to one or more audited financial statements, each being the most recent audited financial statement, prepared-</p> <ol style="list-style-type: none"> 1. in respect of the trust or any of the trusts; and 2. within 16 months before the relevant date; <p>(iii) as ascertained by referring to one or more custodian statements issued to the trust corporation-</p> <ol style="list-style-type: none"> 1. in respect of the trust or any of the trusts; and 2. within 12 months before the relevant date; <p>(iv) as ascertained by referring to the public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or any of the trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>(v) as ascertained by referring to a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date;”</p> <p>2. Section 3(b) of the Rules shall be modified to read as:</p> <p>“any individual, either alone or with any of his or her associates on a joint account, having a portfolio of not less than HK\$8 million or its equivalent in any foreign currency at the relevant date or-</p> <ol style="list-style-type: none"> (i) as stated in a certificate issued by an auditor or a certified public accountant of the individual within 12 months before the relevant date; (ii) as ascertained by referring to one or more custodian statements issued to the individual (either alone or with the associate) within 12 months before the relevant date;

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(iii) as ascertained by referring to public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date;</p> <p>(iv) as ascertained by referring to a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date;</p> <p>(v) as ascertained by aggregating the value of the portfolio of the individual and the portfolio of any corporation the principal businesses of which at the relevant date include the holding of investments and which at the relevant date is wholly owned by the individual. The value of the individual’s portfolio may be ascertained by referring to one or more of the methods stated in these subparagraphs (b)(i) to (iv), and the value of the corporation’s portfolio may be ascertained by referring to one or more of the following methods:</p> <ol style="list-style-type: none"> 1. the most recent audited financial statement prepared in respect of the corporation and within 16 months before the relevant date; 2. one or more custodian statements issued to the corporation within 12 months before the relevant date; 3. public filings made by or on behalf of the corporation pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; 4. a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation within 12 months before the relevant date; or <p>(vi) as ascertained by referring to the value of a share of a portfolio held in a joint account by the individual, and other individual(s) who are not associates, provided that BSIL is reasonably</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>satisfied that each of the individuals owning the joint account is beneficially entitled to a share of the portfolio held in that joint account worth not less than HK\$8 million or its equivalent in any foreign currency. The value of the share of such portfolio may be ascertained by referring to any one or more of the methods stated in these subparagraphs (b)(i) to (iv);”</p> <p>3. Section 3(c) of the Rules shall be modified to read as: “any corporation or partnership having-</p> <ul style="list-style-type: none"> (i) a portfolio of not less than HK\$8 million or its equivalent in any foreign currency; or (ii) total assets of not less than HK\$40 million or its equivalent in any foreign currency, <p>at the relevant date, or as ascertained by referring to-</p> <ul style="list-style-type: none"> (iii) the most recent audited financial statement prepared- <ul style="list-style-type: none"> (A) in respect of the corporation or partnership (as the case may be); and (B) within 16 months before the relevant date; (iv) one or more custodian statements issued to the corporation or partnership (as the case may be) within 12 months before the relevant date; (v) public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or (vi) a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date; and” <p>4. Section 3(d) of the Rules shall be modified to read as:</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>“any corporation</p> <p>(i) the sole business of which at the relevant date is to hold investments and which at the relevant date is wholly owned by any one or more of the following persons-</p> <p>(A) a trust corporation that falls within the description in paragraph (a);</p> <p>(B) an individual who, either alone or with any of his or her associates on a joint account, falls within the description in paragraph (b);</p> <p>(C) a corporation that falls within the description in paragraph (c);</p> <p>(D) a partnership that falls within the description in paragraph (c); or</p> <p>(ii) the principal businesses of which at the relevant date include the holding of investments and which at the relevant date is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (d)(i)(B) or this subparagraph (d)(ii) of this section or paragraph (a), (d), (e), (f), (g) or (h) of the definition of ‘professional investor’ in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
51.	Banque Privée Edmond de Rothschild S.A. (“BPEDR”) (AWC712)	28 November 2012	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to read as:</p> <p>“any trust corporation having been entrusted under the trust or trusts of which it acts as a trustee with total assets of not less than HK\$40</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>million or its equivalent in any foreign currency at the relevant date or-</p> <ul style="list-style-type: none"> (i) as stated in the most recent audited financial statement prepared- <ul style="list-style-type: none"> (A) in respect of the trust corporation; and (B) within 16 months before the relevant date; (ii) as ascertained by referring to one or more audited financial statements, each being the most recent audited financial statement, prepared- <ul style="list-style-type: none"> (A) in respect of the trust or any of the trusts; and (B) within 16 months before the relevant date; (iii) as ascertained by referring to one or more custodian statements issued to the trust corporation- <ul style="list-style-type: none"> (A) in respect of the trust or any of the trusts; and (B) within 12 months before the relevant date; (iv) as ascertained by referring to the public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or any of the trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or (v) as ascertained by referring to a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date;” <p>2. Section 3(b) of the Rules shall be modified to read as:</p> <p>“any individual, either alone or with any of his or her associates on a joint account, having a portfolio of not less than HK\$8 million or its equivalent in any foreign currency at the relevant date or-</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<ul style="list-style-type: none"> (i) as stated in a certificate issued by an auditor or a certified public accountant of the individual within 12 months before the relevant date; (ii) as ascertained by referring to one or more custodian statements issued to the individual (either alone or with the associate) within 12 months before the relevant date; (iii) as ascertained by referring to public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; (iv) as ascertained by referring to a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date; (v) as ascertained by aggregating the value of the portfolio of the individual and the portfolio of any corporation the principal businesses of which at the relevant date include the holding of investments and which at the relevant date is wholly owned by the individual. The value of the individual’s portfolio may be ascertained by referring to one or more of the methods stated in these subparagraphs (b)(i) to (iv), and the value of the corporation’s portfolio may be ascertained by referring to one or more of the following methods: <ul style="list-style-type: none"> (A) the most recent audited financial statement prepared in respect of the corporation and within 16 months before the relevant date; (B) one or more custodian statements issued to the corporation within 12 months before the relevant date; (C) public filings made by or on behalf of the corporation pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date;

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(D) a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation within 12 months before the relevant date; or</p> <p>(vi) as ascertained by referring to the value of a share of a portfolio held in a joint account by the individual, and other individual(s) who are not associates, provided that BPEDR is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of the portfolio held in that joint account worth not less than HK\$8 million or its equivalent in any foreign currency. The value of the share of such portfolio may be ascertained by referring to any one or more of the methods stated in these subparagraphs (b)(i) to (iv);”</p> <p>3. Section 3(c) of the Rules shall be modified to read as:</p> <p>“any corporation or partnership having-</p> <p>(i) a portfolio of not less than HK\$8 million or its equivalent in any foreign currency; or</p> <p>(ii) total assets of not less than HK\$40 million or its equivalent in any foreign currency,</p> <p>at the relevant date, or as ascertained by referring to-</p> <p>(iii) the most recent audited financial statement prepared-</p> <p>(A) in respect of the corporation or partnership (as the case may be); and</p> <p>(B) within 16 months before the relevant date;</p> <p>(iv) one or more custodian statements issued to the corporation or partnership (as the case may be) within 12 months before the relevant date;</p> <p>(v) public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>(vi) a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date; and”</p> <p>4. Section 3(d) of the Rules shall be modified to read as:</p> <p>“any corporation</p> <p>(i) the sole business of which at the relevant date is to hold investments and which at the relevant date is wholly owned by any one or more of the following persons-</p> <p>(A) a trust corporation that falls within the description in paragraph (a);</p> <p>(B) an individual who, either alone or with any of his or her associates on a joint account, falls within the description in paragraph (b);</p> <p>(C) a corporation that falls within the description in paragraph (c);</p> <p>(D) a partnership that falls within the description in paragraph (c); or</p> <p>(ii) the principal businesses of which at the relevant date include the holding of investments and which at the relevant date is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (d)(i)(B) or this subparagraph (d)(ii) of this section or paragraph (a), (d), (e), (f), (g) or (h) of the definition of ‘professional investor’ in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.
52.	Citibank, N.A. ("Citibank") (AAP937)	7 December 2012	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to read as:</p> <p>“any trust corporation having been entrusted under the trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million or its equivalent in any foreign currency at the relevant date or-</p> <p>(i) as stated in the most recent audited financial statement prepared-</p> <p>(A) in respect of the trust corporation; and</p> <p>(B) within 16 months before the relevant date;</p> <p>(ii) as ascertained by referring to one or more audited financial statements, each being the most recent audited financial statement, prepared-</p> <p>(A) in respect of the trust or any of the trusts; and</p> <p>(B) within 16 months before the relevant date;</p> <p>(iii) as ascertained by referring to one or more custodian statements issued to the trust corporation-</p> <p>(A) in respect of the trust or any of the trusts; and</p> <p>(B) within 12 months before the relevant date;</p> <p>(iv) as ascertained by referring to the public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or any of the trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>(v) as ascertained by referring to a certificate or certificates issued by an auditor, a professional accountant or one or more</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>custodians of the trust or any of the trusts within 12 months before the relevant date;”</p> <p>2. Section 3(b) of the Rules shall be modified to read as:</p> <p>“any individual, either alone or with any of his or her associates on a joint account, having a portfolio of not less than HK\$8 million or its equivalent in any foreign currency at the relevant date or-</p> <p>(i) as stated in a certificate issued by an auditor or a certified public accountant of the individual within 12 months before the relevant date;</p> <p>(ii) as ascertained by referring to one or more custodian statements issued to the individual (either alone or with the associate) within 12 months before the relevant date;</p> <p>(iii) as ascertained by referring to public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date;</p> <p>(iv) as ascertained by referring to a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date;</p> <p>(v) as ascertained by aggregating the value of the portfolio of the individual and the portfolio of any corporation the principal businesses of which at the relevant date include the holding of investments and which at the relevant date is wholly owned by the individual. The value of the individual’s portfolio may be ascertained by referring to one or more of the methods stated in these subparagraphs (b)(i) to (iv), and the value of the corporation’s portfolio may be ascertained by referring to one or more of the following methods:</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(A) the most recent audited financial statement prepared in respect of the corporation and within 16 months before the relevant date;</p> <p>(B) one or more custodian statements issued to the corporation within 12 months before the relevant date;</p> <p>(C) public filings made by or on behalf of the corporation pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date;</p> <p>(D) a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation within 12 months before the relevant date; or</p> <p>(vi) as ascertained by referring to the value of a share of a portfolio held in a joint account by the individual, and other individual(s) who are not associates, provided that Citibank is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of the portfolio held in that joint account worth not less than HK\$8 million or its equivalent in any foreign currency. The value of the share of such portfolio may be ascertained by referring to any one or more of the methods stated in these subparagraphs (b)(i) to (iv);”</p> <p>3. Section 3(c) of the Rules shall be modified to read as: “any corporation or partnership having-</p> <p>(i) a portfolio of not less than HK\$8 million or its equivalent in any foreign currency; or</p> <p>(ii) total assets of not less than HK\$40 million or its equivalent in any foreign currency,</p> <p>at the relevant date, or as ascertained by referring to-</p> <p>(iii) the most recent audited financial statement prepared-</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(A) in respect of the corporation or partnership (as the case may be); and</p> <p>(B) within 16 months before the relevant date;</p> <p>(iv) one or more custodian statements issued to the corporation or partnership (as the case may be) within 12 months before the relevant date;</p> <p>(v) public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>(vi) a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date; and”</p> <p>4. Section 3(d) of the Rules shall be modified to read as:</p> <p>“any corporation</p> <p>(i) the sole business of which at the relevant date is to hold investments and which at the relevant date is wholly owned by any one or more of the following persons-</p> <p>(A) a trust corporation that falls within the description in paragraph (a);</p> <p>(B) an individual who, either alone or with any of his or her associates on a joint account, falls within the description in paragraph (b);</p> <p>(C) a corporation that falls within the description in paragraph (c);</p> <p>(D) a partnership that falls within the description in paragraph (c); or</p> <p>(ii) the principal businesses of which at the relevant date include the holding of investments and which at the relevant date is wholly</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (d)(i)(B) or this subparagraph (d)(ii) of this section or paragraph (a), (d), (e), (f), (g) or (h) of the definition of ‘professional investor’ in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no longer needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
53.	Citigroup Global Markets Asia Limited (“CGMAL”) (AAA137)	7 December 2012	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to read as:</p> <p>“any trust corporation having been entrusted under the trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million or its equivalent in any foreign currency at the relevant date or-</p> <p>(i) as stated in the most recent audited financial statement prepared-</p> <p>(A) in respect of the trust corporation; and</p> <p>(B) within 16 months before the relevant date;</p> <p>(ii) as ascertained by referring to one or more audited financial statements, each being the most recent audited financial statement, prepared-</p> <p>(A) in respect of the trust or any of the trusts; and</p> <p>(B) within 16 months before the relevant date;</p> <p>(iii) as ascertained by referring to one or more custodian statements issued to the trust corporation-</p> <p>(A) in respect of the trust or any of the trusts; and</p> <p>(B) within 12 months before the relevant date;</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(iv) as ascertained by referring to the public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or any of the trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>(v) as ascertained by referring to a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date;”</p> <p>2. Section 3(b) of the Rules shall be modified to read as: “any individual, either alone or with any of his or her associates on a joint account, having a portfolio of not less than HK\$8 million or its equivalent in any foreign currency at the relevant date or-</p> <p>(i) as stated in a certificate issued by an auditor or a certified public accountant of the individual within 12 months before the relevant date;</p> <p>(ii) as ascertained by referring to one or more custodian statements issued to the individual (either alone or with the associate) within 12 months before the relevant date;</p> <p>(iii) as ascertained by referring to public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date;</p> <p>(iv) as ascertained by referring to a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date;</p> <p>(v) as ascertained by aggregating the value of the portfolio of the individual and the portfolio of any corporation the principal businesses of which at the relevant date include the holding of investments and which at the relevant date is wholly owned by the individual. The value of the individual’s portfolio may be</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>ascertained by referring to one or more of the methods stated in these subparagraphs (b)(i) to (iv), and the value of the corporation’s portfolio may be ascertained by referring to one or more of the following methods:</p> <p>(A) the most recent audited financial statement prepared in respect of the corporation and within 16 months before the relevant date;</p> <p>(B) one or more custodian statements issued to the corporation within 12 months before the relevant date;</p> <p>(C) public filings made by or on behalf of the corporation pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date;</p> <p>(D) a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation within 12 months before the relevant date; or</p> <p>(vi) as ascertained by referring to the value of a share of a portfolio held in a joint account by the individual, and other individual(s) who are not associates, provided that CGMAL is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of the portfolio held in that joint account worth not less than HK\$8 million or its equivalent in any foreign currency. The value of the share of such portfolio may be ascertained by referring to any one or more of the methods stated in these subparagraphs (b)(i) to (iv);”</p> <p>3. Section 3(c) of the Rules shall be modified to read as:</p> <p>“any corporation or partnership having-</p> <p>(i) a portfolio of not less than HK\$8 million or its equivalent in any foreign currency; or</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(ii) total assets of not less than HK\$40 million or its equivalent in any foreign currency,</p> <p>at the relevant date, or as ascertained by referring to-</p> <p>(iii) the most recent audited financial statement prepared-</p> <p>(A) in respect of the corporation or partnership (as the case may be); and</p> <p>(B) within 16 months before the relevant date;</p> <p>(iv) one or more custodian statements issued to the corporation or partnership (as the case may be) within 12 months before the relevant date;</p> <p>(v) public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>(vi) a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date; and”</p> <p>4. Section 3(d) of the Rules shall be modified to read as:</p> <p>“any corporation</p> <p>(i) the sole business of which at the relevant date is to hold investments and which at the relevant date is wholly owned by any one or more of the following persons-</p> <p>(A) a trust corporation that falls within the description in paragraph (a);</p> <p>(B) an individual who, either alone or with any of his or her associates on a joint account, falls within the description in paragraph (b);</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(C) a corporation that falls within the description in paragraph (c);</p> <p>(D) a partnership that falls within the description in paragraph (c); or</p> <p>(ii) the principal businesses of which at the relevant date include the holding of investments and which at the relevant date is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (d)(i)(B) or this subparagraph (d)(ii) of this section or paragraph (a), (d), (e), (f), (g) or (h) of the definition of ‘professional investor’ in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
54.	Citigroup Global Markets Hong Kong Futures and Securities Limited (“CGMFSL”) (ABM371)	7 December 2012	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to read as:</p> <p>“any trust corporation having been entrusted under the trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million or its equivalent in any foreign currency at the relevant date or-</p> <p>(i) as stated in the most recent audited financial statement prepared-</p> <p>(A) in respect of the trust corporation; and</p> <p>(B) within 16 months before the relevant date;</p> <p>(ii) as ascertained by referring to one or more audited financial statements, each being the most recent audited financial statement, prepared-</p> <p>(A) in respect of the trust or any of the trusts; and</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(B) within 16 months before the relevant date;</p> <p>(iii) as ascertained by referring to one or more custodian statements issued to the trust corporation-</p> <p>(A) in respect of the trust or any of the trusts; and</p> <p>(B) within 12 months before the relevant date;</p> <p>(iv) as ascertained by referring to the public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or any of the trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>(v) as ascertained by referring to a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date;”</p> <p>2. Section 3(b) of the Rules shall be modified to read as:</p> <p>“any individual, either alone or with any of his or her associates on a joint account, having a portfolio of not less than HK\$8 million or its equivalent in any foreign currency at the relevant date or-</p> <p>(i) as stated in a certificate issued by an auditor or a certified public accountant of the individual within 12 months before the relevant date;</p> <p>(ii) as ascertained by referring to one or more custodian statements issued to the individual (either alone or with the associate) within 12 months before the relevant date;</p> <p>(iii) as ascertained by referring to public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date;</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(iv) as ascertained by referring to a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date;</p> <p>(v) as ascertained by aggregating the value of the portfolio of the individual and the portfolio of any corporation the principal businesses of which at the relevant date include the holding of investments and which at the relevant date is wholly owned by the individual. The value of the individual’s portfolio may be ascertained by referring to one or more of the methods stated in these subparagraphs (b)(i) to (iv), and the value of the corporation’s portfolio may be ascertained by referring to one or more of the following methods:</p> <p>(A) the most recent audited financial statement prepared in respect of the corporation and within 16 months before the relevant date;</p> <p>(B) one or more custodian statements issued to the corporation within 12 months before the relevant date;</p> <p>(C) public filings made by or on behalf of the corporation pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date;</p> <p>(D) a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation within 12 months before the relevant date; or</p> <p>(vi) as ascertained by referring to the value of a share of a portfolio held in a joint account by the individual, and other individual(s) who are not associates, provided that CGMFSL is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of the portfolio held in that joint account worth not less than HK\$8 million or its equivalent in any foreign currency. The value of the share of such portfolio may be</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>ascertained by referring to any one or more of the methods stated in these subparagraphs (b)(i) to (iv);”</p> <p>3. Section 3(c) of the Rules shall be modified to read as: “any corporation or partnership having-</p> <ul style="list-style-type: none"> (i) a portfolio of not less than HK\$8 million or its equivalent in any foreign currency; or (ii) total assets of not less than HK\$40 million or its equivalent in any foreign currency, <p>at the relevant date, or as ascertained by referring to-</p> <ul style="list-style-type: none"> (iii) the most recent audited financial statement prepared- <ul style="list-style-type: none"> (A) in respect of the corporation or partnership (as the case may be); and (B) within 16 months before the relevant date; (iv) one or more custodian statements issued to the corporation or partnership (as the case may be) within 12 months before the relevant date; (v) public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or (vi) a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date; and” <p>4. Section 3(d) of the Rules shall be modified to read as: “any corporation</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(i) the sole business of which at the relevant date is to hold investments and which at the relevant date is wholly owned by any one or more of the following persons-</p> <p>(A) a trust corporation that falls within the description in paragraph (a);</p> <p>(B) an individual who, either alone or with any of his or her associates on a joint account, falls within the description in paragraph (b);</p> <p>(C) a corporation that falls within the description in paragraph (c);</p> <p>(D) a partnership that falls within the description in paragraph (c); or</p> <p>(ii) the principal businesses of which at the relevant date include the holding of investments and which at the relevant date is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (d)(i)(B) or this subparagraph (d)(ii) of this section or paragraph (a), (d), (e), (f), (g) or (h) of the definition of ‘professional investor’ in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
55.	Citibank (Hong Kong) Limited (“Citibank HK”) (AA Y797)	7 December 2012	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to read as:</p> <p>“any trust corporation having been entrusted under the trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million or its equivalent in any foreign currency at the relevant date or-</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(i) as stated in the most recent audited financial statement prepared-</p> <p>(A) in respect of the trust corporation; and</p> <p>(B) within 16 months before the relevant date;</p> <p>(ii) as ascertained by referring to one or more audited financial statements, each being the most recent audited financial statement, prepared-</p> <p>(A) in respect of the trust or any of the trusts; and</p> <p>(B) within 16 months before the relevant date;</p> <p>(iii) as ascertained by referring to one or more custodian statements issued to the trust corporation-</p> <p>(A) in respect of the trust or any of the trusts; and</p> <p>(B) within 12 months before the relevant date;</p> <p>(iv) as ascertained by referring to the public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or any of the trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>(v) as ascertained by referring to a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date;”</p> <p>2. Section 3(b) of the Rules shall be modified to read as:</p> <p>“any individual, either alone or with any of his or her associates on a joint account, having a portfolio of not less than HK\$8 million or its equivalent in any foreign currency at the relevant date or-</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<ul style="list-style-type: none"> (i) as stated in a certificate issued by an auditor or a certified public accountant of the individual within 12 months before the relevant date; (ii) as ascertained by referring to one or more custodian statements issued to the individual (either alone or with the associate) within 12 months before the relevant date; (iii) as ascertained by referring to public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; (iv) as ascertained by referring to a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date; (v) as ascertained by aggregating the value of the portfolio of the individual and the portfolio of any corporation the principal businesses of which at the relevant date include the holding of investments and which at the relevant date is wholly owned by the individual. The value of the individual’s portfolio may be ascertained by referring to one or more of the methods stated in these subparagraphs (b)(i) to (iv), and the value of the corporation’s portfolio may be ascertained by referring to one or more of the following methods: <ul style="list-style-type: none"> (A) the most recent audited financial statement prepared in respect of the corporation and within 16 months before the relevant date; (B) one or more custodian statements issued to the corporation within 12 months before the relevant date; (C) public filings made by or on behalf of the corporation pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date;

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(D) a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation within 12 months before the relevant date; or</p> <p>(vi) as ascertained by referring to the value of a share of a portfolio held in a joint account by the individual, and other individual(s) who are not associates, provided that Citibank HK is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of the portfolio held in that joint account worth not less than HK\$8 million or its equivalent in any foreign currency. The value of the share of such portfolio may be ascertained by referring to any one or more of the methods stated in these subparagraphs (b)(i) to (iv);”</p> <p>3. Section 3(c) of the Rules shall be modified to read as: “any corporation or partnership having-</p> <p>(i) a portfolio of not less than HK\$8 million or its equivalent in any foreign currency; or</p> <p>(ii) total assets of not less than HK\$40 million or its equivalent in any foreign currency,</p> <p>at the relevant date, or as ascertained by referring to-</p> <p>(iii) the most recent audited financial statement prepared-</p> <p>(A) in respect of the corporation or partnership (as the case may be); and</p> <p>(B) within 16 months before the relevant date;</p> <p>(iv) one or more custodian statements issued to the corporation or partnership (as the case may be) within 12 months before the relevant date;</p> <p>(v) public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>(vi) a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date; and”</p> <p>4. Section 3(d) of the Rules shall be modified to read as:</p> <p>“any corporation</p> <p>(i) the sole business of which at the relevant date is to hold investments and which at the relevant date is wholly owned by any one or more of the following persons-</p> <p>(A) a trust corporation that falls within the description in paragraph (a);</p> <p>(B) an individual who, either alone or with any of his or her associates on a joint account, falls within the description in paragraph (b);</p> <p>(C) a corporation that falls within the description in paragraph (c);</p> <p>(D) a partnership that falls within the description in paragraph (c); or</p> <p>(ii) the principal businesses of which at the relevant date include the holding of investments and which at the relevant date is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (d)(i)(B) or this subparagraph (d)(ii) of this section or paragraph (a), (d), (e), (f), (g) or (h) of the definition of ‘professional investor’ in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.
56.	PSI Capital Asia Limited (“PSICAL”) (AZV720)	11 January 2013	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to read as:</p> <p>“any trust corporation having been entrusted under the trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million or its equivalent in any foreign currency at the relevant date or-</p> <p>(i) as stated in the most recent audited financial statement prepared-</p> <p>(A) in respect of the trust corporation; and</p> <p>(B) within 16 months before the relevant date;</p> <p>(ii) as ascertained by referring to one or more audited financial statements, each being the most recent audited financial statement, prepared-</p> <p>(A) in respect of the trust or any of the trusts; and</p> <p>(B) within 16 months before the relevant date;</p> <p>(iii) as ascertained by referring to one or more custodian statements issued to the trust corporation-</p> <p>(A) in respect of the trust or any of the trusts; and</p> <p>(B) within 12 months before the relevant date;</p> <p>(iv) as ascertained by referring to the public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or any of the trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>(v) as ascertained by referring to a certificate or certificates issued by an auditor, a professional accountant or one or more</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>custodians of the trust or any of the trusts within 12 months before the relevant date;”</p> <p>2. Section 3(b) of the Rules shall be modified to read as:</p> <p>“any individual, either alone or with any of his or her associates on a joint account, having a portfolio of not less than HK\$8 million or its equivalent in any foreign currency at the relevant date or-</p> <ul style="list-style-type: none"> (i) as stated in a certificate issued by an auditor or a certified public accountant of the individual within 12 months before the relevant date; (ii) as ascertained by referring to one or more custodian statements issued to the individual (either alone or with the associate) within 12 months before the relevant date; (iii) as ascertained by referring to public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; (iv) as ascertained by referring to a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date; (v) as ascertained by aggregating the value of the portfolio of the individual and the portfolio of any corporation the principal businesses of which at the relevant date include the holding of investments and which at the relevant date is wholly owned by the individual. The value of the individual’s portfolio may be ascertained by referring to one or more of the methods stated in these subparagraphs (b)(i) to (iv), and the value of the corporation’s portfolio may be ascertained by referring to one or more of the following methods:

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(A) the most recent audited financial statement prepared in respect of the corporation and within 16 months before the relevant date;</p> <p>(B) one or more custodian statements issued to the corporation within 12 months before the relevant date;</p> <p>(C) public filings made by or on behalf of the corporation pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date;</p> <p>(D) a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation within 12 months before the relevant date; or</p> <p>(vi) as ascertained by referring to the value of a share of a portfolio held in a joint account by the individual, and other individual(s) who are not associates, provided that PSICAL is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of the portfolio held in that joint account worth not less than HK\$8 million or its equivalent in any foreign currency. The value of the share of such portfolio may be ascertained by referring to any one or more of the methods stated in these subparagraphs (b)(i) to (iv);”</p> <p>3. Section 3(c) of the Rules shall be modified to read as: “any corporation or partnership having-</p> <p>(i) a portfolio of not less than HK\$8 million or its equivalent in any foreign currency; or</p> <p>(ii) total assets of not less than HK\$40 million or its equivalent in any foreign currency,</p> <p>at the relevant date, or as ascertained by referring to-</p> <p>(iii) the most recent audited financial statement prepared-</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(A) in respect of the corporation or partnership (as the case may be); and</p> <p>(B) within 16 months before the relevant date;</p> <p>(iv) one or more custodian statements issued to the corporation or partnership (as the case may be) within 12 months before the relevant date;</p> <p>(v) public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>(vi) a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date; and”</p> <p>4. Section 3(d) of the Rules shall be modified to read as:</p> <p>“any corporation</p> <p>(i) the sole business of which at the relevant date is to hold investments and which at the relevant date is wholly owned by any one or more of the following persons-</p> <p>(A) a trust corporation that falls within the description in paragraph (a);</p> <p>(B) an individual who, either alone or with any of his or her associates on a joint account, falls within the description in paragraph (b);</p> <p>(C) a corporation that falls within the description in paragraph (c);</p> <p>(D) a partnership that falls within the description in paragraph (c); or</p> <p>(ii) the principal businesses of which at the relevant date include the holding of investments and which at the relevant date is wholly</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (d)(i)(B) or this subparagraph (d)(ii) of this section or paragraph (a), (d), (e), (f), (g) or (h) of the definition of ‘professional investor’ in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no longer needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
57.	HSBC Broking Securities (Asia) Limited (“HCBS”) (ABX727)	24 January 2013	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to read as:</p> <p>“any trust corporation having been entrusted under the trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million or its equivalent in any foreign currency at the relevant date or-</p> <p>(i) as stated in the most recent audited financial statement prepared-</p> <p>(A) in respect of the trust corporation; and</p> <p>(B) within 16 months before the relevant date;</p> <p>(ii) as ascertained by referring to one or more audited financial statements, each being the most recent audited financial statement, prepared-</p> <p>(A) in respect of the trust or any of the trusts; and</p> <p>(B) within 16 months before the relevant date;</p> <p>(iii) as ascertained by referring to one or more custodian statements issued to the trust corporation-</p> <p>(A) in respect of the trust or any of the trusts; and</p> <p>(B) within 12 months before the relevant date;</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(iv) as ascertained by referring to the public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or any of the trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>(v) as ascertained by referring to a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date;”</p> <p>2. Section 3(b) of the Rules shall be modified to read as: “any individual, either alone or with any of his or her associates on a joint account, having a portfolio of not less than HK\$8 million or its equivalent in any foreign currency at the relevant date or-</p> <p>(i) as stated in a certificate issued by an auditor or a certified public accountant of the individual within 12 months before the relevant date;</p> <p>(ii) as ascertained by referring to one or more custodian statements issued to the individual (either alone or with the associate) within 12 months before the relevant date;</p> <p>(iii) as ascertained by referring to public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date;</p> <p>(iv) as ascertained by referring to a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date;</p> <p>(v) as ascertained by aggregating the value of the portfolio of the individual and the portfolio of any corporation the principal businesses of which at the relevant date include the holding of investments and which at the relevant date is wholly owned by the individual. The value of the individual’s portfolio may be</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>ascertained by referring to one or more of the methods stated in these subparagraphs (b)(i) to (iv), and the value of the corporation’s portfolio may be ascertained by referring to one or more of the following methods:</p> <p>(A) the most recent audited financial statement prepared in respect of the corporation and within 16 months before the relevant date;</p> <p>(B) one or more custodian statements issued to the corporation within 12 months before the relevant date;</p> <p>(C) public filings made by or on behalf of the corporation pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date;</p> <p>(D) a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation within 12 months before the relevant date; or</p> <p>(vi) as ascertained by referring to the value of a share of a portfolio held in a joint account by the individual, and other individual(s) who are not associates, provided that HCBS is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of the portfolio held in that joint account worth not less than HK\$8 million or its equivalent in any foreign currency. The value of the share of such portfolio may be ascertained by referring to any one or more of the methods stated in these subparagraphs (b)(i) to (iv);”</p> <p>3. Section 3(c) of the Rules shall be modified to read as:</p> <p>“any corporation or partnership having-</p> <p>(i) a portfolio of not less than HK\$8 million or its equivalent in any foreign currency; or</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(ii) total assets of not less than HK\$40 million or its equivalent in any foreign currency,</p> <p>at the relevant date, or as ascertained by referring to-</p> <p>(iii) the most recent audited financial statement prepared-</p> <p>(A) in respect of the corporation or partnership (as the case may be); and</p> <p>(B) within 16 months before the relevant date;</p> <p>(iv) one or more custodian statements issued to the corporation or partnership (as the case may be) within 12 months before the relevant date;</p> <p>(v) public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>(vi) a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date; and”</p> <p>4. Section 3(d) of the Rules shall be modified to read as:</p> <p>“any corporation</p> <p>(i) the sole business of which at the relevant date is to hold investments and which at the relevant date is wholly owned by any one or more of the following persons-</p> <p>(A) a trust corporation that falls within the description in paragraph (a);</p> <p>(B) an individual who, either alone or with any of his or her associates on a joint account, falls within the description in paragraph (b);</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(C) a corporation that falls within the description in paragraph (c);</p> <p>(D) a partnership that falls within the description in paragraph (c); or</p> <p>(ii) the principal businesses of which at the relevant date include the holding of investments and which at the relevant date is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (d)(i)(B) or this subparagraph (d)(ii) of this section or paragraph (a), (d), (e), (f), (g) or (h) of the definition of ‘professional investor’ in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
58.	ABN AMRO Bank N.V. (“AAB”) (AUR972)	2 August 2013	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to read as:</p> <p>“any trust corporation having been entrusted under the trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million or its equivalent in any foreign currency at the relevant date or-</p> <p>(i) as stated in the most recent audited financial statement prepared-</p> <p>(A) in respect of the trust corporation; and</p> <p>(B) within 16 months before the relevant date;</p> <p>(ii) as ascertained by referring to one or more audited financial statements, each being the most recent audited financial statement, prepared-</p> <p>(A) in respect of the trust or any of the trusts; and</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(B) within 16 months before the relevant date;</p> <p>(iii) as ascertained by referring to one or more custodian statements issued to the trust corporation-</p> <p>(A) in respect of the trust or any of the trusts; and</p> <p>(B) within 12 months before the relevant date;</p> <p>(iv) as ascertained by referring to the public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or any of the trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>(v) as ascertained by referring to a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date;”</p> <p>2. Section 3(b) of the Rules shall be modified to read as:</p> <p>“any individual, either alone or with any of his or her associates on a joint account, having a portfolio of not less than HK\$8 million or its equivalent in any foreign currency at the relevant date or-</p> <p>(i) as stated in a certificate issued by an auditor or a certified public accountant of the individual within 12 months before the relevant date;</p> <p>(ii) as ascertained by referring to one or more custodian statements issued to the individual (either alone or with the associate) within 12 months before the relevant date;</p> <p>(iii) as ascertained by referring to public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date;</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(iv) as ascertained by referring to a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date;</p> <p>(v) as ascertained by aggregating the value of the portfolio of the individual and the portfolio of any corporation the principal businesses of which at the relevant date include the holding of investments and which at the relevant date is wholly owned by the individual. The value of the individual’s portfolio may be ascertained by referring to one or more of the methods stated in these subparagraphs (b)(i) to (iv), and the value of the corporation’s portfolio may be ascertained by referring to one or more of the following methods:</p> <p>(A) the most recent audited financial statement prepared in respect of the corporation and within 16 months before the relevant date;</p> <p>(B) one or more custodian statements issued to the corporation within 12 months before the relevant date;</p> <p>(C) public filings made by or on behalf of the corporation pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date;</p> <p>(D) a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation within 12 months before the relevant date; or</p> <p>(vi) as ascertained by referring to the value of a share of a portfolio held in a joint account by the individual, and other individual(s) who are not associates, provided that AAB is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of the portfolio held in that joint account worth not less than HK\$8 million or its equivalent in any foreign currency. The value of the share of such portfolio may</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>be ascertained by referring to any one or more of the methods stated in these subparagraphs (b)(i) to (iv);”</p> <p>3. Section 3(c) of the Rules shall be modified to read as: “any corporation or partnership having-</p> <ul style="list-style-type: none"> (i) a portfolio of not less than HK\$8 million or its equivalent in any foreign currency; or (ii) total assets of not less than HK\$40 million or its equivalent in any foreign currency, <p>at the relevant date, or as ascertained by referring to-</p> <ul style="list-style-type: none"> (iii) the most recent audited financial statement prepared- <ul style="list-style-type: none"> (A) in respect of the corporation or partnership (as the case may be); and (B) within 16 months before the relevant date; (iv) one or more custodian statements issued to the corporation or partnership (as the case may be) within 12 months before the relevant date; (v) public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or (vi) a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date; and” <p>4. Section 3(d) of the Rules shall be modified to read as: “any corporation</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(i) the sole business of which at the relevant date is to hold investments and which at the relevant date is wholly owned by any one or more of the following persons-</p> <p>(A) a trust corporation that falls within the description in paragraph (a);</p> <p>(B) an individual who, either alone or with any of his or her associates on a joint account, falls within the description in paragraph (b);</p> <p>(C) a corporation that falls within the description in paragraph (c);</p> <p>(D) a partnership that falls within the description in paragraph (c); or</p> <p>(ii) the principal businesses of which at the relevant date include the holding of investments and which at the relevant date is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (d)(i)(B) or this subparagraph (d)(ii) of this section or paragraph (a), (d), (e), (f), (g) or (h) of the definition of ‘professional investor’ in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>
59.	J.P. Morgan Securities (Asia Pacific) Limited (AAJ321)	9 August 2013	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to read as:</p> <p>“any trust corporation having been entrusted under the trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million or its equivalent in any foreign currency at the relevant date or-</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(i) as stated in the most recent audited financial statement prepared-</p> <p>(A) in respect of the trust corporation; and</p> <p>(B) within 16 months before the relevant date;</p> <p>(ii) as ascertained by referring to one or more audited financial statements, each being the most recent audited financial statement, prepared-</p> <p>(A) in respect of the trust or any of the trusts; and</p> <p>(B) within 16 months before the relevant date;</p> <p>(iii) as ascertained by referring to one or more custodian statements issued to the trust corporation-</p> <p>(A) in respect of the trust or any of the trusts; and</p> <p>(B) within 12 months before the relevant date;</p> <p>(iv) as ascertained by referring to the public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or any of the trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>(v) as ascertained by referring to a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the trust or any of the trusts within 12 months before the relevant date;”</p> <p>2. Section 3(b) of the Rules shall be modified to read as:</p> <p>“any individual, either alone or with any of his or her associates on a joint account, having a portfolio of not less than HK\$8 million or its equivalent in any foreign currency at the relevant date or-</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<ul style="list-style-type: none"> (i) as stated in a certificate issued by an auditor or a certified public accountant of the individual within 12 months before the relevant date; (ii) as ascertained by referring to one or more custodian statements issued to the individual (either alone or with the associate) within 12 months before the relevant date; (iii) as ascertained by referring to public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; (iv) as ascertained by referring to a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date; (v) as ascertained by aggregating the value of the portfolio of the individual and the portfolio of any corporation the principal businesses of which at the relevant date include the holding of investments and which at the relevant date is wholly owned by the individual. The value of the individual’s portfolio may be ascertained by referring to one or more of the methods stated in these subparagraphs (b)(i) to (iv), and the value of the corporation’s portfolio may be ascertained by referring to one or more of the following methods: <ul style="list-style-type: none"> (A) the most recent audited financial statement prepared in respect of the corporation and within 16 months before the relevant date; (B) one or more custodian statements issued to the corporation within 12 months before the relevant date; (C) public filings made by or on behalf of the corporation pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date;

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(D) a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation within 12 months before the relevant date; or</p> <p>(vi) as ascertained by referring to the value of a share of a portfolio held in a joint account by the individual, and other individual(s) who are not associates, provided that J.P. Morgan Securities (Asia Pacific) Limited is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of the portfolio held in that joint account worth not less than HK\$8 million or its equivalent in any foreign currency. The value of the share of such portfolio may be ascertained by referring to any one or more of the methods stated in these subparagraphs (b)(i) to (iv);”</p> <p>3. Section 3(c) of the Rules shall be modified to read as:</p> <p>“any corporation or partnership having-</p> <p>(i) a portfolio of not less than HK\$8 million or its equivalent in any foreign currency; or</p> <p>(ii) total assets of not less than HK\$40 million or its equivalent in any foreign currency,</p> <p>at the relevant date, or as ascertained by referring to-</p> <p>(iii) the most recent audited financial statement prepared-</p> <p>(A) in respect of the corporation or partnership (as the case may be); and</p> <p>(B) within 16 months before the relevant date;</p> <p>(iv) one or more custodian statements issued to the corporation or partnership (as the case may be) within 12 months before the relevant date;</p> <p>(v) public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>(vi) a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date; and”</p> <p>4. Section 3(d) of the Rules shall be modified to read as:</p> <p>“any corporation</p> <p>(i) the sole business of which at the relevant date is to hold investments and which at the relevant date is wholly owned by any one or more of the following persons-</p> <p>(A) a trust corporation that falls within the description in paragraph (a);</p> <p>(B) an individual who, either alone or with any of his or her associates on a joint account, falls within the description in paragraph (b);</p> <p>(C) a corporation that falls within the description in paragraph (c);</p> <p>(D) a partnership that falls within the description in paragraph (c); or</p> <p>(ii) the principal businesses of which at the relevant date include the holding of investments and which at the relevant date is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (d)(i)(B) or this subparagraph (d)(ii) of this section or paragraph (a), (d), (e), (f), (g) or (h) of the definition of ‘professional investor’ in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.
60.	JPMorgan Chase Bank, National Association (AAL996)	9 August 2013	13 July 2018	<p>1. Section 3(a) of the Rules shall be modified to read as:</p> <p>“any trust corporation having been entrusted under the trust or trusts of which it acts as a trustee with total assets of not less than HK\$40 million or its equivalent in any foreign currency at the relevant date or-</p> <p>(i) as stated in the most recent audited financial statement prepared-</p> <p>(A) in respect of the trust corporation; and</p> <p>(B) within 16 months before the relevant date;</p> <p>(ii) as ascertained by referring to one or more audited financial statements, each being the most recent audited financial statement, prepared-</p> <p>(A) in respect of the trust or any of the trusts; and</p> <p>(B) within 16 months before the relevant date;</p> <p>(iii) as ascertained by referring to one or more custodian statements issued to the trust corporation-</p> <p>(A) in respect of the trust or any of the trusts; and</p> <p>(B) within 12 months before the relevant date;</p> <p>(iv) as ascertained by referring to the public filings made by or on behalf of the trust corporation acting in its capacity as trustee of the trust or any of the trusts pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>(v) as ascertained by referring to a certificate or certificates issued by an auditor, a professional accountant or one or more</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>custodians of the trust or any of the trusts within 12 months before the relevant date;”</p> <p>2. Section 3(b) of the Rules shall be modified to read as:</p> <p>“any individual, either alone or with any of his or her associates on a joint account, having a portfolio of not less than HK\$8 million or its equivalent in any foreign currency at the relevant date or-</p> <ul style="list-style-type: none"> (i) as stated in a certificate issued by an auditor or a certified public accountant of the individual within 12 months before the relevant date; (ii) as ascertained by referring to one or more custodian statements issued to the individual (either alone or with the associate) within 12 months before the relevant date; (iii) as ascertained by referring to public filings made by or on behalf of the individual pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; (iv) as ascertained by referring to a certificate or certificates issued by one or more custodians of the individual within 12 months before the relevant date; (v) as ascertained by aggregating the value of the portfolio of the individual and the portfolio of any corporation the principal businesses of which at the relevant date include the holding of investments and which at the relevant date is wholly owned by the individual. The value of the individual’s portfolio may be ascertained by referring to one or more of the methods stated in these subparagraphs (b)(i) to (iv), and the value of the corporation’s portfolio may be ascertained by referring to one or more of the following methods:

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(A) the most recent audited financial statement prepared in respect of the corporation and within 16 months before the relevant date;</p> <p>(B) one or more custodian statements issued to the corporation within 12 months before the relevant date;</p> <p>(C) public filings made by or on behalf of the corporation pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date;</p> <p>(D) a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation within 12 months before the relevant date; or</p> <p>(vi) as ascertained by referring to the value of a share of a portfolio held in a joint account by the individual, and other individual(s) who are not associates, provided that JPMorgan Chase Bank, National Association is reasonably satisfied that each of the individuals owning the joint account is beneficially entitled to a share of the portfolio held in that joint account worth not less than HK\$8 million or its equivalent in any foreign currency. The value of the share of such portfolio may be ascertained by referring to any one or more of the methods stated in these subparagraphs (b)(i) to (iv);”</p> <p>3. Section 3(c) of the Rules shall be modified to read as:</p> <p>“any corporation or partnership having-</p> <p>(i) a portfolio of not less than HK\$8 million or its equivalent in any foreign currency; or</p> <p>(ii) total assets of not less than HK\$40 million or its equivalent in any foreign currency,</p> <p>at the relevant date, or as ascertained by referring to-</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(iii) the most recent audited financial statement prepared-</p> <p>(A) in respect of the corporation or partnership (as the case may be); and</p> <p>(B) within 16 months before the relevant date;</p> <p>(iv) one or more custodian statements issued to the corporation or partnership (as the case may be) within 12 months before the relevant date;</p> <p>(v) public filings made by or on behalf of the corporation or partnership pursuant to any statutory requirement in Hong Kong or any place outside Hong Kong within 12 months before the relevant date; or</p> <p>(vi) a certificate or certificates issued by an auditor, a professional accountant or one or more custodians of the corporation or partnership within 12 months before the relevant date; and”</p> <p>4. Section 3(d) of the Rules shall be modified to read as:</p> <p>“any corporation</p> <p>(i) the sole business of which at the relevant date is to hold investments and which at the relevant date is wholly owned by any one or more of the following persons-</p> <p>(A) a trust corporation that falls within the description in paragraph (a);</p> <p>(B) an individual who, either alone or with any of his or her associates on a joint account, falls within the description in paragraph (b);</p> <p>(C) a corporation that falls within the description in paragraph (c);</p> <p>(D) a partnership that falls within the description in paragraph (c); or</p>

Revocations of Securities and Futures (Professional Investor) Rules (the “Rules”) granted under section 134 of the Securities and Futures Ordinance (the “Ordinance”) upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018

	Name of the person (CE number)	Date of grant of the modification or waiver	Date of revocation	Particulars of the modification or waiver and reasons for revocation
				<p>(ii) the principal businesses of which at the relevant date include the holding of investments and which at the relevant date is wholly owned by one person or jointly owned by two or more persons, where that person or each of those persons, as the case may be, falls within the description in paragraph (b), (c), subparagraph (d)(i)(B) or this subparagraph (d)(ii) of this section or paragraph (a), (d), (e), (f), (g) or (h) of the definition of ‘professional investor’ in Part 1 of Schedule 1 to the Ordinance.”</p> <p>Reasons for the revocation: The Commission has revoked the above modification as the person no long needs the modification upon the Securities and Futures (Professional Investor) (Amendment) Rules 2018 came into operation on 13 July 2018.</p>