



**SECURITIES AND
FUTURES COMMISSION**
證券及期貨事務監察委員會

**LICENCE UNDER THE
SECURITIES AND FUTURES ORDINANCE, CAP. 571**

牌照《證券及期貨條例》(香港法例第 571 章)

Name of corporation **ABC Limited**
持牌法團 **ABC 有限公司**

Central entity no. **XXXXXX**
中央編號

Date of Issue **3 December 2018**
簽發日期 **2018 年 12 月 3 日**

The above-mentioned person is licensed to carry on the following regulated activities:
上述法團已獲發牌進行以下受規管活動:

Type 1 : Dealing in Securities	第 1 類 : 證券交易
Type 4 : Advising on Securities	第 4 類 : 就證券提供意見
Type 9 : Asset Management	第 9 類 : 提供資產管理

This licence is granted on the following conditions:
此牌照須受以下條件規限:

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

第 9 類: 就第 9 類受規管活動而言, 持牌人只可向專業投資者提供服務。"專業投資者"的定義在《證券及期貨條例》及其附屬法例的條文內界定。