CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: Korea Investment & Securities Asia Limited
CE No.: AED807
Licence Type: Licensed Corporation
Condition Added:
For Type 2 regulated activity, the licensee shall only provide services to professional investors.
The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation.
Condition Level: Type 2 Regulated Activity

CE Name: Jinghui Capital Limited
CE No.: BND663
Licence Type: Licensed Corporation
Condition Added:
For Type 4 regulated activity, the licensee shall only provide services to professional investors.
The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation.
Condition Level: Type 4 Regulated Activity

CE Name: BFIN Private Advisors (Hong Kong) Limited
CE No.: BCA093
Licence Type: Licensed Corporation
Condition Removed:
For Type 6 regulated activity, the licensee shall not act as sponsor in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CE Name: BFIN Private Advisors (Hong Kong) Limited
CE No.: BCA093
Licence Type: Licensed Corporation
Condition Removed:
For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.
Condition Level: Type 6 Regulated Activity

CE Name: Jinghui Capital Limited
CE No.: BND663
Licence Type: Licensed Corporation
Condition Added:
For Type 6 regulated activity, the licensee shall not act as sponsor in respect of an application for the listing on a recognized stock market of any securities.
Condition Level: Type 6 Regulated Activity

CE Name: Grand View Asset Management Limited
CE No.: BIX320
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

Licence Type: Licensed Corporation
Condition Removed:
For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance.
Condition Level: Type 9 Regulated Activity

CE Name: Hope Securities Limited
CE No.: BKD589
Licence Type: Licensed Corporation
Condition Added:
For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance.
Condition Level: Type 9 Regulated Activity

CE Name: WK Fund Management Limited
CE No.: BMC002
Licence Type: Licensed Corporation
Condition Removed:
For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance.
Condition Level: Type 9 Regulated Activity

CE Name: Jinghui Capital Limited
CE No.: BND663
Licence Type: Licensed Corporation
Condition Added:
For Type 9 regulated activity, the licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation.
Condition Level: Type 9 Regulated Activity

CE Name: Tachibana Securities (Hong Kong) Limited
CE No.: ABZ891
Licence Type: Licensed Corporation
Condition Added:
The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation.
Condition Level: Licence

CE Name: Korea Investment & Securities Asia Limited
CE No.: AED807
Licence Type: Licensed Corporation
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

Condition Removed:
The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance.
Condition Level: Licence

CE Name: LW Asset Management Advisors Limited
CE No.: BAP023
Licence Type: Licensed Corporation
Condition Removed:
The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation.
Condition Level: Licence

CE Name: Howbuy Hong Kong Limited
CE No.: BJR948
Licence Type: Licensed Corporation
Condition Removed:
The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance.
Condition Level: Licence

CE Name: Jinghui Capital Limited
CE No.: BND663
Licence Type: Licensed Corporation
Condition Removed:
The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance.
Condition Level: Licence

CE Name: Jinghui Capital Limited
CE No.: BND663
Licence Type: Licensed Corporation
Condition Removed:
The licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation.
Condition Level: Licence

CE Name: LEUNG Yuen Hong
CE No.: AAJ913
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

(b) not subject to this condition.
Condition Level: Type 1 Regulated Activity

CE Name: MAK Wing Yin
CE No.: ACL289
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: MAK Wing Yin
CE No.: ACL289
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 1 Regulated Activity

CE Name: YANG Zhizhong
CE No.: ACO050
Licence Type: Licensed Representative
Condition Removed:
For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.
Condition Level: Type 1 Regulated Activity

CE Name: FUNG Shu Sum
CE No.: AED604
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

Condition Level: Type 1 Regulated Activity

CE Name: FUNG Shu Sum
CE No.: AED604
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: WAITE III Norman
CE No.: AEI859
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: LEUNG Man Wai
CE No.: AEU886
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 1 Regulated Activity

CE Name: FOK Chi Tat, Michael
CE No.: AGH222
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

CE Name: WANG Kenneth Chuan
CE No.: AHU775
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: PANG Chi Wing, Victor
CE No.: AKL738
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.
Condition Level: Type 1 Regulated Activity

CE Name: KWOK Ying Cheuk
CE No.: AKU150
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 1 regulated activity (“the activity”), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 1 Regulated Activity

CE Name: CHEUNG Siu Kai
CE No.: ALQ630
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.
Condition Level: Type 1 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: RAWAT Abhishek
CE No.: ALQ696
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 1 Regulated Activity

CE Name: RAWAT Abhishek
CE No.: ALQ696
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: KUO Che-Jung
CE No.: ALT954
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 1 Regulated Activity

CE Name: KUO Che-Jung
CE No.: ALT954
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: PARK Kyoung Keun
CE No.: AMF135
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: YEH Ivan Hanson Shing Yue
CE No.: AMM375
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity
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CE Name: LO Cheuk Yee, Helen
CE No.: ANA705
Licence Type: Licensed Representative
Condition Added:
For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.
Condition Level: Type 1 Regulated Activity

CE Name: CARTER Ramsay James
CE No.: ANE831
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: WANG Wenhui
CE No.: AOL182
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: WANG Wenhui
CE No.: AOL182
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
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Condition Level: Type 1 Regulated Activity

CE Name: WU Xiao
CE No.: AOS437
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.

Condition Level: Type 1 Regulated Activity

CE Name: WONG King Chung
CE No.: APB407
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.

Condition Level: Type 1 Regulated Activity

CE Name: AGGARWAL Mayurh
CE No.: APM135
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 1 Regulated Activity

CE Name: AGGARWAL Mayurh
CE No.: APM135
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: ZHANG Jinghao
CE No.: APM160
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

Licence Type: Licensed Representative
Condition Removed:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 1 Regulated Activity

CE Name: CHIN Sui Ying
CE No.: APR030
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: LEE Tsi Bun, Benjamin
CE No.: AQM594
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.
Condition Level: Type 1 Regulated Activity

CE Name: LEE Tsi Bun, Benjamin
CE No.: AQM594
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity, the licensee shall only engage in underwriting, sub-underwriting and placing of securities.
Condition Level: Type 1 Regulated Activity

CE Name: TANG Chi Ho
CE No.: AQS223
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 1 Regulated Activity

CE Name: TANG Chi Ho
CE No.: AQS223
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: KWOK Ka Lok, Stanley
CE No.: ARL159
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: LEUNG Wai Ying
CE No.: ASC836
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: LEUNG Wai Ying
CE No.: ASC836
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.
Condition Level: Type 1 Regulated Activity

CE Name: LEUNG Wai Ying
CE No.: ASC836
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 1 Regulated Activity

CE Name: TADELIS Jamie Hal
CE No.: ASO236
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 1 Regulated Activity

CE Name: LACOURTE Amaury, Athanase, Dominique-Marie
CE No.: ATG721
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 1 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: LACOURTE Amaury, Athanase, Dominique-Marie
CE No.: ATG721
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: CHEUNG Wai Hung
CE No.: AUN717
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: CHEUNG Wai Hung
CE No.: AUN717
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.
Condition Level: Type 1 Regulated Activity

CE Name: CHEUNG Wai Hung
CE No.: AUN717
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
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Condition Level: Type 1 Regulated Activity

CE Name: CHENG Chun Fai, Hudson
CE No.: AVX842
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.
Condition Level: Type 1 Regulated Activity

CE Name: HO Ka Ming
CE No.: AVY420
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 1 Regulated Activity

CE Name: HO Ka Ming
CE No.: AVY420
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: MCDougall Alexander Henry
CE No.: AWH550
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

Condition Level: Type 1 Regulated Activity

CE Name: MCDOUGALL Alexander Henry
CE No.: AWH550
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 1 Regulated Activity

CE Name: ODORCZUK Adam Robert
CE No.: AWZ027
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: ODORCZUK Adam Robert
CE No.: AWZ027
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 1 Regulated Activity

CE Name: TANG Fung
CE No.: AXA214
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

CE Name: SZE Kwun Yu, Jason
CE No.: AXD898
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: SZE Kwun Yu, Jason
CE No.: AXD898
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 1 Regulated Activity

CE Name: LEE Gee Eun
CE No.: AXG142
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 1 Regulated Activity

CE Name: LEE Gee Eun
CE No.: AXG142
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

CE Name: FONG Man Kei
CE No.: AXJ861
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 1 Regulated Activity

CE Name: LEUNG Chu Tung
CE No.: AYI394
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.
Condition Level: Type 1 Regulated Activity

CE Name: WANG Jiliang
CE No.: AYR798
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.
Condition Level: Type 1 Regulated Activity

CE Name: HWANG Jae Hyuk
CE No.: AYS870
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: JOHNSON Nicholas Regan
CE No.: AYT747
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.
Condition Level: Type 1 Regulated Activity

CE Name: MA Tengying
CE No.: AZD807
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 1 Regulated Activity

CE Name: LEUNG Hong Kan
CE No.: AZM887
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 1 Regulated Activity

CE Name: ZENG Haibo
CE No.: BAH456
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: YU Mao
CE No.: BAN026
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.
Condition Level: Type 1 Regulated Activity

CE Name: YU Mao
CE No.: BAN026
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: YU Mao
CE No.: BAN026
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 1 Regulated Activity

CE Name: NGUYEN The-Xan-Dieu
CE No.: BBM580
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: AN Yang
CE No.: BDF640
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 1 Regulated Activity

CE Name: AAGAARD Lars Erik
CE No.: BDQ224
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.

Condition Level: Type 1 Regulated Activity

CE Name: KUANG Kefu
CE No.: BEA507
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: KUANG Kefu
CE No.: BEA507
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 1 Regulated Activity

CE Name: LAI Yan
CE No.: BEE229
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.
Condition Level: Type 1 Regulated Activity

CE Name: HUTAURUK Montassya Uly Basa
CE No.: BEO582
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:

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

CE Name: LAI Yan
CE No.: BEE229
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

Condition Level: Type 1 Regulated Activity

CE Name: WU Yi-Ping
CE No.: BFN192
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: WANG Huifeng
CE No.: BGA440
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised
local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the
Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: GUAN Lei
CE No.: BGM931
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that
regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later
date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised
local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the
Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: GUAN Lei
CE No.: BGM931
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible
officer, when actively participating in or when directly supervising the business of the activity,
do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 1 Regulated Activity

CE Name: SIM Zheng Wei
CE No.: BHD551
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that
regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later
date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised
local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the
Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: HU Bin
CE No.: BHF818
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 1 Regulated Activity

CE Name: DARAHEM DE SOUZA COELHO Daniel
CE No.: BHG418
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.
Condition Level: Type 1 Regulated Activity

CE Name: ZHAO Tong
CE No.: BHR770
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: KUDO Yoko
CE No.: BHT721
Licence Type: Licensed Representative
Condition Added:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 5 May 2020 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper [%number%] pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

Condition Level: Type 1 Regulated Activity

CE Name: HUANG Kun-sheng
CE No.: BHV143
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 1 Regulated Activity

CE Name: HUANG Kun-sheng
CE No.: BHV143
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: LI Kwok Man
CE No.: BKA616
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: CHAN Hoi Yee
CE No.: BKC604
Licence Type: Licensed Representative (Provisional Licence)
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:

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

Condition Level: Type 1 Regulated Activity

CE Name: SIA Ke Yong Jared
CE No.: BKI365
Licence Type: Licensed Representative
Condition Added:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:

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

Condition Level: Type 1 Regulated Activity

CE Name: MERNER Ken Tokugawa
CE No.: BLO977
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:

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

Condition Level: Type 1 Regulated Activity

CE Name: MERNER Ken Tokugawa
CE No.: BLO977
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 1 Regulated Activity

CE Name: LI Binnan
CE No.: BMT388
Licence Type: Licensed Representative - Responsible Officer

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

CE Name: LI Binnan
CE No.: BMT388
Licence Type: Licensed Representative - Responsible Officer

Condition Removed:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 1 Regulated Activity

CE Name: YABE Ryota
CE No.: BMV303
Licence Type: Licensed Representative - Responsible Officer

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

CE Name: YABE Ryota
CE No.: BMV303
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 1 Regulated Activity

CE Name: BARDHAN RAY Ambarish
CE No.: BNB420
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 1 Regulated Activity

CE Name: ZHOU Xiaoli
CE No.: BND518
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity
GUIDELINES ON COMPETENCE Issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: YEUNG Kwong Hing
CE No.: BNF966
Licence Type: Licensed Representative (Provisional Licence)
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: LIU Ngai Kan
CE No.: BOA983
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 10 April 2020 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 1 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: XI Wang
CE No.: BOE256
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: CHI Chao
CE No.: BOF142
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: FANG Yingping
CE No.: BOF903
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: TU Zhengfeng
CE No.: BOF927
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: LI Siqi
CE No.: BOF938
Licence Type: Licensed Representative
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

CE Name: DAI Rui
CE No.: BOG080
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: LEE Thurston R
CE No.: BOG360
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: WANG Fei
CE No.: BOG390
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

CE Name: HO Kenneth Kar-hin
CE No.: BOG656
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: LEE Hee Sung
CE No.: BOG908
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: SUN Na
CE No.: BOH565
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: HARTLEY Andrew Eric
CE No.: BOH914
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 3 January 2020 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 1 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: BAO Yuzhe
CE No.: BOI293
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: HORNE Kathryn Jean
CE No.: BOI309
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: WIJERATHNA Praveen
CE No.: BOI341
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: VINNER Deep Singh
CE No.: BOI736
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: HUANG Lei
CE No.: BOI962
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS
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Condition Level: Type 1 Regulated Activity

CE Name: WU Xiuyuan
CE No.: BOJ028
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: SHAN Shan
CE No.: BOJ070
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: KATSUKI Kosuke
CE No.: BOJ217
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: CHEN Ling
CE No.: BOJ664
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: LIU Honghui
CE No.: BOJ742
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: BHATTACHARYA Devraj
CE No.: BOJ789
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: DONG Xun
CE No.: BOK248
Licence Type: Licensed Representative
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

CE Name: HE Munan
CE No.: BOL046
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: LI Yilun
CE No.: BOL472
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: HONG Tianze
CE No.: BOM092
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS
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(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that
regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later
date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised
local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the
Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: FERGUSON Ewan James
CE No.: BOM489
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that
regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later
date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised
local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the
Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: WANG Aiyi
CE No.: BOM643
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that
regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later
date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised
local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the
Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: UREN Paul Stephen James
CE No.: BON475
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that
regulated activity; or
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

Condition Level: Type 1 Regulated Activity

CE Name: ZHU Feiyang
CE No.: BON484
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: GOYAL Nayan Mahendra
CE No.: BON973
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: YANG Hao
CE No.: BOO280
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: CHENG Tsz Hin
CE No.: BOO417
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: JEON Jong Min
CE No.: BOO898
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: LIAO Gehan
CE No.: BOP001
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

Condition Level: Type 1 Regulated Activity

CE Name: ZHANG Xichen
CE No.: BOP231
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: LEE Halim
CE No.: BOP329
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: SUN Xin
CE No.: BOP483
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: ZHOU Yihan  
CE No.: BOP756  
Licence Type: Licensed Representative  
Condition Removed:  
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:  
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or  
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),  
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.  
Condition Level: Type 1 Regulated Activity

CE Name: XIONG Ziyi  
CE No.: BOP927  
Licence Type: Licensed Representative  
Condition Removed:  
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:  
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or  
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),  
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.  
Condition Level: Type 1 Regulated Activity

CE Name: CHENG Wai Yi  
CE No.: BOQ051  
Licence Type: Licensed Representative  
Condition Removed:  
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:  
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or  
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),  
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.  
Condition Level: Type 1 Regulated Activity

CE Name: WANG Xiyang  
CE No.: BOQ846  
Licence Type: Licensed Representative
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

CE Name: SHI Zhongwei
CE No.: BOQ900
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: KO Sung Hoon
CE No.: BOQ930
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: SONG Haoze
CE No.: BOR367
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

Condition Level: Type 1 Regulated Activity

CE Name: WONG Yong Wen
CE No.: BOR400
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: CHOW Ka Yuet, Kathy
CE No.: BOR403
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: WANG Xiaorui
CE No.: BOR577
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: CHEN Yuhu
CE No.: BOR694
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: DONG Yixiao
CE No.: BOR814
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: LIU Yilin
CE No.: BOR899
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
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whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: ZHENG Shen
CE No.: BOS194
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: LIM Atthaseda Anthony
CE No.: BOS251
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: WANG Xingyuan
CE No.: BOS314
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
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Condition Level: Type 1 Regulated Activity

CE Name: QIN Yi
CE No.: BOS493
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: YANG Da
CE No.: BOS758
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: SHI Qi
CE No.: BOS808
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS
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CE Name: SHEN Guangchen  
CE No.: BOT149  
Licence Type: Licensed Representative  
Condition Removed:  
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:  
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or  
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.  
Condition Level: Type 1 Regulated Activity

CE Name: PU Frank Chang  
CE No.: BOT378  
Licence Type: Licensed Representative  
Condition Removed:  
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:  
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or  
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.  
Condition Level: Type 1 Regulated Activity

CE Name: CHEN Ming  
CE No.: BOT554  
Licence Type: Licensed Representative  
Condition Removed:  
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:  
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or  
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.  
Condition Level: Type 1 Regulated Activity

CE Name: CHEN Xinru  
CE No.: BOT804  
Licence Type: Licensed Representative
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

CE Name: CHENG Tin Hang Enzo
CE No.: BOT880
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: LU Shiwei
CE No.: BOT898
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: CHAN Siu Ki Lincoln
CE No.: BOT912
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
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(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that 
regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later 
date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised 
local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the 
Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: LI Xumeng
CE No.: BOT948
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that 
regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later 
date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised 
local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the 
Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: LAU Ching Yan
CE No.: BOT981
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that 
regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later 
date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised 
local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the 
Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: ZHAO Yundi
CE No.: BOT985
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that 
regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: BOKOBZA Dylan Joseph Nathanael
CE No.: BOU052
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: XU Yuying
CE No.: BOU560
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: FENG Yanyan
CE No.: BOU561
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
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whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: CUI Jiaming
CE No.: BOU586
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: BANSAL Isha
CE No.: BOU630
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: FOK Yu Man
CE No.: BOX236
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
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Condition Level: Type 1 Regulated Activity

CE Name: ZHU Jinglin
CE No.: BOX480
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: NG Ting Wai
CE No.: BOX505
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: CHEN Xiaomin
CE No.: BOZ659
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity
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CE Name: NI Qingyun
CE No.: BPB441
Licence Type: Licensed Representative (Provisional Licence)
Condition Removed:
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: HUANG Han-Ping
CE No.: BNU192
Licence Type: Licensed Representative (Provisional Licence)
Condition Removed:
This licence, in relation to Type 10 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 10 Regulated Activity

CE Name: HU Qianqi
CE No.: BOS945
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 10 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 10 Regulated Activity

CE Name: WANG Zhixiang
CE No.: BOT263
Licence Type: Licensed Representative
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

Condition Removed:
This licence, in relation to Type 10 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 10 Regulated Activity

CE Name: YIM Tsz Kwan
CE No.: BOW578
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 10 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 10 Regulated Activity

CE Name: TING Kwok Hing
CE No.: ACB661
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 2 Regulated Activity

CE Name: WONG Yim Keung
CE No.: AJE545
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

Condition Level: Type 2 Regulated Activity

CE Name: WONG Yim Keung
CE No.: AJE545
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 2 Regulated Activity

CE Name: GHIA Manish Hasmukh
CE No.: AJL427
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 2 Regulated Activity

CE Name: KUO Che-Jung
CE No.: ALT954
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

CE Name: WU Xiao
CE No.: AOS437
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 2 Regulated Activity

CE Name: WU Xiao
CE No.: AOS437
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 2 Regulated Activity

CE Name: LAW Ka Fai
CE No.: APH953
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 2 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: LAW Ka Fai
CE No.: APH953
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 2 Regulated Activity

CE Name: HO Kai Yu
CE No.: AQJ195
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 2 Regulated Activity

CE Name: HO Kai Yu
CE No.: AQJ195
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 2 Regulated Activity

CE Name: CHOY Yau Fai
CE No.: AQG237
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 2 Regulated Activity

CE Name: LACOURTE Amaury, Athanase, Dominique-Marie  
CE No.: ATG721  
Licence Type: Licensed Representative - Responsible Officer  
Condition Added:  
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:  
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or  
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 2 Regulated Activity

CE Name: LACOURTE Amaury, Athanase, Dominique-Marie  
CE No.: ATG721  
Licence Type: Licensed Representative - Responsible Officer  
Condition Added:  
For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:  
(a) accredited to the principal concerned of the licensee in respect of the activity; and  
(b) not subject to this condition.

Condition Level: Type 2 Regulated Activity

CE Name: ODORCZUK Adam Robert  
CE No.: AWZ027  
Licence Type: Licensed Representative - Responsible Officer  
Condition Removed:  
For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:  
(a) accredited to the principal concerned of the licensee in respect of the activity; and  
(b) not subject to this condition.

Condition Level: Type 2 Regulated Activity

CE Name: ODORCZUK Adam Robert  
CE No.: AWZ027  
Licence Type: Licensed Representative - Responsible Officer  
Condition Removed:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 2 Regulated Activity

CE Name: FONG Man Kei
CE No.: AXJ861
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 2 Regulated Activity

CE Name: TAHENY Kenneth John
CE No.: AXS067
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 2 Regulated Activity

CE Name: TAHENY Kenneth John
CE No.: AXS067
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 2 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: WANG Dong
CE No.: BBL833
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 2 Regulated Activity

CE Name: WANG Dong
CE No.: BBL833
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 2 Regulated Activity

CE Name: NGUYEN The-Xan-Dieu
CE No.: BBM580
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 2 Regulated Activity

CE Name: HUTAURUK Montassya Uly Basa
CE No.: BEO582
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 2 Regulated Activity

CE Name: KELLY Victoria Jeane
CE No.: BFB079
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 2 Regulated Activity

CE Name: GUAN Lei
CE No.: BGM931
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 2 Regulated Activity

CE Name: GUAN Lei
CE No.: BGM931
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 2 Regulated Activity

CE Name: CHANG Shaun Wen Fee
CE No.: BGV485
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 2 Regulated Activity

CE Name: CHANG Shaun Wen Fee
CE No.: BGV485
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 2 Regulated Activity

CE Name: KUDO Yoko
CE No.: BHT721
Licence Type: Licensed Representative
Condition Added:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 5 May 2020 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper [%number%] pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 2 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: POL Jos Henrik
CE No.: BJF260
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
  For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
  (a) accredited to the principal concerned of the licensee in respect of the activity; and
  (b) not subject to this condition.
Condition Level: Type 2 Regulated Activity

CE Name: POL Jos Henrik
CE No.: BJF260
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
  This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
  (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
  (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 2 Regulated Activity

CE Name: MERNER Ken Tokugawa
CE No.: BLO977
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
  This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
  (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
  (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 2 Regulated Activity

CE Name: MERNER Ken Tokugawa
CE No.: BLO977
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

CE Name: YABE Ryota
CE No.: BMV303
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 2 Regulated Activity

CE Name: YABE Ryota
CE No.: BMV303
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 2 Regulated Activity

CE Name: BARDHAN RAY Ambarish
CE No.: BNB420
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 2 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: BARDHAN RAY Ambarish
CE No.: BNB420
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 2 Regulated Activity

CE Name: LEE Kang-hee
CE No.: BOE738
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 2 Regulated Activity

CE Name: WIJERATHNA Praveen
CE No.: BOI341
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 2 Regulated Activity

CE Name: BHATTACHARYA Devraj
CE No.: BOJ789
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

Condition Level: Type 2 Regulated Activity

CE Name: HE Munan
CE No.: BOL046
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 2 Regulated Activity

CE Name: DECLIPPELEIR Olivier, Francois
CE No.: BOL720
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 2 Regulated Activity

CE Name: ACTON Daniel Thomas
CE No.: BOM505
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

Condition Level: Type 2 Regulated Activity

CE Name: CHEN Yi
CE No.: BOP678
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that
regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later
date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised
local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the
Commission and informed the Commission of the examination result.

Condition Level: Type 2 Regulated Activity

CE Name: SHI Zhongwei
CE No.: BOQ900
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that
regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later
date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised
local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the
Commission and informed the Commission of the examination result.

Condition Level: Type 2 Regulated Activity

CE Name: SONG Haoze
CE No.: BOR367
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that
regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later
date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised
local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the
Commission and informed the Commission of the examination result.

Condition Level: Type 2 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: DONG Yixiao
CE No.: BOR814
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 2 Regulated Activity

CE Name: LIM Atthaseda Anthony
CE No.: BOS251
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 2 Regulated Activity

CE Name: LAVATELLI Francesco
CE No.: BOT058
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 2 Regulated Activity

CE Name: BOKOBZA Dylan Joseph Nathanael
CE No.: BOU052
Licence Type: Licensed Representative
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

Condition Removed:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 2 Regulated Activity

CE Name: FOK Yu Man
CE No.: BOX236
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 2 Regulated Activity

CE Name: TSOI Wai Hin
CE No.: ACJ816
Licence Type: Licensed Representative
Condition Removed:
For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.
Condition Level: Type 3 Regulated Activity

CE Name: LAM Kin
CE No.: ADN251
Licence Type: Licensed Representative
Condition Removed:
For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.
Condition Level: Type 3 Regulated Activity

CE Name: LAU Stella Yuet Wah
CE No.: ADS277
Licence Type: Licensed Representative
Condition Removed:
For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.
Condition Level: Type 3 Regulated Activity

CE Name: WONG Ka Man
CE No.: AGH379
Licence Type: Licensed Representative
Condition Removed:
For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.
Condition Level: Type 3 Regulated Activity

CE Name: WU Po
CE No.: AGK695
Licence Type: Licensed Representative
Condition Removed:
For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.
Condition Level: Type 3 Regulated Activity

CE Name: TANG Ming Yuen
CE No.: AIS988
Licence Type: Licensed Representative
Condition Removed:
For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.
Condition Level: Type 3 Regulated Activity

CE Name: MARK Wo Kim
CE No.: AJL718
Licence Type: Licensed Representative
Condition Removed:
For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.
Condition Level: Type 3 Regulated Activity

CE Name: KWAN Wai Hang, William
CE No.: ALW384
Licence Type: Licensed Representative
Condition Removed:
For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.
Condition Level: Type 3 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: WONG Kit Sum, Ada
CE No.: AMU509
Licence Type: Licensed Representative
Condition Removed:
For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.
Condition Level: Type 3 Regulated Activity

CE Name: LIU Oi Yee
CE No.: AOR643
Licence Type: Licensed Representative
Condition Added:
For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.
Condition Level: Type 3 Regulated Activity

CE Name: SIA Sze Wai
CE No.: AQI873
Licence Type: Licensed Representative
Condition Removed:
For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.
Condition Level: Type 3 Regulated Activity

CE Name: LEE Lok Ki
CE No.: AQZ591
Licence Type: Licensed Representative
Condition Removed:
For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.
Condition Level: Type 3 Regulated Activity

CE Name: CHAN Yan
CE No.: AUG812
Licence Type: Licensed Representative
Condition Added:
For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.
Condition Level: Type 3 Regulated Activity

CE Name: CHAN Yan
CE No.: AUG812
Licence Type: Licensed Representative
Condition Removed:
For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.
Condition Level: Type 3 Regulated Activity

CE Name: CHU Po Yuen
CE No.: BBL114
Licence Type: Licensed Representative
Condition Added:
For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.
Condition Level: Type 3 Regulated Activity

CE Name: TSUI Ho Chuen, Samson
CE No.: BHB670
Licence Type: Licensed Representative
Condition Added:
For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.
Condition Level: Type 3 Regulated Activity

CE Name: LAM Chun Bun
CE No.: BHL101
Licence Type: Licensed Representative
Condition Added:
For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.
Condition Level: Type 3 Regulated Activity

CE Name: MAO Linze
CE No.: BIB161
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 3 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 3 Regulated Activity

CE Name: IP Ka Ho
CE No.: BOM542
Licence Type: Licensed Representative
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

Condition Added:
For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.
Condition Level: Type 3 Regulated Activity

CE Name: TONG Tak Kin
CE No.: BOT315
Licence Type: Licensed Representative
Condition Added:
For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.
Condition Level: Type 3 Regulated Activity

CE Name: LAU Kin Wing, Ken
CE No.: AAB985
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 4 Regulated Activity

CE Name: LAU Kin Wing, Ken
CE No.: AAB985
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: LEUNG Yuen Hong
CE No.: AAJ913
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 4 Regulated Activity

CE Name: MUMFORD Robert Vyvyan
CE No.: AAW514
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 4 Regulated Activity

CE Name: MUMFORD Robert Vyvyan
CE No.: AAW514
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: LEE Huk Bun
CE No.: ADZ881
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: WAITE III Norman
CE No.: AEI859
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

CE Name: TAM Pui Yi, Fiony
CE No.: AHG456
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: WANG Kenneth Chuan
CE No.: AHU775
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: MA Shek Yee
CE No.: AHX750
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: MA Shek Yee
CE No.: AHX750
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 4 Regulated Activity

CE Name: CHEUNG Wing On, Rickey
CE No.: AJE323
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 4 Regulated Activity

CE Name: KWOK Ying Cheuk
CE No.: AKU150
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 4 Regulated Activity

CE Name: RAWAT Abhishek
CE No.: ALQ696
Licence Type: Licensed Representative - Responsible Officer
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

CE Name: QIAN Cheng
CE No.: ALW229
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 4 Regulated Activity

CE Name: QIAN Cheng
CE No.: ALW229
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: YEH Ivan Hanson Shing Yue
CE No.: AMM375
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: CARTER Ramsay James
CE No.: ANE831
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i)  upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii)  6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: WANG Wenhui
CE No.: AOL182
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a)  accredited to the principal concerned of the licensee in respect of the activity; and
(b)  not subject to this condition.
Condition Level: Type 4 Regulated Activity

CE Name: WANG Wenhui
CE No.: AOL182
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i)  upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii)  6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: WU Xiao
CE No.: AOS437
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 4 Regulated Activity

CE Name: FAN Lili
CE No.: AOT501
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 4 Regulated Activity

CE Name: FAN Lili
CE No.: AOT501
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: TONG Leslie Wai-yun
CE No.: APL611
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: TONG Leslie Wai-yun
CE No.: APL611
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 4 Regulated Activity

CE Name: AGGARWAL Mayurh
CE No.: APM135
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 4 Regulated Activity

CE Name: AGGARWAL Mayurh
CE No.: APM135
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: ZHANG Jinghao
CE No.: APM160
Licence Type: Licensed Representative
Condition Removed:
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 4 Regulated Activity

CE Name: CHOI Joon Ho
CE No.: ARJ837
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: KWOK Ka Lok, Stanley
CE No.: ARL159
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: TSAI Ti-yun
CE No.: ASF961
Licence Type: Licensed Representative
Condition Added:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: WU Yi Shun, Josephine
CE No.: ATT236
Licence Type: Licensed Representative
Condition Removed:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 4 Regulated Activity

CE Name: WU Yi Shun, Josephine
CE No.: ATT236
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: LU Chia-lin
CE No.: AWB680
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity
CE Name: MCDougall Alexander Henry
CE No.: AWH550
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 4 Regulated Activity

CE Name: MCDougall Alexander Henry
CE No.: AWH550
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: Hua Ling
CE No.: AYQ547
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 4 Regulated Activity

CE Name: Hwang Jae Hyuk
CE No.: AYS870
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: MA Tengying
CE No.: AZD807
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 4 Regulated Activity

CE Name: CHAN Hiu Shun
CE No.: AZE439
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: LEUNG Hong Kan
CE No.: AZM887
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 4 Regulated Activity

CE Name: LI Ho Fung
CE No.: AZS874
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 4 Regulated Activity

CE Name: ZENG Haibo
CE No.: BAH456
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: LIN Gary Gang
CE No.: BAV330
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 4 Regulated Activity

CE Name: LIN Gary Gang
CE No.: BAV330
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: WONG Joon Kwang
CE No.: BBF662
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 4 Regulated Activity

CE Name: HUANG Hongyan
CE No.: BCQ552
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: WONG Ka Fai
CE No.: BCV339
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 4 Regulated Activity

CE Name: KUANG Kefu
CE No.: BEA507
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

Condition Level: Type 4 Regulated Activity

CE Name: KUANG Kefu
CE No.: BEA507
Licence Type: Licensed Representative - Responsible Officer

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

Condition Level: Type 4 Regulated Activity

CE Name: LAI Yan
CE No.: BEE229
Licence Type: Licensed Representative - Responsible Officer

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

Condition Level: Type 4 Regulated Activity

CE Name: LAI Yan
CE No.: BEE229
Licence Type: Licensed Representative - Responsible Officer

Condition Added:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 4 Regulated Activity

CE Name: DAI Zhijie
CE No.: BEQ286
Licence Type: Licensed Representative - Responsible Officer

Condition Removed:
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 4 Regulated Activity

CE Name: DAI Zhijie
CE No.: BEQ286
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: JIANG Jiayan
CE No.: BES176
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 4 Regulated Activity

CE Name: JIANG Jiayan
CE No.: BES176
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: GUAN Lei
CE No.: BGM931
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: GUAN Lei
CE No.: BGM931
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 4 Regulated Activity

CE Name: HU Bin
CE No.: BHF818
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 4 Regulated Activity

CE Name: ZHANG Ningxin
CE No.: BHH212
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: ZHANG Ningxin
CE No.: BHH212
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 4 Regulated Activity

CE Name: ZHAO Tong
CE No.: BHR770
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: MIVELAZ Yannick Alfred Eric
CE No.: BJJ553
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 4 Regulated Activity

CE Name: MIVELAZ Yannick Alfred Eric
CE No.: BJJ553
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: LI Binnan
CE No.: BMT388
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: PENG Hui
CE No.: BMW318
Licence Type: Licensed Representative
Condition Added:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 30/04/2020 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities
and Futures Intermediaries (LE) Paper 1 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: LAU Chi Yin
CE No.: BND487
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 4 Regulated Activity

CE Name: ZHOU Xiaoli
CE No.: BND518
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) on 21 December 2019 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 1 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: PENG Shuaijie
CE No.: BNJ202
Licence Type: Licensed Representative
Condition Added:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 13 February 2020 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 1 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: JOHANSSON Yngve Daniel
CE No.: BNN858
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: WANG Kaifan
CE No.: BNR810
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 4 Regulated Activity

CE Name: WANG Kaifan
CE No.: BNR810
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: XI Wang
CE No.: BOE256
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: CHI Chao
CE No.: BOF142
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: FANG Yingping
CE No.: BOF903
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: TU Zhengfeng
CE No.: BOF927
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: LI Siqi
CE No.: BOF938
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: DAI Rui
CE No.: BOG080
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: LEE Thurston R
CE No.: BOG360
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

Condition Level: Type 4 Regulated Activity

CE Name: HO Kenneth Kar-hin
CE No.: BOG656
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i)  upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii)  6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: LEE Hee Sung
CE No.: BOG908
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i)  upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii)  6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: XIAO Xiao
CE No.: BOH759
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i)  upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii)  6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: HARTLEY Andrew Eric
CE No.: BOH914
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 3 January 2020 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 1 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: HORNE Kathryn Jean
CE No.: BOI309
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: VINNER Deep Singh
CE No.: BOI736
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: HUANG Lei
CE No.: BOI962
Licence Type: Licensed Representative
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

CE Name: SHAN Shan
CE No.: BOJ070
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: WANG Yujie
CE No.: BOJ430
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: DONG Xun
CE No.: BOK248
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

CE Name: HUO Yu Chen
CE No.: BOK338
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: HE Munan
CE No.: BOL046
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: HONG Tianze
CE No.: BOM092
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: WANG Aiyi
CE No.: BOM643
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: UREN Paul Stephen James
CE No.: BON475
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: ZHU Feiyang
CE No.: BON484
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

**Condition Level: Type 4 Regulated Activity**

CE Name: GOYAL Nayan Mahendra  
CE No.: BON973  
Licence Type: Licensed Representative  
Condition Removed:  
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or  
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

**Condition Level: Type 4 Regulated Activity**

CE Name: YANG Hao  
CE No.: BOO280  
Licence Type: Licensed Representative - Responsible Officer  
Condition Removed:  
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or  
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

**Condition Level: Type 4 Regulated Activity**

CE Name: HU Baifeng  
CE No.: BOO676  
Licence Type: Licensed Representative - Responsible Officer  
Condition Removed:  
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or  
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

Condition Level: Type 4 Regulated Activity

CE Name: HU Baifeng
CE No.: BOO676
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 4 Regulated Activity

CE Name: JEON Jong Min
CE No.: BOO898
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: TING Shu Hao
CE No.: BOO993
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: LIAO Gehan
CE No.: BOP001
Licence Type: Licensed Representative
Condition Removed:
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: ZHANG Xichen
CE No.: BOP231
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: LEE Halim
CE No.: BOP329
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: WU Kaiyi
CE No.: BOP351
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: SUN Xin
CE No.: BOP483
Licence Type: Licensed Representative

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

Condition Level: Type 4 Regulated Activity

CE Name: ZHOU Yihan
CE No.: BOP756
Licence Type: Licensed Representative

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

Condition Level: Type 4 Regulated Activity

CE Name: KO Sung Hoon
CE No.: BOQ930
Licence Type: Licensed Representative

Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: SONG Haoze
CE No.: BOR367
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: WONG Yong Wen
CE No.: BOR400
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: CHOW Ka Yuet, Kathy
CE No.: BOR403
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
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Condition Level: Type 4 Regulated Activity

CE Name: WANG Xiaorui
CE No.: BOR577
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: CHEN Yuhu
CE No.: BOR694
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: ZHENG Shen
CE No.: BOS194
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: YIP Sheung Fung  
CE No.: BOS266  
Licence Type: Licensed Representative  
Condition Removed:  
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:  
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or  
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),  
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.  
Condition Level: Type 4 Regulated Activity

CE Name: BAI Yanan  
CE No.: BOS478  
Licence Type: Licensed Representative  
Condition Removed:  
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:  
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or  
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),  
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.  
Condition Level: Type 4 Regulated Activity

CE Name: YANG Da  
CE No.: BOS758  
Licence Type: Licensed Representative  
Condition Removed:  
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:  
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or  
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),  
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.  
Condition Level: Type 4 Regulated Activity

CE Name: SHI Qi  
CE No.: BOS808  
Licence Type: Licensed Representative
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

CE Name: CHEN Ming
CE No.: BOT554
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: CHEN Xinru
CE No.: BOT804
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: CHENG Tin Hang Enzo
CE No.: BOT880
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: LU Shiwei
CE No.: BOT898
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: CHAN Siu Ki Lincoln
CE No.: BOT912
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: LI Xumeng
CE No.: BOT948
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: LAU Ching Yan
CE No.: BOT981
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),

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

Condition Level: Type 4 Regulated Activity

CE Name: ZHAO Yundi
CE No.: BOT985
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),

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

Condition Level: Type 4 Regulated Activity

CE Name: HUANG Xuwen
CE No.: BOU558
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: XU Yuying
CE No.: BOU560
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: FENG Yanyan
CE No.: BOU561
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: BANSAL Isha
CE No.: BOU630
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
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Condition Level: Type 4 Regulated Activity

CE Name: CHEN Sichao
CE No.: BOW553
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: ZHU Jinglin
CE No.: BOX480
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: NG Ting Wai
CE No.: BOX505
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: CHEN Xiaomin
CE No.: BOZ659
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: NI Qingyun
CE No.: BPB441
Licence Type: Licensed Representative (Provisional Licence)
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: WONG Yim Keung
CE No.: AJE545
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 5 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 5 Regulated Activity

CE Name: WONG Yim Keung
CE No.: AJE545
Licence Type: Licensed Representative - Responsible Officer
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

Condition Added:
For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 5 Regulated Activity

CE Name: CHOI Joon Ho
CE No.: ARJ837
Licence Type: Licensed Representative - Responsible Officer

Condition Removed:
This licence, in relation to Type 5 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 5 Regulated Activity

CE Name: WANG Dong
CE No.: BBL833
Licence Type: Licensed Representative - Responsible Officer

Condition Added:
For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 5 Regulated Activity

CE Name: WANG Dong
CE No.: BBL833
Licence Type: Licensed Representative - Responsible Officer

Condition Added:
This licence, in relation to Type 5 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
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Condition Level: Type 5 Regulated Activity

CE Name: NG Tsz Kin, William
CE No.: BOJ972
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 5 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 5 Regulated Activity

CE Name: DECLIPPELEIR Olivier, Francois
CE No.: BOL720
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 5 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 5 Regulated Activity

CE Name: ACTON Daniel Thomas
CE No.: BOM505
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 5 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 5 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: CHEN Yi
CE No.: BOP678
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 5 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 5 Regulated Activity

CE Name: SONG Haoze
CE No.: BOR367
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 5 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 5 Regulated Activity

CE Name: LAVATELLI Francesco
CE No.: BOT058
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 5 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 5 Regulated Activity

CE Name: SIT Wing Fai, Wilfred
CE No.: ACJ160
Licence Type: Licensed Representative - Responsible Officer
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

Condition Added:
For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: SIT Wing Fai, Wilfred
CE No.: ACJ160
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
In performing any distribution functions of index tracking exchange traded funds under its management prior to the listing of such funds, the licensee shall closely follow the distribution process adopted for Hang Seng H-Share Index ETF.
Condition Level: Type 6 Regulated Activity

CE Name: SIT Wing Fai, Wilfred
CE No.: ACJ160
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee shall only act as an agent for the listing of index tracking exchange traded funds under its management pursuant to Chapter 20 of the Rules Governing the Listing of Securities on the Stock Exchange of Hong Kong Limited. In acting as such agent, the licensee shall not advise on any listing that involves initial public offering contemplated under the Corporate Finance Adviser Code of Conduct.
Condition Level: Type 6 Regulated Activity

CE Name: SIT Wing Fai, Wilfred
CE No.: ACJ160
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.
Condition Level: Type 6 Regulated Activity

CE Name: JAMIESON Thomas Crawford
CE No.: ACN396
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.
Condition Level: Type 6 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: YANG Zhizhong
CE No.: ACO050
Licence Type: Licensed Representative
Condition Removed:
For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.
Condition Level: Type 6 Regulated Activity

CE Name: YEUNG Yiu Bong, Anthony
CE No.: ADG059
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: MORTON Peter Douglas
CE No.: ADO886
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: MAK Chi Ho
CE No.: AHT286
Licence Type: Licensed Representative
Condition Removed:
For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: POON Ho Ying, Irene
CE No.: AIL064
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and
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Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: WETSTEIN Daniel
CE No.: AJO677
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.
Condition Level: Type 6 Regulated Activity

CE Name: CHEUNG Siu Kai
CE No.: ALQ630
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.
Condition Level: Type 6 Regulated Activity

CE Name: CHANG Albert Yu Hwa
CE No.: AOL058
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: WONG King Chung
CE No.: APB407
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.
Condition Level: Type 6 Regulated Activity
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CE Name: KOID Chee Ling
CE No.: ARD491
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: NICHOLLS Paul Stewart
CE No.: ARD920
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: LEUNG Wai Ying
CE No.: ASC836
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: LEUNG Wai Ying
CE No.: ASC836
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity
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CE Name: CHEUNG On Kit, Andrew
CE No.: AUZ918
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: HE Dixi
CE No.: AVH102
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.
Condition Level: Type 6 Regulated Activity

CE Name: IAIA II Robert James
CE No.: AVJ365
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.
Condition Level: Type 6 Regulated Activity

CE Name: CHENG Chun Fai, Hudson
CE No.: AVX842
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: TANG Fung
CE No.: AXA214
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and
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Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: WONG Ho Yan
CE No.: AYA616
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: WAN Wing Yui
CE No.: AYE279
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: LI Pan
CE No.: AYF532
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: LI Pan
CE No.: AYF532
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
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(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: LEUNG Chu Tung
CE No.: AYI394
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: HUI Ka Ka
CE No.: AYJ245
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: SO Tat Chun
CE No.: AYK004
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: WANG Jiliang
CE No.: AYR798
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.
Condition Level: Type 6 Regulated Activity
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CE Name: JOHNSON Nicholas Regan
CE No.: AYT747
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.
Condition Level: Type 6 Regulated Activity

CE Name: YU Mao
CE No.: BAN026
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: YU Mao
CE No.: BAN026
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity (“the activity”), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: YU Mao
CE No.: BAN026
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity
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CE Name: ZHANG Yidan
CE No.: BCF400
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: ZHANG Yidan
CE No.: BCF400
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: ZHANG Yidan
CE No.: BCF400
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: AAGAARD Lars Erik
CE No.: BDQ224
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.
Condition Level: Type 6 Regulated Activity
CE Name: LAI Yan
CE No.: BEE229
Licence Type: Licensed Representative - Responsible Officer

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

CE Name: LAI Yan
CE No.: BEE229
Licence Type: Licensed Representative - Responsible Officer

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

CE Name: LAI Yan
CE No.: BEE229
Licence Type: Licensed Representative - Responsible Officer

Condition Added:
For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: TEOH Ronnie Chee Keong
CE No.: BEH781
Licence Type: Licensed Representative - Responsible Officer

Condition Added:
For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.
Condition Level: Type 6 Regulated Activity
CE Name: NG Loretta  
CE No.: BGN230  
Licence Type: Licensed Representative - Responsible Officer  
Condition Added:  
For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.  
Condition Level: Type 6 Regulated Activity

CE Name: CHEUNG Yee Tak Jonathan  
CE No.: BGZ326  
Licence Type: Licensed Representative - Responsible Officer  
Condition Added:  
For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.  
Condition Level: Type 6 Regulated Activity

CE Name: DARAHEM DE SOUZA COELHO Daniel  
CE No.: BHG418  
Licence Type: Licensed Representative - Responsible Officer  
Condition Added:  
For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.  
Condition Level: Type 6 Regulated Activity

CE Name: SIA Ke Yong Jared  
CE No.: BKI365  
Licence Type: Licensed Representative  
Condition Added:  
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:  
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or  
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.  
Condition Level: Type 6 Regulated Activity

CE Name: BASSOLINO Gaetano  
CE No.: BNW211  
Licence Type: Licensed Representative - Responsible Officer
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Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that
regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later
date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised
local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the
Commission and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: BASSOLINO Gaetano
CE No.: BNW211
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible
officer, when actively participating in or when directly supervising the business of the activity,
do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: FANG Yingping
CE No.: BOF903
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that
regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later
date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised
local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the
Commission and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: TU Zhengfeng
CE No.: BOF927
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that
regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later
date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 6 Regulated Activity

CE Name: LI Siqi
CE No.: BOF938
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 6 Regulated Activity

CE Name: BAO Yuzhe
CE No.: BOI293
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 6 Regulated Activity

CE Name: WANG Lihu
CE No.: BOI900
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
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Condition Level: Type 6 Regulated Activity

CE Name: HONG Tianze
CE No.: BOM092
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i)  upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii)  6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 6 Regulated Activity

CE Name: WANG Aiyi
CE No.: BOM643
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i)  upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii)  6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 6 Regulated Activity

CE Name: UREN Paul Stephen James
CE No.: BON475
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i)  upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii)  6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 6 Regulated Activity
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CE Name: ZHU Feiyang
CE No.: BON484
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: SEKIZUKA Masayuki
CE No.: BON875
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: LIAO Gehan
CE No.: BOP001
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
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(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: ZHANG Xichen
CE No.: BOP231
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: ZHOU Yihan
CE No.: BOP756
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: XIONG Ziyi
CE No.: BOP927
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
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(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 6 Regulated Activity

CE Name: WANG Xiyang
CE No.: BOQ846
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 6 Regulated Activity

CE Name: KO Sung Hoon
CE No.: BOQ930
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 6 Regulated Activity

CE Name: CHEN Yuhu
CE No.: BOR694
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
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whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: ZHENG Shen
CE No.: BOS194
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: WANG Xingyuan
CE No.: BOS314
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: QIN Yi
CE No.: BOS493
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
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Condition Level: Type 6 Regulated Activity

CE Name: YANG Da
CE No.: BOS758
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 6 Regulated Activity

CE Name: SHI Qi
CE No.: BOS808
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 6 Regulated Activity

CE Name: SHEN Guangchen
CE No.: BOT149
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 6 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: PU Frank Chang
CE No.: BOT378
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: CHEN Ming
CE No.: BOT554
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: CHEN Xinru
CE No.: BOT804
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: CHENG Tin Hang Enzo
CE No.: BOT880
Licence Type: Licensed Representative
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

CE Name: Li Xumeng
CE No.: BOT948
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: XU Yuying
CE No.: BOU560
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: FENG Yanyan
CE No.: BOU561
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
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(i)  upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii)  6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: CUI Jiaming
CE No.: BOU586
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i)  upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii)  6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: ZHU Jinglin
CE No.: BOX480
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i)  upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii)  6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 6 Regulated Activity

CE Name: CHEN Xiaomin
CE No.: BOZ659
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 6 regulated activity, shall lapse and cease to have effect:
(i)  upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 6 Regulated Activity

CE Name: FU Wai Man
CE No.: ABH654
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: FU Wai Man
CE No.: ABH654
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity

CE Name: KOO George Chen Yu
CE No.: ABU687
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity
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CE Name: LIU Sean Meng-hsiung
CE No.: ADJ311
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 9 Regulated Activity

CE Name: MORTON Peter Douglas
CE No.: ADO886
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing).
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity

CE Name: MORTON Peter Douglas
CE No.: ADO886
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 9 Regulated Activity

CE Name: LAU Hung Chuen
CE No.: ADZ808
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

Condition Level: Type 9 Regulated Activity

CE Name: LAU Hung Chuen
CE No.: ADZ808
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity

CE Name: LEE Huk Bun
CE No.: ADZ881
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity

CE Name: WANG Julius
CE No.: AEB169
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: LAU Yue Wah, Brian
CE No.: AFS902
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 9 Regulated Activity

CE Name: LAU Yue Wah, Brian
CE No.: AFS902
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity

CE Name: NI Xiang Feng
CE No.: AFY231
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 9 Regulated Activity

CE Name: CHENG Man Yu, Duncan
CE No.: AGH568
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

Condition Level: Type 9 Regulated Activity

CE Name: KWAN Chi Hang
CE No.: AGL438
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: MA Shek Yee
CE No.: AHX750
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: MA Shek Yee
CE No.: AHX750
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity

CE Name: RAWAT Abhishek
CE No.: ALQ696
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity

CE Name: RAWAT Abhishek
CE No.: ALQ696
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: WONG Lok Him, Howard
CE No.: AMX945
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: YEUNG Ham
CE No.: ANU667
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: YEUNG Ham
CE No.: ANU667
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 9 Regulated Activity

CE Name: TSO Siu Lun, Alan
CE No.: AOG305
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 9 Regulated Activity

CE Name: FAN Lili
CE No.: AOT501
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 9 Regulated Activity

CE Name: FAN Lili
CE No.: AOT501
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity

CE Name: LAW Ka Fai
CE No.: APH953
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS
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Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible
officer, when actively participating in or when directly supervising the business of the activity,
do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 9 Regulated Activity

CE Name: GE Danping
CE No.: APJ998
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible
officer, when actively participating in or when directly supervising the business of the activity,
do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 9 Regulated Activity

CE Name: AGGARWAL Mayurh
CE No.: APM135
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that
regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later
date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised
local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the
Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity
CE Name: AGGARWAL Mayurh
CE No.: APM135
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity

CE Name: LAU Ho To
CE No.: AQD647
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 9 Regulated Activity

CE Name: ANTONELLI Christopher George
CE No.: AQJ320
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 9 Regulated Activity

CE Name: ANTONELLI Christopher George
CE No.: AQJ320
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS
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whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity

CE Name: MONTANARI Marco
CE No.: ATI145
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity

CE Name: BYWORTH Richard Anthony
CE No.: AUF080
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 9 Regulated Activity

CE Name: BYWORTH Richard Anthony
CE No.: AUF080
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: CHEUNG Tomo-hito
CE No.: AUS139
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity

CE Name: CHEUNG Tomo-hito
CE No.: AUS139
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 9 Regulated Activity

CE Name: NG Wai Kit
CE No.: AVT524
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity

CE Name: NG Wai Kit
CE No.: AVT524
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 9 Regulated Activity

CE Name: WONG Ho Tim
CE No.: AVZ604
Licence Type: Licensed Representative
Condition Removed:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 9 Regulated Activity

CE Name: MCDOUGALL Alexander Henry
CE No.: AWH550
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 9 Regulated Activity

CE Name: NG Ching Ho
CE No.: AXI359
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

CE Name: TOJO Tatsuya
CE No.: AYI142
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity

CE Name: JI Yuanyuan
CE No.: AYI807
Licence Type: Licensed Representative
Condition Added:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity

CE Name: HUA Ling
CE No.: AYQ547
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: ONDO Henry Takashi
CE No.: AZC712
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:

CE Name: CHAN Hiu Shun
CE No.: AZE439
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:

CE Name: LI Ho Fung
CE No.: AZS874
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:

CE Name: YANG Ying
CE No.: BAD690
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 9 Regulated Activity

CE Name: WONG Joon Kwang
CE No.: BBF662
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 9 Regulated Activity

CE Name: HUANG Hongyan
CE No.: BCQ552
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity

CE Name: HUANG Hongyan
CE No.: BCQ552
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 9 Regulated Activity
CE Name: WANG Michael Chou  
CE No.: BDA087  
Licence Type: Licensed Representative - Responsible Officer  
Condition Removed:  
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:  
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or  
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.  
Condition Level: Type 9 Regulated Activity  

CE Name: WANG Michael Chou  
CE No.: BDA087  
Licence Type: Licensed Representative - Responsible Officer  
Condition Removed:  
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:  
(a) accredited to the principal concerned of the licensee in respect of the activity; and  
(b) not subject to this condition.  
Condition Level: Type 9 Regulated Activity  

CE Name: GAO Wei  
CE No.: BER852  
Licence Type: Licensed Representative - Responsible Officer  
Condition Added:  
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:  
(a) accredited to the principal concerned of the licensee in respect of the activity; and  
(b) not subject to this condition.  
Condition Level: Type 9 Regulated Activity  

CE Name: LI Fan  
CE No.: BFK350  
Licence Type: Licensed Representative - Responsible Officer  
Condition Added:  
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:  
(a) accredited to the principal concerned of the licensee in respect of the activity; and  
(b) not subject to this condition.
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

Condition Level: Type 9 Regulated Activity

CE Name: LI Fan
CE No.: BFK350
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity

CE Name: WANG Huifeng
CE No.: BGA440
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity

CE Name: HU Bin
CE No.: BHF818
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: YAN Lin
CE No.: BHT623
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

CE Name: DJOUNOV Rossen Nikolaev
CE No.: BJI365
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity

CE Name: MIVELAZ Yannick Alfred Eric
CE No.: BJJ553
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 9 Regulated Activity

CE Name: MIVELAZ Yannick Alfred Eric
CE No.: BJJ553
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity

CE Name: CHEUNG On Ki
CE No.: BJT503
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: QIN Li
CE No.: BLV366
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: MA Wenhui
CE No.: BMR908
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity

CE Name: MA Wenhui
CE No.: BMR908
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: WAN Yufeng
CE No.: BNC890
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 9 Regulated Activity

CE Name: PENG Shuaijie
CE No.: BNJ202
Licence Type: Licensed Representative
Condition Added:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 13 February 2020 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 1 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity

CE Name: WANG Kaifan
CE No.: BNR810
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: WANG Kaifan  
CE No.: BNR810  
Licence Type: Licensed Representative - Responsible Officer  
Condition Added:  
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:  
(a) accredited to the principal concerned of the licensee in respect of the activity; and  
(b) not subject to this condition.  
Condition Level: Type 9 Regulated Activity

CE Name: WANG Letian  
CE No.: BOC069  
Licence Type: Licensed Representative - Responsible Officer  
Condition Removed:  
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:  
(a) accredited to the principal concerned of the licensee in respect of the activity; and  
(b) not subject to this condition.  
Condition Level: Type 9 Regulated Activity

CE Name: XI Wang  
CE No.: BOE256  
Licence Type: Licensed Representative  
Condition Removed:  
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:  
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or  
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.  
Condition Level: Type 9 Regulated Activity
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity

CE Name: CHI Chao
CE No.: BOF142
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity

CE Name: DAI Rui
CE No.: BOG080
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity

CE Name: CHEN Po-Liang
CE No.: BOG416
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

Condition Level: Type 9 Regulated Activity

CE Name: YANG Huanhuan
CE No.: BOH430
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i)  upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii)  6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity

CE Name: VINNER Deep Singh
CE No.: BOI736
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i)  upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii)  6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity

CE Name: BAI Chong
CE No.: BOI934
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i)  upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii)  6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity
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CE Name: HUANG Lei
CE No.: BOI962
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity

CE Name: SHAN Shan
CE No.: BOJ070
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity

CE Name: LIU Honghui
CE No.: BOJ742
Licence Type: Licensed Representative - Responsible Officer
Condition Added:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity

CE Name: LIU Honghui
CE No.: BOJ742
Licence Type: Licensed Representative - Responsible Officer
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

Condition Added:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 9 Regulated Activity

CE Name: DONG Xun
CE No.: BOK248
Licence Type: Licensed Representative

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

CE Name: HUO Yu Chen
CE No.: BOK338
Licence Type: Licensed Representative

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

CE Name: CHUNG Tung Hoi
CE No.: BOM438
Licence Type: Licensed Representative - Responsible Officer

Condition Added:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 9 Regulated Activity

CE Name: FERGUSON Ewan James
CE No.: BOM489
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity

CE Name: GOYAL Nayan Mahendra
CE No.: BON973
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity

CE Name: YANG Hao
CE No.: BOO280
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 14 February 2020 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 1 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: JEON Jong Min
CE No.: BOO898
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity

CE Name: NG Yau Chung
CE No.: BOP626
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity

CE Name: BAI Yanan
CE No.: BOS478
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity

CE Name: LU Shiwei
CE No.: BOT898
Licence Type: Licensed Representative
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

CE Name: LAU Ching Yan
CE No.: BOT981
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity

CE Name: ZHAO Yundi
CE No.: BOT985
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 9 Regulated Activity

CE Name: NI Qingyun
CE No.: BPB441
Licence Type: Licensed Representative (Provisional Licence)
Condition Removed:
This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

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

CE Name: WELCH Peter Joseph  
CE No.: AEU528  
Licence Type: Licensed Representative  
Condition Added:  
The licensee:  
(1) shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year; and  
(2) shall not provide related services to any person other than a professional investor unless the licensee is accompanied at all times by a licensed person in performing the regulated activity(ies) in Hong Kong. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules.
Condition Level: Licence

CE Name: FRANCO DEMICHELIS Luca  
CE No.: ARU568  
Licence Type: Licensed Representative  
Condition Added:  
The licensee:  
(1) shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year; and  
(2) shall not provide related services to any person other than a professional investor unless the licensee is accompanied at all times by a licensed person in performing the regulated activity(ies) in Hong Kong. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules.
Condition Level: Licence

CE Name: TSAI Ti-yun  
CE No.: ASF961  
Licence Type: Licensed Representative  
Condition Removed:  
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: LU Jingyu
CE No.: BDR384
Licence Type: Licensed Representative
Condition Added:
The licensee:
(1) shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year; and
(2) shall not provide related services to any person other than a professional investor unless the licensee is accompanied at all times by a licensed person in performing the regulated activity(ies) in Hong Kong. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules.
Condition Level: Licence

CE Name: XU Chen
CE No.: BHJ441
Licence Type: Licensed Representative
Condition Removed:
The licensee:
(1) shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year; and
(2) shall not provide related services to any person other than a professional investor unless the licensee is accompanied at all times by a licensed person in performing the regulated activity(ies) in Hong Kong. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules.
Condition Level: Licence

CE Name: KUDO Yoko
CE No.: BHT721
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall not provide related services to any person other than a professional investor. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules.
Condition Level: Licence

CE Name: KE Zhening
CE No.: BKB791
Licence Type: Licensed Representative
Condition Added:
The licensee:
(1) shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year; and
(2) shall not provide related services to any person other than a professional investor unless the licensee is accompanied at all times by a licensed person in performing the regulated activity(ies) in Hong Kong. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules.

Condition Level: Licence

CE Name: SIA Ke Yong Jared
CE No.: BKI365
Licence Type: Licensed Representative
Condition Removed:
The licensee:
(1) shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year; and
(2) shall not provide related services to any person other than a professional investor unless the licensee is accompanied at all times by a licensed person in performing the regulated activity(ies) in Hong Kong. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules.

Condition Level: Licence

CE Name: YANG Shu-Wei
CE No.: BNB885
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall not provide related services to any person other than a professional investor. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules.

Condition Level: Licence

CE Name: RAJU Vikram
CE No.: BNF243
Licence Type: Licensed Representative
Condition Added:
The licensee:
(1) shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year; and
(2) shall not provide related services to any person other than a professional investor unless the licensee is accompanied at all times by a licensed person in performing the regulated activity(ies) in Hong Kong. The term "professional investor" is as defined in Part 1 of
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules.

Condition Level: Licence

CE Name: KELLY Dylan Francis Tuck
CE No.: BNX937
Licence Type: Licensed Representative
Condition Added:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence

CE Name: Royal Bank of Canada
CE No.: AAE727
Licence Type: Registered Institution
Condition Added:
For Type 9 regulated activity, the person shall not provide a service of managing a portfolio of futures contracts for another person unless it is for hedging purpose only.
Condition Level: Type 9 Regulated Activity

CE Name: BATEMAN Michael Graeme
CE No.: AGA916
Licence Type: Licensed Representative
Condition Removed:
The licensee must not contravene the requirements of the Immigration Ordinance
Condition Level: Licence

CE Name: CHAN Kwok Dik
CE No.: AYF149
Licence Type: Licensed Representative
Condition Removed:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 4 Regulated Activity

CE Name: CHAN Kwok Dik
CE No.: AYF149
Licence Type: Licensed Representative
Condition Removed:
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For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 9 Regulated Activity

CE Name: CHAN Man Wai, Marcella
CE No.: ADH994
Licence Type: Licensed Representative
Condition Removed:
For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.
Condition Level: Type 1 Regulated Activity

CE Name: CHAN Man Wai, Marcella
CE No.: ADH994
Licence Type: Licensed Representative
Condition Removed:
For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: CHEN Xiao
CE No.: AVA602
Licence Type: Licensed Representative
Condition Removed:
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 1 Regulated Activity

CE Name: CHEUNG Siu Kai
CE No.: ALQ630
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.
Condition Level: Type 1 Regulated Activity
CE Name: CHEUNG Siu Kai  
CE No.: ALQ630  
Licence Type: Licensed Representative - Responsible Officer  
Condition Removed:  
For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.  
Condition Level: Type 6 Regulated Activity  

CE Name: CHU Chun Ming  
CE No.: AHR391  
Licence Type: Licensed Representative - Responsible Officer  
Condition Removed:  
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:  
(a) accredited to the principal concerned of the licensee in respect of the activity; and  
(b) not subject to this condition.  
Condition Level: Type 4 Regulated Activity  

CE Name: CHUNG Wai Chun  
CE No.: ARU112  
Licence Type: Licensed Representative  
Condition Removed:  
For Type 3 regulated activity, the licensee shall not provide discretionary account services to clients.  
Condition Level: Type 3 Regulated Activity  

CE Name: DILLARD Brian Wesley  
CE No.: BOF093  
Licence Type: Licensed Representative  
Condition Removed:  
This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:  
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or  
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.  
Condition Level: Type 1 Regulated Activity  

CE Name: DILLARD Brian Wesley  
CE No.: BOF093  
Licence Type: Licensed Representative
Condition Removed:
This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 4 Regulated Activity

CE Name: FOK Chi Tat, Michael
CE No.: AGH222
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.
Condition Level: Type 1 Regulated Activity

CE Name: FONG Chun Fai
CE No.: AJS508
Licence Type: Licensed Representative
Condition Removed:
For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: GU Ziqiao
CE No.: BMW241
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 4 Regulated Activity

CE Name: GU Ziqiao
CE No.: BMW241
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 9 Regulated Activity

CE Name: JAMIESON Thomas Crawford
CE No.: ACN396
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:

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

CE Name: KELLY Dylan Francis Tuck
CE No.: BNX937
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence

CE Name: LAM Wai Hon
CE No.: AAN686
Licence Type: Licensed Representative
Condition Removed:
For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.
Condition Level: Type 1 Regulated Activity

CE Name: LEUNG Alexander
CE No.: ANH673
Licence Type: Licensed Representative
Condition Removed:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 4 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: LEUNG Chu Tung
CE No.: AYI394
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.
Condition Level: Type 1 Regulated Activity

CE Name: LEUNG Chu Tung
CE No.: AYI394
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: LEUNG Kwok Ming
CE No.: AIZ701
Licence Type: Licensed Representative
Condition Removed:
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 4 Regulated Activity

CE Name: LUI Kwan Ho
CE No.: ANH163
Licence Type: Licensed Representative
Condition Removed:
For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.
Condition Level: Type 6 Regulated Activity

CE Name: POON Pak Ho, Raymond
CE No.: ACO263
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.
Condition Level: Type 1 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: SHARMA Vikas  
CE No.: AFH090  
Licence Type: Licensed Representative  
Condition Removed:  
For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:  
(a) accredited to the principal concerned of the licensee in respect of the activity; and  
(b) not subject to this condition.  
Condition Level: Type 1 Regulated Activity

CE Name: SHARMA Vikas  
CE No.: AFH090  
Licence Type: Licensed Representative  
Condition Removed:  
For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:  
(a) accredited to the principal concerned of the licensee in respect of the activity; and  
(b) not subject to this condition.  
Condition Level: Type 2 Regulated Activity

CE Name: SHARMA Vikas  
CE No.: AFH090  
Licence Type: Licensed Representative  
Condition Removed:  
For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:  
(a) accredited to the principal concerned of the licensee in respect of the activity; and  
(b) not subject to this condition.  
Condition Level: Type 4 Regulated Activity

CE Name: SHARMA Vikas  
CE No.: AFH090  
Licence Type: Licensed Representative  
Condition Removed:  
For Type 5 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:  
(a) accredited to the principal concerned of the licensee in respect of the activity; and  
(b) not subject to this condition.  
Condition Level: Type 5 Regulated Activity
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

CE Name: SHARMA Vikas
CE No.: AFH090
Licence Type: Licensed Representative
Condition Removed:
For Type 6 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: SHARMA Vikas
CE No.: AFH090
Licence Type: Licensed Representative
Condition Removed:
For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: TSANG Chung Lam, Andrew
CE No.: AFR651
Licence Type: Licensed Representative
Condition Removed:
For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance.
Condition Level: Type 1 Regulated Activity

CE Name: TSANG Chung Lam, Andrew
CE No.: AFR651
Licence Type: Licensed Representative
Condition Removed:
For Type 6 regulated activity, the licensee shall not advise on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission.
Condition Level: Type 6 Regulated Activity

CE Name: TSANG Yat Lung
CE No.: BEC299
Licence Type: Licensed Representative
Condition Removed:
For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and
CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 11/2019

Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: XU Lingyan
CE No.: ARI518
Licence Type: Licensed Representative
Condition Removed:
For Type 9 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:
(a) accredited to the principal concerned of the licensee in respect of the activity; and
(b) not subject to this condition.
Condition Level: Type 9 Regulated Activity

CE Name: YEUNG Yiu Bong, Anthony
CE No.: ADG059
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:
For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.
Condition Level: Type 6 Regulated Activity

CE Name: ZHANG Lingling
CE No.: BMT281
Licence Type: Licensed Representative
Condition Removed:
The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall at all times be accompanied by a licensed person in performing the regulated activity(ies) in Hong Kong.
Condition Level: Licence