



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

CE Name: Mackenzie Investments Asia Limited

CE No.: AFW010

Licence Type: Licensed Corporation

Condition Added:

For Type 1 regulated activity, the licensee shall only engage in dealing in securities for and on behalf of companies within the same group of companies of the licensee.

Condition Level: Type 1 Regulated Activity

CE Name: Citadel Securities (Hong Kong) Limited

CE No.: ARO399

Licence Type: Licensed Corporation

Condition Removed:

For Type 1 regulated activity, the licensee shall only engage in:

- (a) market making activities and activities wholly incidental to market making activities; and
- (b) the execution of trades for and on behalf of its related entities.

Condition Level: Type 1 Regulated Activity

CE Name: Goldhorse Capital Management (HK) Limited

CE No.: BDR769

Licence Type: Licensed Corporation

Condition Removed:

For Type 1 regulated activity, the licensee shall not conduct business other than:-

- (a) dealing in collective investment schemes. The term "collective investment scheme" and "dealing" are as defined under the Securities and Futures Ordinance; and
- (b) introducing persons to a corporation that is licensed by or registered with the Securities and Futures Commission for Type 1 regulated activity, in order that they may:-
 - (i) effect dealings in securities; or
 - (ii) make offers to deal in securities.

Condition Level: Type 1 Regulated Activity

CE Name: Goldhorse Capital Management (HK) Limited

CE No.: BDR769

Licence Type: Licensed Corporation

Condition Added:

For Type 1 regulated activity, the licensee shall not conduct business other than:-

- (a) dealing in collective investment schemes. The term "collective investment scheme" and "dealing" are as defined under the Securities and Futures Ordinance;
- (b) introducing persons to a corporation that is licensed by or registered with the Securities and Futures Commission for Type 1 regulated activity, in order that they may:-
 - (i) effect dealings in securities; or
 - (ii) make offers to deal in securities; and
- (c) placing, marketing and distribution of securities.

Condition Level: Type 1 Regulated Activity

CE Name: Corres International HK Co., Limited

CE No.: BLN406



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

Licence Type: Licensed Corporation

Condition Removed:

For Type 1 regulated activity, the licensee shall only carry on the business of dealing in collective investment schemes. The terms "collective investment scheme" and "dealing" are as defined under the Securities and Futures Ordinance.

Condition Level: Type 1 Regulated Activity

CE Name: Citadel Securities (Hong Kong) Limited

CE No.: ARO399

Licence Type: Licensed Corporation

Condition Removed:

For Type 2 regulated activity, the licensee shall only engage in:

- (a) market making activities and activities wholly incidental to market making activities; and
- (b) the execution of trades for and on behalf of its related entities.

Condition Level: Type 2 Regulated Activity

CE Name: Asian Capital Limited

CE No.: AZF630

Licence Type: Licensed Corporation

Condition Added:

For Type 6 regulated activity, the licensee shall not act as sponsor in respect of an application for the listing on a recognized stock market of any securities apart from completing sponsor or compliance adviser work which it became contractually bound to complete prior to 6 November 2019.

Condition Level: Type 6 Regulated Activity

CE Name: RaffAello Capital Limited

CE No.: AZG924

Licence Type: Licensed Corporation

Condition Added:

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

Condition Level: Type 6 Regulated Activity

CE Name: Sunfund Capital Limited

CE No.: BFX711

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 apart from completing sponsor or compliance adviser work which it became contractually bound to complete prior to 7 May 2019.

Condition Level: Type 6 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

CE Name: Venture Partners Asset Management Limited

CE No.: BHP449

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: Marketsense Asset Management Limited

CE No.: BIZ106

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 for persons other than professional investors. The terms "collective investment scheme" and "professional investor" are as defined under the Securities and Futures Ordinance.

Condition Level: Type 9 Regulated Activity

CE Name: Qi Yuan Asset Management (H.K.) Limited

CE No.: ACU381

Licence Type: Licensed Corporation

Condition Added:

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

Condition Level: Licence

CE Name: Citadel Securities (Hong Kong) Limited

CE No.: ARO399

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: Marketsense Asset Management Limited

CE No.: BIZ106

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: Regan International Asset Management Limited

CE No.: BJO653



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: Regan International Asset Management Limited

CE No.: BJO653

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: Corres International HK Co., Limited

CE No.: BLN406

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: Greater Bay Area Development Fund Management Limited

CE No.: BMR569

Licence Type: Licensed Corporation

Condition Added:

The licensee shall only provide services to :–

(a) professional investors; and

(b) those employees of the licensee or employees of Greater Bay Area Homeland Investments Limited and its subsidiaries.

The term "professional investor" is as defined under the Securities and Futures Ordinance and its subsidiary legislation. The term "subsidiary" is as defined under the Securities and Futures Ordinance.

Condition Level: Licence

CE Name: Greater Bay Area Development Fund Management Limited

CE No.: BMR569

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

CE Name: YUEN Tak Tim, Anthony

CE No.: AAO144

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: CHAU Yueh Jen

CE No.: ACE585

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: WONG Patrick

CE No.: ACQ994

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: MAN Kam Fai

CE No.: ADG019

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

CE Name: CHENG Mei Yee, Mego

CE No.: AEJ078

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 Tang Hon, Steve

CE No.: AEO399

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: CHANG Yick Wai Albert

CE No.: AFA799

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: QU Simon Tao

CE No.: AFN658

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 Lai Man, Carmen

CE No.: AFT874

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: CHENG Arthur

CE No.: AFX946

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: CHENG Arthur

CE No.: AFX946

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: CHENG Arthur

CE No.: AFX946

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: TAN Jeffrey Wei Sing

CE No.: AGN701

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 12/2019

- (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: TAN Jeffrey Wei Sing

CE No.: AGN701

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: WOO Kin Ming, Marcus

CE No.: AHN470

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: WOO Kin Ming, Marcus

CE No.: AHN470

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

CE Name: LEI For

CE No.: AIU418

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: LI Chiu Yee

CE No.: AJY016

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: HAN Bing

CE No.: AKY573

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: CHAN Kwok Wai

CE No.: ALG542

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: DYER Michael John

CE No.: ANH060

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

(ii) 29 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 2 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: DYER Michael John

CE No.: ANH060

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: HO Lok Yan

CE No.: ANL071

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: HO Lok Yan

CE No.: ANL071

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: WONG Cheuk Fan

CE No.: AOY976



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: ACQUILLA Avaneesh John

CE No.: ARB905

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: ACQUILLA Avaneesh John

CE No.: ARB905

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: STANICA Adrian

CE No.: ARE767

Licence Type: Licensed Representative

Condition Removed:

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

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



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

Condition Level: Type 1 Regulated Activity

CE Name: BAMFORD Stephen Fildes

CE No.: ARP194

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: NICOLAY Sylvain Henri Pierre

CE No.: ASQ142

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: NICOLAY Sylvain Henri Pierre

CE No.: ASQ142

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: LI Min

CE No.: ASU506



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: LI Min

CE No.: ASU506

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: CHEN Xiao

CE No.: AVA602

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: WESTON Simon Michael

CE No.: AVU839

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

CE Name: WESTON Simon Michael

CE No.: AVU839

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: TAN Shuyue

CE No.: AWP011

Licence Type: Licensed Representative - Responsible Officer

Condition 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: RAGHAVAN Arjun Raju

CE No.: AXC296

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: GUPTA Tanay

CE No.: AXQ333

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

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



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

Condition Level: Type 1 Regulated Activity

CE Name: GUPTA Tanay

CE No.: AXQ333

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: HINO Dai

CE No.: AXX264

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: OLERON Christophe Alexandre Pierrick

CE No.: AZL488

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: OLERON Christophe Alexandre Pierrick

CE No.: AZL488

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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

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

CE Name: SHEN Yi

CE No.: AZR706

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: AOYAMA Yoshihiko

CE No.: AZT327

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: GEDDES Marc Alan

CE No.: BBC911

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

(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: GEDDES Marc Alan

CE No.: BBC911

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: SONG Xiya

CE No.: BBE452

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: SONG Xiya

CE No.: BBE452

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: CHEN Jianheng

CE No.: BBM220



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: YAO Xudong

CE No.: BBS471

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: SHUM Alan Koon Ho

CE No.: BBV882

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: SHUM Alan Koon Ho

CE No.: BBV882

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

(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: LO Kai Yeung Kenneth

CE No.: BBZ176

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: LO Kai Yeung Kenneth

CE No.: BBZ176

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: WONG Wai Ting

CE No.: BDI841

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: WU Yingshi

CE No.: BDV967

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: WU Yingshi

CE No.: BDV967

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: ZHANG Yu

CE No.: BEX944

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 Yu

CE No.: BEX944

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 12/2019

CE Name: JIA Hongrui

CE No.: BFZ382

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: HO Kin Chun

CE No.: BGB398

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 Kin Chun

CE No.: BGB398

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: HO Kin Chun

CE No.: BGB398

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: TAN Xiaoqian

CE No.: BGQ372

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: TAN Xiaoqian

CE No.: BGQ372

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: XING Yan

CE No.: BGR295

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: TO Derek Kai Chung

CE No.: BHP485

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

CE Name: TO Derek Kai Chung

CE No.: BHP485

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: YANG Rui

CE No.: BKS167

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: WONG Timothy Mun Tim

CE No.: BNB054

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: PANCHAPAGESAN Arjun

CE No.: BNY630

Licence Type: Licensed Representative - Responsible Officer



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: MURRAY Craig Richard

CE No.: BOC137

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: MURRAY Craig Richard

CE No.: BOC137

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: FUKUSHIMA Teruhisa

CE No.: BOC947

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) on 13 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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

Examination for Securities and Futures Intermediaries (LE) Paper 2 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: FUKUSHIMA Teruhisa

CE No.: BOC947

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: POON Pui Ling

CE No.: BOD390

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: YUEH Mu Hua

CE No.: BOE261

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 12/2019

CE Name: HAYWARD Brandon Mark

CE No.: BOF138

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: MUKHI Atul Kumar

CE No.: BOG613

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: MIN Bryan Byungsuk

CE No.: BOH022

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) 11 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 1 Regulated Activity

CE Name: HARTLEY Andrew Eric

CE No.: BOH914

Licence Type: Licensed Representative - Responsible Officer



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: 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) 22 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 2 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: NG Tsz Wing

CE No.: BOI100

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: LIANG Collin

CE No.: BOI135

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 12/2019

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: LI Rui

CE No.: BOI475

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: LAM Darren Shun Kit

CE No.: BOJ062

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: HSIAO Chih-yu

CE No.: BOJ194

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 12/2019

Condition Level: Type 1 Regulated Activity

CE Name: LEUNG Tze Kid

CE No.: BOJ511

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: SIRSALEWALA Mayank Sitaram

CE No.: BOJ560

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: TING Julian Yew Wei

CE No.: BOJ619

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 12/2019

CE Name: LIANG Xiujing

CE No.: BOJ887

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 King Shan Karen

CE No.: BOJ970

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 Tsz Kin, William

CE No.: BOJ972

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 Xinan

CE No.: BOK055

Licence Type: Licensed Representative



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: YANG Haoming

CE No.: BOK461

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 Krystal Kian Peng

CE No.: BOK902

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: ENGEL Josephine Elise Silvia

CE No.: BOL195

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 12/2019

(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: NAKATSUKASA Seiji

CE No.: BOL278

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: CHEUNG Ho Loon Alan

CE No.: BOL668

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 Ziqian

CE No.: BOL740

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 12/2019

(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: MARZOUQ H Ahamed

CE No.: BOM546

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: LIANG Yabing

CE No.: BOM625

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: HO Yan Shing

CE No.: BOM657

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 12/2019

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: WEI Lulu

CE No.: BOM881

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 Xu

CE No.: BOM884

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 Keen Yong Dick

CE No.: BON975

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 12/2019

Condition Level: Type 1 Regulated Activity

CE Name: LIAO Yuan

CE No.: BOO625

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: LIAN Foo Kean, Paul

CE No.: BOO766

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: XIANG Zheng

CE No.: BOP003

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 12/2019

CE Name: HUANG Xinzhe

CE No.: BOP111

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: LUO Ran

CE No.: BOP517

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: DING Zixuan

CE No.: BOP617

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 Ruijing

CE No.: BOP902

Licence Type: Licensed Representative



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: NATORI Hiroyuki

CE No.: BOP912

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: NATORI Hiroyuki

CE No.: BOP912

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: ZHUANG Shenghao Eugene

CE No.: BOP949

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 12/2019

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: ZHANG Shitong

CE No.: BOQ896

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: SEKSIK Raphael

CE No.: BOQ965

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 Siyu

CE No.: BOQ997

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 12/2019

Condition Level: Type 1 Regulated Activity

CE Name: HAN Zhirui

CE No.: BOR164

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 Yatong

CE No.: BOR250

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: HAN Yu

CE No.: BOR260

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 12/2019

CE Name: TUNG Tsz Kiu Jacky

CE No.: BOR395

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: YI Jiaqi

CE No.: BOR639

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: CHOI Tak On

CE No.: BOR708

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: YE Weisa

CE No.: BOR745

Licence Type: Licensed Representative



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: WANG Shuyi

CE No.: BOR746

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: KE Yuqiao

CE No.: BOR751

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: LIN Man Shan, Mason

CE No.: BOR900

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 12/2019

(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: HARTER James Hassett

CE No.: BOR939

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: SHAO Yuqing

CE No.: BOR975

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: TAN Xinyi

CE No.: BOS039

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 12/2019

(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: LIU Feihua

CE No.: BOS055

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: KAO Tze Jing

CE No.: BOS059

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 Simin

CE No.: BOS815

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: SVIRIN Anton

CE No.: BOT414

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: DENG Kaiyuan

CE No.: BOT497

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: CHIU Carmen Gar Min

CE No.: BOU551

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: LI Luxi

CE No.: BOU624

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: SHIN Yeeun

CE No.: BOU812

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 Jiayuan

CE No.: BOZ224

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 12/2019

CE Name: NAKAMURA Masashi

CE No.: BOZ448

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: NAKAMURA Masashi

CE No.: BOZ448

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: NAKAMURA Masashi

CE No.: BOZ448

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 Licensing Examination for Securities and Futures Intermediaries (LE) Paper 2 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: NAKAMURA Masashi

CE No.: BOZ448

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 12/2019

- (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
 - (ii) 26/05/2020 (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: NAKAMURA Masashi

CE No.: BOZ448

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: NAKAMURA Masashi

CE No.: BOZ448

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: NAKAMURA Masashi

CE No.: BOZ448

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) 26/05/2020 (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: NAKAMURA Masashi

CE No.: BOZ448

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 12/2019

(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 Licensing Examination for Securities and Futures Intermediaries (LE) Paper 2 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.
Condition Level: Type 1 Regulated Activity

CE Name: ZHOU Zhiting

CE No.: BOZ569

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 Ronghua

CE No.: BOZ719

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 Zehua

CE No.: BOZ842

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 12/2019

(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 Zhouchen

CE No.: BOZ931

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: LACZNY Piotr

CE No.: BPA001

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 Hansheng

CE No.: BPA198

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: LI Xiangguo

CE No.: BPB184

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: WRIGLEY Stuart James

CE No.: BPB295

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 Jan

CE No.: BPB344

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: LUKIC Mirko

CE No.: BPB676

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: FU Chi Yau

CE No.: BPC105

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: JIANG Lai

CE No.: BPD999

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



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CE Name: YI Tongyu

CE No.: BPE470

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: TIAN Yu

CE No.: BPE498

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 Jiapei

CE No.: BPE711

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: FUKUMOTO Rikiya

CE No.: BPF372

Licence Type: Licensed Representative (Provisional Licence)



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: LI Pak Keung

CE No.: AAE947

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: SHUNG Kwok Yin

CE No.: AFF211

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: SHUNG Kwok Yin

CE No.: AFF211

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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



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Condition Level: Type 2 Regulated Activity

CE Name: NICOLAY Sylvain Henri Pierre

CE No.: ASQ142

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: NICOLAY Sylvain Henri Pierre

CE No.: ASQ142

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: GUPTA Tanay

CE No.: AXQ333

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: GUPTA Tanay

CE No.: AXQ333

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



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

Condition Level: Type 2 Regulated Activity

CE Name: TAHENY Kenneth John

CE No.: AXS067

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: TAHENY Kenneth John

CE No.: AXS067

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: HINO Dai

CE No.: AXX264

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

Condition Level: Type 2 Regulated Activity



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CE Name: LI Ji
CE No.: BCE400
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: LI Ji
CE No.: BCE400
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: WONG Timothy Mun Tim
CE No.: BNB054
Licence Type: Licensed Representative
Condition Removed:

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

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

Condition Level: Type 2 Regulated Activity

CE Name: LIN Chien Nan
CE No.: BNW993
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: LIN Chien Nan

CE No.: BNW993

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: MURATA Takashi

CE No.: BOA247

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: MURATA Takashi

CE No.: BOA247

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 2 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

CE Name: POON Pui Ling

CE No.: BOD390

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: SIRSALEWALA Mayank Sitaram

CE No.: BOJ560

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: HONG Xinan

CE No.: BOK055

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: CHEUNG Ho Loon Alan

CE No.: BOL668

Licence Type: Licensed Representative



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: LUO Ran

CE No.: BOP517

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: XIA Shujie

CE No.: BOP734

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: XU Yifan

CE No.: BOQ874

Licence Type: Licensed Representative

Condition Removed:

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

(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 2 Regulated Activity

CE Name: SEKSIK Raphael

CE No.: BOQ965

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 2 Regulated Activity

CE Name: LIN Man Shan, Mason

CE No.: BOR900

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 2 Regulated Activity

CE Name: CHEN Simin

CE No.: BOS815

Licence Type: Licensed Representative

Condition Removed:

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

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

(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 2 Regulated Activity

CE Name: SVIRIN Anton

CE No.: BOT414

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: ZHU Zhouchen

CE No.: BOZ931

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: WANG Hansheng

CE No.: BPA198

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 12/2019

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: LEUNG Yuet Fei

CE No.: BPA220

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: LUKIC Mirko

CE No.: BPB676

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 2 Regulated Activity

CE Name: LIU Jiapei

CE No.: BPE711

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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

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

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

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

Condition Level: Type 2 Regulated Activity

CE Name: LAI Ming Tak

CE No.: AAW154

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 Yuk Tung

CE No.: ABS848

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 Tsan Fai

CE No.: ACS038

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: TSE Wing Sze

CE No.: ADP870

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 Kam On, Vincent

CE No.: AEE924

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: LI Tsz Lung, Samson

CE No.: AFA429

Licence Type: Licensed Representative



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: YAU Kar Man, Karman

CE No.: AFB706

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: YAU Kin Lun

CE No.: AFN281

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: HO Kwok Leung

CE No.: AFN809

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: MAN Mei Yuk

CE No.: AFU549

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: MOK Harvey Po Lun

CE No.: AGG960

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 12/2019

CE Name: SO Siu Lam, Simon

CE No.: AGJ086

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 Koon Ping, Anka

CE No.: AGR088

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 Tsz Ching

CE No.: AHY091

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 Dan Leuk

CE No.: AIU426

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: SZE Tak Kai

CE No.: AJM478

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: LI Shing

CE No.: AJT939

Licence Type: Licensed Representative

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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

Condition Level: Type 3 Regulated Activity

CE Name: YUE Chun Shun

CE No.: ALQ679

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 Shu Yan

CE No.: AMY735

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: IP Pui Ling

CE No.: ANA537

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 Yung Ho

CE No.: AOY487

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 Ping Fan, Matthew

CE No.: APB373

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 12/2019

CE Name: YIP Chung Hong

CE No.: APH398

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: CHANG Xueshan

CE No.: AQU414

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: GUY Simon Philip

CE No.: ASO495

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 3 Regulated Activity

CE Name: YUNG Lik Hang

CE No.: AVD830

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: CHONG Ka Hei

CE No.: BCU758

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: LI Wing Chi

CE No.: BMV376

Licence Type: Licensed Representative

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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

Condition Level: Type 3 Regulated Activity

CE Name: YUEN Tak Tim, Anthony

CE No.: AAO144

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: MANTEL Andrew Pieter

CE No.: ABR573

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 4 regulated activity ("the activity"), where the licensee acts in the capacity of a responsible officer, actively participating in or directly supervising the business of the activity, of Marc Faber Limited, he must do so under the advice of another responsible officer who is:

- (a) accredited to Marc Faber Limited in respect of the activity; and
- (b) not subject to this condition.

Condition Level: Type 4 Regulated Activity

CE Name: KANG Wing Hong, Jansen

CE No.: ACD417

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: KANG Wing Hong, Jansen

CE No.: ACD417

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: BAKER Edward Daniel

CE No.: AFB069

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: QU Simon Tao

CE No.: AFN658

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: LAM Yim, Sharon

CE No.: AIN991

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 12/2019

CE Name: LAM Yim, Sharon

CE No.: AIN991

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: HUI Cheung Kui

CE No.: AJX991

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: SUEN Lok Hang, Gregory

CE No.: ALI171

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: SUEN Lok Hang, Gregory

CE No.: ALI171

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 12/2019

Condition Level: Type 4 Regulated Activity

CE Name: WONG Ka Wai, Kavi

CE No.: ALQ402

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: WONG Ka Wai, Kavi

CE No.: ALQ402

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: YIP Sze Wan, Angela

CE No.: AOS423

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: YIP Sze Wan, Angela

CE No.: AOS423

Licence Type: Licensed Representative

Condition Removed:

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

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

(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 4 Regulated Activity

CE Name: COCHRAN Shaun Donald

CE No.: APA066

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: COCHRAN Shaun Donald

CE No.: APA066

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: ACQUILLA Avaneesh John

CE No.: ARB905

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 12/2019

CE Name: ACQUILLA Avaneesh John

CE No.: ARB905

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: BAMFORD Stephen Fildes

CE No.: ARP194

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: CHUNG Eugene Bob

CE No.: ARP376

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: CHUNG Eugene Bob

CE No.: ARP376

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 12/2019

Condition Level: Type 4 Regulated Activity

CE Name: LI Min

CE No.: ASU506

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 Min

CE No.: ASU506

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: WESTON Simon Michael

CE No.: AVU839

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: WESTON Simon Michael

CE No.: AVU839

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

(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 4 Regulated Activity

CE Name: LAM Yik Wa

CE No.: AWH855

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: WONG Ho Kit, Howard

CE No.: AWK764

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 Ho Kit, Howard

CE No.: AWK764

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: LI Sisi

CE No.: AWL795



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: LI Sisi

CE No.: AWL795

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: WONG On Ying

CE No.: AWY526

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: WONG On Ying

CE No.: AWY526

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

(b) not subject to this condition.

Condition Level: Type 4 Regulated Activity

CE Name: RAGHAVAN Arjun Raju

CE No.: AXC296

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

(b) not subject to this condition.

Condition Level: Type 4 Regulated Activity

CE Name: MA Sean

CE No.: AXI103

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: MA Sean

CE No.: AXI103

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: CHENG Yan

CE No.: AZR668

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: CHENG Yan

CE No.: AZR668

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: SHEN Yi

CE No.: AZR706

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: LAM Yin Leung, Joe

CE No.: BAE136

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 12/2019

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: LAM Yin Leung, Joe

CE No.: BAE136

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: IP Jimmy Chi-yung

CE No.: BAE495

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: IP Jimmy Chi-yung

CE No.: BAE495

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: SONG Xiya

CE No.: BBE452

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: SONG Xiya

CE No.: BBE452

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: CHEN Jianheng

CE No.: BBM220

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: SHUM Alan Koon Ho

CE No.: BBV882

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 4 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

CE Name: SHUM Alan Koon Ho

CE No.: BBV882

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: NGO Tsz Fei

CE No.: BBW943

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: XU Chongfan

CE No.: BBX582

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 Chau Pang

CE No.: BCL485

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

- (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: WONG Chau Pang

CE No.: BCL485

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 Shengqiao

CE No.: BDM737

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 4 Regulated Activity

CE Name: GUO Jennifer Yi

CE No.: BGG501

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 4 Regulated Activity

CE Name: GUO Jennifer Yi

CE No.: BGG501

Licence Type: Licensed Representative - Responsible Officer



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: TO Derek Kai Chung

CE No.: BHP485

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: TO Derek Kai Chung

CE No.: BHP485

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 4 Regulated Activity

CE Name: YIP Chi Ming

CE No.: BIX790

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),



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

Condition Level: Type 4 Regulated Activity

CE Name: YIP Chi Ming

CE No.: BIX790

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: CHEN Shiou Wen

CE No.: BJR777

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: CHEN Shiou Wen

CE No.: BJR777

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 Yi

CE No.: BNN211

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: PANCHAPAGESAN Arjun

CE No.: BNY630

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

CE Name: CHEN Qi

CE No.: BOB783

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: CHEN Qi

CE No.: BOB783

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: YUAN Pengcheng

CE No.: BOB930

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: YUAN Pengcheng

CE No.: BOB930

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: POON Pui Ling

CE No.: BOD390

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 12/2019

CE Name: YUEH Mu Hua

CE No.: BOE261

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 Jingwen

CE No.: BOF170

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: XU Jingwen

CE No.: BOF170

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: ZOU Qiao

CE No.: BOF590

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

(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: LIN Xiaohui

CE No.: BOF862

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: MUKHI Atul Kumar

CE No.: BOG613

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: MIN Bryan Byungsuk

CE No.: BOH022

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) 11 December 2019 (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 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: MIN Bryan Byungsuk

CE No.: BOH022

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: MIN Bryan Byungsuk

CE No.: BOH022

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) 18 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 2 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: HARTLEY Andrew Eric

CE No.: BOH914

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: HARTLEY Andrew Eric

CE No.: BOH914

Licence Type: Licensed Representative - Responsible Officer



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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) 22 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 2 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: TARASOV Vadim

CE No.: BOI560

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 Ming Nok

CE No.: BOI700

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: LAM Darren Shun Kit

CE No.: BOJ062

Licence Type: Licensed Representative

Condition Removed:

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

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



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

Condition Level: Type 4 Regulated Activity

CE Name: HSIAO Chih-yu

CE No.: BOJ194

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 Julian Yew Wei

CE No.: BOJ619

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: LIANG Xiujing

CE No.: BOJ887

Licence Type: Licensed Representative

Condition Removed:

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

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

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



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

Condition Level: Type 4 Regulated Activity

CE Name: PANG Shu Wai

CE No.: BOJ969

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 King Shan Karen

CE No.: BOJ970

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 Tsz Kin, William

CE No.: BOJ972

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: ENGEL Josephine Elise Silvia

CE No.: BOL195

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: NAKATSUKASA Seiji

CE No.: BOL278

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 Ziqian

CE No.: BOL740

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 12/2019

CE Name: NI Bintuo

CE No.: BOM533

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: MARZOUQ H Ahamed

CE No.: BOM546

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: SMITH Fraser Clyde Mclellan

CE No.: BOM753

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: WEI Lulu

CE No.: BOM881

Licence Type: Licensed Representative



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: DONG Xu

CE No.: BOM884

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 Haodong

CE No.: BOM896

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 Yuan

CE No.: BOO625

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 12/2019

(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: ZHOU Mengheng

CE No.: BOO998

Licence Type: Licensed Representative

Condition Removed:

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

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

CE Name: XIANG Zheng

CE No.: BOP003

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 Xinzhe

CE No.: BOP111

Licence Type: Licensed Representative

Condition Removed:

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

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



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

Condition Level: Type 4 Regulated Activity

CE Name: NATORI Hiroyuki

CE No.: BOP912

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: NATORI Hiroyuki

CE No.: BOP912

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: ZHUANG Shenghao Eugene

CE No.: BOP949

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 4 Regulated Activity



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CE Name: HAN Zhirui

CE No.: BOR164

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: GOH Kee Lun

CE No.: BOR206

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 Yatong

CE No.: BOR250

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: HAN Yu

CE No.: BOR260

Licence Type: Licensed Representative



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: YI Jiaqi

CE No.: BOR639

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: CHOI Tak On

CE No.: BOR708

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: KE Yuqiao

CE No.: BOR751

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 12/2019

(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: TAN Xinyi

CE No.: BOS039

Licence Type: Licensed Representative

Condition Removed:

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

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

CE Name: GAO Xinhong

CE No.: BOS740

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 Haohan

CE No.: BOU065

Licence Type: Licensed Representative

Condition Removed:

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

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



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

Condition Level: Type 4 Regulated Activity

CE Name: HUANG Ying

CE No.: BOU280

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: HAN Han

CE No.: BOU583

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 Luxi

CE No.: BOU624

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 12/2019

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: SHIN Yeeun

CE No.: BOU812

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: TENG Shuwen

CE No.: BOX140

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 Jiayuan

CE No.: BOZ224

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 12/2019

Condition Level: Type 4 Regulated Activity

CE Name: NAKAMURA Masashi

CE No.: BOZ448

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 Licensing Examination for Securities and Futures Intermediaries (LE) Paper 2 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: NAKAMURA Masashi

CE No.: BOZ448

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) 26/05/2020 (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: NAKAMURA Masashi

CE No.: BOZ448

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: NAKAMURA Masashi

CE No.: BOZ448

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

(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: NAKAMURA Masashi

CE No.: BOZ448

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 Licensing Examination for Securities and Futures Intermediaries (LE) Paper 2 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: NAKAMURA Masashi

CE No.: BOZ448

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) 26/05/2020 (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: NAKAMURA Masashi

CE No.: BOZ448

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.



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Condition Level: Type 4 Regulated Activity

CE Name: ZHOU Zhiting

CE No.: BOZ569

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 Zehua

CE No.: BOZ842

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 Zhouchen

CE No.: BOZ931

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity



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CE Name: LI Xiangguo

CE No.: BPB184

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: WRIGLEY Stuart James

CE No.: BPB295

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: LUKIC Mirko

CE No.: BPB676

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: FU Chi Yau

CE No.: BPC105

Licence Type: Licensed Representative



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: LI Pak Keung

CE No.: AAE947

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: KANG Wing Hong, Jansen

CE No.: ACD417

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 5 Regulated Activity

CE Name: KANG Wing Hong, Jansen

CE No.: ACD417

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: LI Ji

CE No.: BCE400

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: LI Ji

CE No.: BCE400

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: XIA Shujie

CE No.: BOP734

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: XU Yifan

CE No.: BOQ874

Licence Type: Licensed Representative

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: LUKIC Mirko

CE No.: BPB676

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: NGAN Man Kit

CE No.: AAV957

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: MOK Kin Wai

CE No.: ABS374

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: MOK Kin Wai

CE No.: ABS374



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: CHANG Yick Wai Albert

CE No.: AFA799

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: DIAO Yang

CE No.: AFT479

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: LAU Hing Bun

CE No.: AGW616

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: LEI For

CE No.: AIU418

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.



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Condition Level: Type 6 Regulated Activity

CE Name: LI Chiu Yee

CE No.: AJY016

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: LAM Long Hin, Hiram

CE No.: AUX369

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: MAK Terence Chung Sing

CE No.: AVK467

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: LAW Kwok Chi

CE No.: AWF466

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 Man Kiu

CE No.: AXV270

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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

Condition Level: Type 6 Regulated Activity

CE Name: WONG Wai Ting

CE No.: BDI841

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: LAU Siu Lik

CE No.: BDW301

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 6 Regulated Activity

CE Name: TSANG Yat Lung

CE No.: BEC299

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 6 Regulated Activity

CE Name: KAN Ka Ho

CE No.: BEW802

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

CE Name: KAN Ka Ho

CE No.: BEW802

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: HO Kin Chun

CE No.: BGB398

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 Jinmai

CE No.: BHL027

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 Jinmai

CE No.: BHL027

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),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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 6 Regulated Activity

CE Name: ZHANG Jinmai

CE No.: BHL027

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: MURRAY Craig Richard

CE No.: BOC137

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: MURRAY Craig Richard

CE No.: BOC137

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: LIU Jun

CE No.: BOD394

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

(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 6 Regulated Activity

CE Name: HAYWARD Brandon Mark
CE No.: BOF138
Licence Type: Licensed Representative
Condition Removed:

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

CE Name: LEE Yew Weng
CE No.: BOF216
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: NG Tsz Wing
CE No.: BOI100
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: HSIAO Chih-yu

CE No.: BOJ194

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: FAN Qianzhu

CE No.: BOJ408

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 6 Regulated Activity

CE Name: YANG Haoming

CE No.: BOK461

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: NAKATSUKASA Seiji

CE No.: BOL278

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 6 Regulated Activity

CE Name: LEE Keen Yong Dick

CE No.: BON975

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: LIAO Yuan

CE No.: BOO625

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: LIAN Foo Kean, Paul

CE No.: BOO766

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: XIANG Zheng

CE No.: BOP003

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: HUANG Xinzhe

CE No.: BOP111

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: DING Zixuan

CE No.: BOP617

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 Ruijing

CE No.: BOP902

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: GUO Xuanhong

CE No.: BOQ796

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 6 Regulated Activity

CE Name: ZHANG Shitong

CE No.: BOQ896

Licence Type: Licensed Representative



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Condition Removed:

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

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

Condition Level: Type 6 Regulated Activity

CE Name: LU Siyu

CE No.: BOQ997

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: HAN Zhirui

CE No.: BOR164

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: TUNG Tsz Kiu Jacky

CE No.: BOR395

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: YI Jiaqi

CE No.: BOR639

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 Shuyi

CE No.: BOR746

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: KE Yuqiao

CE No.: BOR751

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: HARTER James Hassett

CE No.: BOR939

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: SHAO Yuqing

CE No.: BOR975

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: TAN Xinyi

CE No.: BOS039

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: LIU Feihua

CE No.: BOS055

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: KAO Tze Jing

CE No.: BOS059

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 6 Regulated Activity

CE Name: LEUNG Wing Sze

CE No.: BOT159

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: ZHANG Shengmin

CE No.: BOW850

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: NAKAMURA Masashi

CE No.: BOZ448

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: NAKAMURA Masashi

CE No.: BOZ448

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) 26/05/2020 (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 6 Regulated Activity

CE Name: NAKAMURA Masashi

CE No.: BOZ448



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: NAKAMURA Masashi

CE No.: BOZ448

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) 26/05/2020 (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 6 Regulated Activity

CE Name: NAKAMURA Masashi

CE No.: BOZ448

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 Licensing Examination for Securities and Futures Intermediaries (LE) Paper 5 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 6 Regulated Activity

CE Name: NAKAMURA Masashi

CE No.: BOZ448

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: SHI Zehua

CE No.: BOZ842

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 Shuqi

CE No.: BPA516

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 Xiangguo

CE No.: BPB184

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 Jan

CE No.: BPB344

Licence Type: Licensed Representative



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Condition Removed:

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

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

Condition Level: Type 6 Regulated Activity

CE Name: JIANG Lai

CE No.: BPD999

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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

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

Condition Level: Type 6 Regulated Activity

CE Name: YI Tongyu

CE No.: BPE470

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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

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

Condition Level: Type 6 Regulated Activity

CE Name: TIAN Yu

CE No.: BPE498

Licence Type: Licensed Representative (Provisional Licence)

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: BROWN Ian Clement
CE No.: ASH682

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 7 Regulated Activity

CE Name: POON To Sing
CE No.: AAJ268

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: YUEN Tak Tim, Anthony
CE No.: AAO144

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: CHU Chuang Chieh
CE No.: ABE393

Licence Type: Licensed Representative - Responsible Officer



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: CHU Chuang Chieh

CE No.: ABE393

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: MANTEL Andrew Pieter

CE No.: ABR573

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 9 regulated activity ("the activity"), where the licensee acts in the capacity of a responsible officer, actively participating in or directly supervising the business of the activity, of Marc Faber Limited, he must do so under the advice of another responsible officer who is:

- (a) accredited to Marc Faber Limited in respect of the activity; and
- (b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: HUI Chi Kit, Daniel

CE No.: ADB712

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 9 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

CE Name: CHIU Kin Fai

CE No.: ADC461

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: CHIU Kin Fai

CE No.: ADC461

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: MORTON Peter Douglas

CE No.: ADO886

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: MORTON Peter Douglas

CE No.: ADO886

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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 9 Regulated Activity

CE Name: BAKER Edward Daniel

CE No.: AFB069

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: BAKER Edward Daniel

CE No.: AFB069

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: SUPRANTO Suganda

CE No.: AFB894

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: LUK Sai Cheong

CE No.: AHX269

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: XI Xuanhua

CE No.: AHX572

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: XI Xuanhua

CE No.: AHX572

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 Kit Man, Maria

CE No.: AJB850

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: HUI Cheung Kui

CE No.: AJX991



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: CHOU Hui Chen

CE No.: AKO712

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: SUEN Lok Hang, Gregory

CE No.: ALI171

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: SUEN Lok Hang, Gregory

CE No.: ALI171

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 12/2019

CE Name: WONG Ka Wai, Kavi

CE No.: ALQ402

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 Ka Wai, Kavi

CE No.: ALQ402

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: CHENG Wing Hung

CE No.: AMA065

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 Wing Hung

CE No.: AMA065

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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 9 Regulated Activity

CE Name: CHAN Wei-Jin Christopher

CE No.: AMA925

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: SCHOLLUM Myo Wai

CE No.: AMP186

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

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

Condition Level: Type 9 Regulated Activity

CE Name: LIU Bei

CE No.: ANN276

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 12/2019

CE Name: YIP Sze Wan, Angela

CE No.: AOS423

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: YIP Sze Wan, Angela

CE No.: AOS423

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: YIP Sze Wan, Angela

CE No.: AOS423

Licence Type: Licensed Representative

Condition Removed:

For Type 9 regulated activity, the licensee 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: WONG Cheuk Fan

CE No.: AOY976

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 12/2019

Condition Level: Type 9 Regulated Activity

CE Name: LIN Xiaoling

CE No.: APH362

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: HSU Chun-Yuan

CE No.: ASD142

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: CHANG Vivian Ming-yin

CE No.: ASI105

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 12/2019

CE Name: LO Xu Yu, Felix

CE No.: AUI262

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) 20 June 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: CHEUNG Tomo-hito

CE No.: AUS139

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 Tomo-hito

CE No.: AUS139

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: CHEN Xiao

CE No.: AVA602

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

(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: CHEN Xiao

CE No.: AVA602

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: WHITE James Patrick Wilder

CE No.: AVW083

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: WHITE James Patrick Wilder

CE No.: AVW083

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 12/2019

CE Name: LAW Kwok Chi

CE No.: AWF466

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: LAM Yik Wa

CE No.: AWH855

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: LAM Yik Wa

CE No.: AWH855

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

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

Condition Level: Type 9 Regulated Activity

CE Name: LI Sisi

CE No.: AWL795

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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 9 Regulated Activity

CE Name: LI Sisi

CE No.: AWL795

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 On Ying

CE No.: AWY526

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 On Ying

CE No.: AWY526

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

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

Condition Level: Type 9 Regulated Activity

CE Name: CHAN Yik Fan

CE No.: AWZ157

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: PHAM John Le Hien

CE No.: AXQ759

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 Yuen Ling

CE No.: AXW587

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: LEI Zhengxia

CE No.: AXZ297

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 9 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

CE Name: LAM Yin Leung, Joe

CE No.: BAE136

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: LAM Yin Leung, Joe

CE No.: BAE136

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: IP Jimmy Chi-yung

CE No.: BAE495

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: IP Jimmy Chi-yung

CE No.: BAE495

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: CHAN Chi Kin, Elton

CE No.: BBB495

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

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

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

Condition Level: Type 9 Regulated Activity

CE Name: CHAN Chi Kin, Elton

CE No.: BBB495

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 Chau Pang

CE No.: BCL485

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 12/2019

CE Name: WONG Chau Pang

CE No.: BCL485

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: CHEN Geng

CE No.: BCN383

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: CHEN Geng

CE No.: BCN383

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: LIN Michael Ben

CE No.: BCQ148

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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 9 Regulated Activity

CE Name: LIN Michael Ben

CE No.: BCQ148

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: PENG Shuqi

CE No.: BDR418

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 Shuqi

CE No.: BDR418

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: LIM Yee Choon

CE No.: BFN105

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: LIM Yee Choon

CE No.: BFN105

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: GUO Jennifer Yi

CE No.: BGG501

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

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

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

Condition Level: Type 9 Regulated Activity

CE Name: GUO Jennifer Yi

CE No.: BGG501

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 9 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

CE Name: LI Ting Ting Iris

CE No.: BHL594

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: LO Marco Man Ho

CE No.: BHM103

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: WALSH Simon Hastings Patrick

CE No.: BHO182

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: WALSH Simon Hastings Patrick

CE No.: BHO182

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

Condition Level: Type 9 Regulated Activity

CE Name: ZHANG Sheng

CE No.: BHS286

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: ZHANG Sheng

CE No.: BHS286

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

Condition Level: Type 9 Regulated Activity

CE Name: JIANG Ziqi

CE No.: BHX700

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: LI Yi

CE No.: BJF133

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: CHEN Shiou Wen

CE No.: BJR777

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: BEDNARSKI Derek Joseph Lee

CE No.: BKA610

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 Kin Chung

CE No.: BMG887

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: JOHANSSON Yngve Daniel

CE No.: BNN858



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: CHEN Qi

CE No.: BOB783

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: CHEN Qi

CE No.: BOB783

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: YUAN Pengcheng

CE No.: BOB930

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

(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 9 Regulated Activity

CE Name: YUAN Pengcheng

CE No.: BOB930

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: POON Pui Ling

CE No.: BOD390

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: XU Jingwen

CE No.: BOF170

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 12/2019

CE Name: XU Jingwen

CE No.: BOF170

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: ZOU Qiao

CE No.: BOF590

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: YE Shinian

CE No.: BOI107

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: TARASOV Vadim

CE No.: BOI560

Licence Type: Licensed Representative

Condition Removed:

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

(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: WONG Ming Nok

CE No.: BOI700

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: TING Julian Yew Wei

CE No.: BOJ619

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: PANG Shu Wai

CE No.: BOJ969

Licence Type: Licensed Representative

Condition Removed:

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

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

(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 9 Regulated Activity

CE Name: CHAN King Shan Karen

CE No.: BOJ970

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 Tsz Kin, William

CE No.: BOJ972

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: ENGEL Josephine Elise Silvia

CE No.: BOL195

Licence Type: Licensed Representative

Condition Removed:

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

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

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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 9 Regulated Activity

CE Name: ITO Akira

CE No.: BOL204

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: DHAND Vikram

CE No.: BOL406

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 Ziqian

CE No.: BOL740

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 12/2019

Condition Level: Type 9 Regulated Activity

CE Name: MARZOUQ H Ahamed

CE No.: BOM546

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: SMITH Fraser Clyde Mclellan

CE No.: BOM753

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: NATORI Hiroyuki

CE No.: BOP912

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: NATORI Hiroyuki

CE No.: BOP912

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



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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: GOH Kee Lun

CE No.: BOR206

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: HAN Yu

CE No.: BOR260

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: HE Zhanghong

CE No.: BOR343

Licence Type: Licensed Representative

Condition Removed:

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

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



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

Condition Level: Type 9 Regulated Activity

CE Name: USHIJIMA Koh

CE No.: BOT005

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: IMOTO Masaomi

CE No.: BOU139

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: HUANG Ying

CE No.: BOU280

Licence Type: Licensed Representative

Condition Removed:

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

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

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



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

Condition Level: Type 9 Regulated Activity

CE Name: SHIN Yeeun

CE No.: BOU812

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: TENG Shuwen

CE No.: BOX140

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 9 Regulated Activity

CE Name: ZHOU Zhiting

CE No.: BOZ569

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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



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Condition Level: Type 9 Regulated Activity

CE Name: ZHANG Dale

CE No.: BOZ872

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: FUKUMOTO Rikiya

CE No.: BPF372

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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

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

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

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

Condition Level: Type 9 Regulated Activity

CE Name: LO Xu Yu, Felix

CE No.: AUI262

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

CE Name: HINO Dai

CE No.: AXX264

Licence Type: Licensed Representative

Condition Removed:

The licensee:

(1) shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year; and

(2) shall not provide related services to any person other than a professional investor unless the licensee is accompanied at all times by a licensed person in performing the regulated activity(ies) in Hong Kong. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules.

Condition Level: Licence

CE Name: WANG Han

CE No.: BII988

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: WANG Xintian

CE No.: BNV028

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: DONG Yixiao

CE No.: BOA872

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Licence

CE Name: CHAN Kwok Wai

CE No.: ALG542

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: CHAN Kwok Wai

CE No.: ALG542

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: FEI Xiang

CE No.: AOV610

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: KEYS Malcolm James

CE No.: AVF631

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: KONG Yuk Chuen

CE No.: AYW579

Licence Type: Licensed Representative

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

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: LAU Hing Bun

CE No.: AGW616

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: LAW Kwok Chi

CE No.: AWF466

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: LAW Kwok Chi

CE No.: AWF466

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: LAW Kwok Chi

CE No.: AWF466

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 6 Regulated Activity

CE Name: LEE Wilhem

CE No.: ABR798



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Type 6 Regulated Activity

CE Name: LEE Wilhem

CE No.: ABR798

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 6 Regulated Activity

CE Name: LI Gang

CE No.: APV891

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: LIU Ngai Kan

CE No.: BOA983

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) 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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

Condition Level: Type 6 Regulated Activity

CE Name: LO Cheuk Yee, Helen

CE No.: ANA705

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: MAK Terence Chung Sing

CE No.: AVK467

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: MAK Terence Chung Sing

CE No.: AVK467

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: SHI Weihua

CE No.: BCT483

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: SHUM Ching Hei

CE No.: AWT804

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 12/2019

CE Name: WANG Han

CE No.: BII988

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: ZHANG Shengqiao

CE No.: BDM737

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