



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

CE Name: Excalibur Global Financial Group Limited

CE No.: ACH191

Licence Type: Licensed Corporation

Condition Removed:

For Type 1 regulated activity,

(a) the licensee shall not hold clients assets; and

(b) the licensee shall only introduce 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 effect dealings in securities or make offers to deal in securities.

Condition Level: Type 1 Regulated Activity

CE Name: Taikang Asset Management (Hong Kong) Company Limited

CE No.: ARG103

Licence Type: Licensed Corporation

Condition Added:

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

Condition Level: Type 1 Regulated Activity

CE Name: Asian Capital Limited

CE No.: AZF630

Licence Type: Licensed Corporation

Condition Added:

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

Condition Level: Type 1 Regulated Activity

CE Name: 3 Capital Partners Limited

CE No.: BHP587

Licence Type: Licensed Corporation

Condition Added:

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: Unicorn Securities Company Limited

CE No.: ACD947

Licence Type: Licensed Corporation

Condition Added:

For Type 2 regulated activity, the licensee shall not conduct business other than introducing persons to other intermediaries, in order that they may: (i) effect dealings in futures contracts; or (ii) make offers to deal in futures contracts.

Condition Level: Type 2 Regulated Activity



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CE Name: CMB International Asset Management Limited
CE No.: AVA101

Licence Type: Licensed Corporation

Condition Added:

For Type 4 regulated activity, the licensee shall only provide services to professional investors. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation.

Condition Level: Type 4 Regulated Activity

CE Name: Mason Securities Limited

CE No.: AAC086

Licence Type: Licensed Corporation

Condition Removed:

For Type 6 regulated activity, the licensee shall not act as sponsor in respect of an application for the listing on a recognized stock market of any securities.

Condition Level: Type 6 Regulated Activity

CE Name: Fosun Hani Securities Limited

CE No.: AAF432

Licence Type: Licensed Corporation

Condition Removed:

For Type 6 regulated activity, with effect from 1 January 2007, the licensee shall not act as sponsor in respect of an application for the listing on a recognized stock market of any securities.

Condition Level: Type 6 Regulated Activity

CE Name: RHB Capital Hong Kong Limited

CE No.: AGC194

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 19 October 2017.

Condition Level: Type 6 Regulated Activity

CE Name: Asian Capital Limited

CE No.: AZF630

Licence Type: Licensed Corporation

Condition Removed:

For Type 6 regulated activity, the licensee/[person] shall not act as sponsor in respect of an application for the listing on a recognized stock market of any securities.

Condition Level: Type 6 Regulated Activity

CE Name: CMB International Asset Management Limited

CE No.: AVA101



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Licence Type: Licensed Corporation

Condition Added:

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

Condition Level: Type 9 Regulated Activity

CE Name: Vontobel Wealth Management (Hong Kong) Limited

CE No.: BAO421

Licence Type: Licensed Corporation

Condition Added:

For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance.

Condition Level: Type 9 Regulated Activity

CE Name: 3 Capital Partners Limited

CE No.: BHP587

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: Hong Kong Wealthy Trade Limited

CE No.: BIQ778

Licence Type: Licensed Corporation

Condition Added:

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

Condition Level: Type 9 Regulated Activity

CE Name: CMB International Asset Management Limited

CE No.: AVA101

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: Asian Capital Limited

CE No.: AZF630

Licence Type: Licensed Corporation

Condition Removed:



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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: Topaz Capital Management Limited

CE No.: BCD276

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: Dongxing Securities (Hong Kong) Asset Management Company Limited

CE No.: BII798

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: YEUNG Kai Cheung, Patrick

CE No.: AAI669

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: YEUNG Kai Cheung, Patrick

CE No.: AAI669

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 1 regulated activity, the licensee shall only engage in corporate finance related activities.

Condition Level: Type 1 Regulated Activity

CE Name: CHAN Chung Shing

CE No.: AAZ019

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: CHAN Chung Shing

CE No.: AAZ019

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 Chong Keung, Wallace

CE No.: ABX326

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: WONG Weng Fai

CE No.: ACA941

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: YAU Hok Wai, Henry Clement

CE No.: ACH182



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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: TAN Eugenio T.

CE No.: ACM304

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: TAN Eugenio T.

CE No.: ACM304

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 Eugenio T.

CE No.: ACM304

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: YANG Zhizhong

CE No.: ACO050

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



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CE Name: WONG Kai Kok

CE No.: ACT922

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 1 Regulated Activity

CE Name: CHEUNG Ka Kee, Keith

CE No.: ADI133

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: CHEUNG Ka Kee, Keith

CE No.: ADI133

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: CHAN Tung Yuen

CE No.: ADO401

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: LAU Kwok Kit, Martin

CE No.: ADR107

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



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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 Qiang

CE No.: ADT384

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 Qiang

CE No.: ADT384

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: TONG Hei Ming, Andrew

CE No.: ADX402

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: SCHLOSSMACHER Werner

CE No.: AFC203

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: POON Lok Ming, Louis

CE No.: AFO678

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: POON Lok Ming, Louis

CE No.: AFO678

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: TANG Su See

CE No.: AFU064

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) 30/01/2019 (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: WANG Elizabeth Lily Chiang

CE No.: AFU253

Licence Type: Licensed Representative - Responsible Officer



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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: KWONG Ho Kei, Emily

CE No.: AGB307

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: KO Fung Yee

CE No.: AGC775

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 Suet Yee, Shirley

CE No.: AGI487

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: NG Yiu Man

CE No.: AGJ090

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



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CE Name: MAIYA Parampally Murlidhar
CE No.: AGO391
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: KIM Young Chan
CE No.: AGW611
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) 17 July 2018 (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: MAN Yiu Kwong, Nick
CE No.: AGZ760
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: MAN Yiu Kwong, Nick
CE No.: AGZ760
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: SHIN Chuck Yin
CE No.: AHF293
Licence Type: Licensed Representative - Responsible Officer
Condition Removed:

This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect:
(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or



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

Condition Level: Type 1 Regulated Activity

CE Name: WU Yi

CE No.: AIB748

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: MAK Lok Qun, Denise

CE No.: AIH187

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: MAK Lok Qun, Denise

CE No.: AIH187

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: TAN Siew Shen

CE No.: ALJ824

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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



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

Condition Level: Type 1 Regulated Activity

CE Name: TAN Siew Shen

CE No.: ALJ824

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 Yan Fong

CE No.: ALK716

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 Wai Kei

CE No.: ALW372

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: CHAN Wai Kei

CE No.: ALW372

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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

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

Condition Level: Type 1 Regulated Activity

CE Name: LIE Suet Ching

CE No.: ALZ559

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: LEUNG Yee Ming, Luxthew

CE No.: AND667

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: CHOW Siu Hang

CE No.: ANI744

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



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CE Name: ZHAO Tian

CE No.: ANR067

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: ZHAO Tian

CE No.: ANR067

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: CHEUNG Fan

CE No.: AOE444

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: CHEUNG Fan

CE No.: AOE444

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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



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

Condition Level: Type 1 Regulated Activity

CE Name: YU Hua Shen

CE No.: AON773

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: YIP Timothy Churk Yue

CE No.: APF351

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: CHAN Ho Yin, Ricky

CE No.: APU211

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

CE Name: CHAN Ho Yin, Ricky

CE No.: APU211

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: WEI Chun

CE No.: AQE313

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: WEI Chun

CE No.: AQE313

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: CHAN Hon Hei, Victor

CE No.: AQF553

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: ZENG Luhai

CE No.: AQQ661



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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: DUAN Guosheng

CE No.: ARG106

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 Xuan

CE No.: ARG777

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: POTTER Simon James

CE No.: ARO318

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: POTTER Simon James

CE No.: ARO318

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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

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

Condition Level: Type 1 Regulated Activity

CE Name: MA Siwei

CE No.: ARO767

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: PUN Daniel

CE No.: ARQ681

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: PUN Daniel

CE No.: ARQ681

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: LAM Bing Wah

CE No.: ARX073

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

Condition Level: Type 1 Regulated Activity

CE Name: MILLHOUSE David Andrew

CE No.: ATI899

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 Ka Hung

CE No.: ATL821

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: GAVAGHAN Peter James

CE No.: AUZ011

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: JARJOURA Kristofer Hamid

CE No.: AWS861

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 07/2018

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

CE No.: AWX835

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: LAM Hay Tak

CE No.: AXE899

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: WONG Yan Shun

CE No.: AXV863

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: XIE Zhengyang

CE No.: AXW931

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 07/2018

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

Condition Level: Type 1 Regulated Activity

CE Name: LAU Raymond Wai Cheuk

CE No.: AYQ814

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 Wai Kin

CE No.: AYZ335

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: DE BOER Patrick

CE No.: AZA737

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: DE BOER Patrick

CE No.: AZA737

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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

Condition Level: Type 1 Regulated Activity

CE Name: LUI Kevin Kei Tung

CE No.: BAO165

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: LUI Kevin Kei Tung

CE No.: BAO165

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: TAI Kwan Tat

CE No.: BBL046

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: HAM Sehoon

CE No.: BBR101



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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: HAM Sehoon

CE No.: BBR101

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: LIU Liang

CE No.: BBS596

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: LAM Cheuk Ming

CE No.: BCU804

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 07/2018

CE Name: LAM Cheuk Ming

CE No.: BCU804

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: CARTWRIGHT Edward Ian

CE No.: BDC766

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: LAU Kwong Lun

CE No.: BDI051

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: LAU Kwong Lun

CE No.: BDI051

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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: CHU Cheuk Hung

CE No.: BDL291

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: CHEONG Wei Yue

CE No.: BDU950

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: CHEONG Wei Yue

CE No.: BDU950

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: HE Yaobin

CE No.: BEA163

Licence Type: Licensed Representative - Responsible Officer



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: VARGA Anita

CE No.: BEQ776

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: VARGA Anita

CE No.: BEQ776

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: LAI Tai Yan

CE No.: BFI937

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 07/2018

CE Name: TONG Kin Chung, Benjamin

CE No.: BFM632

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: VAN MAANEN Alexander Antonius

CE No.: BFP029

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: EGLOFF Markus Peter

CE No.: BGG967

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: GU Hanyu

CE No.: BIR327

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

(ii) 5 January 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: NG Eric, Zheng Han

CE No.: BJR929

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) 10 January 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: CHAI Chi Kit

CE No.: BKA662

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: ZHAO Yue

CE No.: BKA711

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 07/2018

CE Name: ASTROM Lars Marcus

CE No.: BKB303

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: HU Michael

CE No.: BKR588

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: HU Michael

CE No.: BKR588

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: SCHWARZ Florian

CE No.: BKY307

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: DA COSTA MONTEIRO Paulo Jorge

CE No.: BLA832

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: JIN Xiaobin

CE No.: BLE514

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 Lufeier

CE No.: BLM083

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 1 Regulated Activity



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CE Name: CHU Hilary Hiu Lam

CE No.: BLM888

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: YIM Tsz Kwan

CE No.: BLN146

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: WONG Emily Lok Man

CE No.: BLN151

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: ZHOU Xin

CE No.: BLO642

Licence Type: Licensed Representative

Condition Removed:



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

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

Condition Level: Type 1 Regulated Activity

CE Name: YIN Xiaomin

CE No.: BLO685

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: PENG Yuhan

CE No.: BLS882

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 Xun

CE No.: BLT156

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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



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(ii) 20 August 2018 (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: YEUNG Xin

CE No.: BLT497

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: CHAMBEAU-BLOC Jacques

CE No.: BLU088

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: SHANGGUAN Peng

CE No.: BLU747

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: HO Seen Sze, Cecilia

CE No.: BLU752

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 Xiaoxi

CE No.: BLU778

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 Lynn Lin

CE No.: BLW078

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity



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CE Name: XUE Rui

CE No.: BLX378

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 Boon Hua Douglas

CE No.: BLY263

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 Ji Heon

CE No.: BMA113

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: TSE Tung Wai

CE No.: BMA121

Licence Type: Licensed Representative

Condition Removed:



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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: AINA Oluwadamilola Temitayo

CE No.: BMA176

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: LO Tsz Leung, Felix

CE No.: BMA549

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: KIM Dongcheol

CE No.: BMA794

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: CHEUNG Chin Ho

CE No.: BMA917

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 Li

CE No.: BMB551

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: LIU Shanshan

CE No.: BMD868

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: LEE Hin Fung

CE No.: BMD874

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: WONG Ngai Cheung

CE No.: BME661

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 Dan

CE No.: BME967

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity



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CE Name: YONG Shao Fung

CE No.: BMG012

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 Kin Cheung

CE No.: BMG075

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: KIM Doyoung

CE No.: BMG163

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: KIM Jee Won

CE No.: BMH726

Licence Type: Licensed Representative

Condition Removed:



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

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

Condition Level: Type 1 Regulated Activity

CE Name: BOCK Mathias

CE No.: BMI028

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: SHROFF MEET Urmish

CE No.: BMI560

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: HE Wenqing

CE No.: BML595

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: LIU Yixi

CE No.: BML636

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 Shijie

CE No.: BML660

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: YOUNG Brandon Shung Shuen

CE No.: BMN651

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: YEUNG Hon Shan

CE No.: BMO315

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: EBELING Alexander James

CE No.: BMO929

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: COOTE Matthew Christopher

CE No.: BMP230

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 07/2018

CE Name: WU Ling

CE No.: BMP332

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: ZHANG Weimin

CE No.: BMP475

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: HAO Yimei

CE No.: BMQ130

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: ZONG Yue

CE No.: BMQ324

Licence Type: Licensed Representative

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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

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

Condition Level: Type 1 Regulated Activity

CE Name: MARGITAN Steven John

CE No.: BMQ590

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 Wei Ren Daryl

CE No.: BMQ936

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: YAO Peipei

CE No.: BMR294

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 07/2018

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

Condition Level: Type 1 Regulated Activity

CE Name: WU Xiaofan

CE No.: BMR624

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: FANG Tim

CE No.: BMR942

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: FANG Tim

CE No.: BMR942

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: FANG Tim

CE No.: BMR942

Licence Type: Licensed Representative - Responsible Officer



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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: KIM Beum Joo

CE No.: BMS502

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: HEYMAN Benjamin Daniel Peter

CE No.: BMT480

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: LAU Man Ying

CE No.: BMU856

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: YANG Hanyin

CE No.: BMV124

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 Shanghao

CE No.: BMV465

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: WONG Cheuk Fung

CE No.: BMV587

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 07/2018

CE Name: ZUO Jun

CE No.: BMV721

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: SUEN Man Kit

CE No.: BMW074

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 Jaewhan

CE No.: BMW174

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: YAP Tisha Soong Yee

CE No.: BMX080

Licence Type: Licensed Representative

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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

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

Condition Level: Type 1 Regulated Activity

CE Name: FOK Pui Lam

CE No.: BMX414

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 Ziming

CE No.: BMX426

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: ZHANG Shiyang

CE No.: BMX616

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: LIU Ying

CE No.: BMY078

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: YIN Fangfei

CE No.: BMY612

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: KELLER Gottlieb Jeremy

CE No.: BMY649

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: WILTON Alexander Steven

CE No.: BMY738

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 Ching Man

CE No.: BMY829

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: SHIH Kai-Sheng

CE No.: BNB860

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 07/2018

CE Name: QIN Yu

CE No.: BNC581

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 Jiejun

CE No.: BNC664

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: VISEN Shaurya Pratap Singh

CE No.: BND225

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: KAN Chun Wah

CE No.: AJO358

Licence Type: Licensed Representative

Condition Removed:



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

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

Condition Level: Type 10 Regulated Activity

CE Name: FANOUS Terry

CE No.: AXG361

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 10 Regulated Activity

CE Name: YIP Christopher Ngo-heng

CE No.: BDC796

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 10 Regulated Activity

CE Name: YIP Christopher Ngo-heng

CE No.: BDC796

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 10 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:

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



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(b) not subject to this condition.

Condition Level: Type 10 Regulated Activity

CE Name: PARK Daye

CE No.: BJO621

Licence Type: Licensed Representative

Condition Added:

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

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

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

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

Condition Level: Type 10 Regulated Activity

CE Name: YAO Jingwan

CE No.: BLW968

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 10 Regulated Activity

CE Name: YI Chang Yoon

CE No.: BMV101

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 10 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

CE Name: KANG Seung Yong

CE No.: BMV277

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 10 Regulated Activity

CE Name: LIU Youyu

CE No.: BMW512

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 10 Regulated Activity

CE Name: SHI Beiyong

CE No.: BNB386

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 10 Regulated Activity

CE Name: CHAN Chung Shing

CE No.: AAZ019

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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: CHAN Chung Shing

CE No.: AAZ019

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 2 Regulated Activity

CE Name: LEE Che Chiu

CE No.: AAZ110

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: LAU Pak Lun

CE No.: ADC038

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: CHAN Kwok On

CE No.: AEK476

Licence Type: Licensed Representative - Responsible Officer



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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: SCHLOSSMACHER Werner

CE No.: AFC203

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 Richard Chi-sheng

CE No.: AIY923

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: HUNG Jung-Tsung

CE No.: AJD359

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 07/2018

CE Name: LEE Ka Long

CE No.: AME566

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 2 Regulated Activity

CE Name: LEE Ka Long

CE No.: AME566

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: LEUNG Yee Ming, Luxthew

CE No.: AND667

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 Level: Type 2 Regulated Activity

CE Name: WONG Siu Leung

CE No.: ANK932

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:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

- (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: QIN Qian

CE No.: ANR972

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: QIN Qian

CE No.: ANR972

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: LOW Jerry Yee Meng

CE No.: AOH115

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: LOW Jerry Yee Meng

CE No.: AOH115

Licence Type: Licensed Representative - Responsible Officer



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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: CHAN Ho Yin, Ricky

CE No.: APU211

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: CHAN Ho Yin, Ricky

CE No.: APU211

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: LUI Siu Wing, Tony

CE No.: ASW835

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

CE Name: LUI Siu Wing, Tony

CE No.: ASW835

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: GAVAGHAN Peter James

CE No.: AUZ011

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: FISCHER Simon John

CE No.: AVW178

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: CHONG Kam Lung

CE No.: AWA413

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: CHONG Kam Lung

CE No.: AWA413

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: JARJOURA Kristofer Hamid

CE No.: AWS861

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: XIE Zhengyang

CE No.: AXW931

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 2 Regulated Activity

CE Name: LI Jia You, Leo

CE No.: AYA379



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 2 Regulated Activity

CE Name: HO Wai Kin

CE No.: AYZ335

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: DE BOER Patrick

CE No.: AZA737

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: DE BOER Patrick

CE No.: AZA737

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: LUI Kevin Kei Tung

CE No.: BAO165



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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: LUI Kevin Kei Tung

CE No.: BAO165

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: CARTWRIGHT Edward Ian

CE No.: BDC766

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: FAN Siu Hong

CE No.: BEA176

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),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: FAN Siu Hong

CE No.: BEA176

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: JAO Fang-Ming

CE No.: BEZ036

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: YANG Yi Ting

CE No.: BFX052

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: YANG Yi Ting

CE No.: BFX052

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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: DA COSTA MONTEIRO Paulo Jorge

CE No.: BLA832

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: LIANG Xun

CE No.: BLT156

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) 20 August 2018 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 1 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 2 Regulated Activity

CE Name: CHAMBEAU-BLOC Jacques

CE No.: BLU088

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 07/2018

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

CE No.: BLU778

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: DING Li

CE No.: BMB551

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 Shanshan

CE No.: BMD868

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 2 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

CE Name: MC EVOY Andrew

CE No.: BMF537

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: KIM Doyoung

CE No.: BMG163

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: SHROFF MEET Urmish

CE No.: BMI560

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 Yixi

CE No.: BML636

Licence Type: Licensed Representative

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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 Shijie

CE No.: BML660

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: BOTHA Darren Phillip

CE No.: BMM574

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: BOTHA Darren Phillip

CE No.: BMM574

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),



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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: BOTHA Darren Phillip

CE No.: BMM574

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 approval for carrying on that regulated activity as a responsible officer (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 3 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: BOTHA Darren Phillip

CE No.: BMM574

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) 3 October 2018 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 1 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 2 Regulated Activity

CE Name: YEUNG Hon Shan

CE No.: BMO315

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.



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Condition Level: Type 2 Regulated Activity

CE Name: HAO Yimei

CE No.: BMQ130

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: YAO Peipei

CE No.: BMR294

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: HEYMAN Benjamin Daniel Peter

CE No.: BMT480

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: YANG Shanghao

CE No.: BMV465



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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: CHUNG Ching Yao

CE No.: BMV967

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: SUEN Man Kit

CE No.: BMW074

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: YAP Tisha Soong Yee

CE No.: BMX080

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 2 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 2 Regulated Activity

CE Name: KELLER Gottlieb Jeremy
CE No.: BMY649
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: WILTON Alexander Steven
CE No.: BMY738
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: DENG Jiejun
CE No.: BNC664
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),



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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 2 Regulated Activity

CE Name: CHIANG Shek Lun, Allan

CE No.: AAF306

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: CHIANG Shek Lun, Allan

CE No.: AAF306

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 3 Regulated Activity

CE Name: LI Kwai

CE No.: ACR634

Licence Type: Licensed Representative

Condition Added:

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

Condition Level: Type 3 Regulated Activity

CE Name: CHAN Chi Shing

CE No.: AON830

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: CHAN Chi Shing

CE No.: AON830

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 3 Regulated Activity



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CE Name: LAW Pui Kiu

CE No.: AVA659

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: LAW Pui Kiu

CE No.: AVA659

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

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

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

Condition Level: Type 3 Regulated Activity

CE Name: KWONG Pui Chuen

CE No.: AWL133

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: WONG Siu Tat

CE No.: AWL142

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: ZHANG Yi

CE No.: BCE998

Licence Type: Licensed Representative

Condition Removed:

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

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



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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 3 Regulated Activity

CE Name: BLACKWELL Michael Kevin

CE No.: BCN800

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

Condition Level: Type 3 Regulated Activity

CE Name: TAM Ka Hong

CE No.: BIQ325

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 3 Regulated Activity

CE Name: LAI Cheuk Wai, Nathan

CE No.: BLV465

Licence Type: Licensed Representative

Condition Removed:

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

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

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



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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 3 Regulated Activity

CE Name: CHOW Lewis Cheuk Hei

CE No.: BMJ344

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 3 Regulated Activity

CE Name: CHENG Chun Hei

CE No.: BMV168

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 3 Regulated Activity

CE Name: WONG Chi Chung

CE No.: BMY699

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 3 Regulated Activity



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CE Name: EDWARDS Christopher James

CE No.: ABN712

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: EDWARDS Christopher James

CE No.: ABN712

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: WOO Chong Keung, Wallace

CE No.: ABX326

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 Weng Fai

CE No.: ACA941

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:



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

Condition Level: Type 4 Regulated Activity

CE Name: WONG Weng Fai

CE No.: ACA941

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: CAMPBELL Lachlan Gordon

CE No.: ADU213

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: CAMPBELL Lachlan Gordon

CE No.: ADU213

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: KWAN David King Tong

CE No.: ADU222

Licence Type: Licensed Representative - Responsible Officer



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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: KWAN David King Tong

CE No.: ADU222

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: TONG Hei Ming, Andrew

CE No.: ADX402

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: SCHLOSSMACHER Werner

CE No.: AFC203

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: POON Lok Ming, Louis
CE No.: AFO678
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: POON Lok Ming, Louis
CE No.: AFO678
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: KIM Young Chan
CE No.: AGW611
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) 17 July 2018 (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: BOUTLAND Richard Anthony William
CE No.: AIR290
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



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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: TORRE Graeme

CE No.: AJG930

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) 11/07/2018 (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: TAN Siew Shen

CE No.: ALJ824

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: TAN Siew Shen

CE No.: ALJ824

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



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CE Name: LIE Suet Ching

CE No.: ALZ559

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: YU Hua Shen

CE No.: AON773

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 Ran

CE No.: AOX844

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 Ran

CE No.: AOX844

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



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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: COCHRAN Shaun Donald

CE No.: APA066

Licence Type: Licensed Representative

Condition Removed:

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

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

(ii) on 5 August 2018 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: TANG Yinan

CE No.: ARH247

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: TANG Yinan

CE No.: ARH247

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 07/2018

CE Name: PUN Daniel

CE No.: ARQ681

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: PUN Daniel

CE No.: ARQ681

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: KATHURIA Nitesh

CE No.: ARS414

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: MILLHOUSE David Andrew

CE No.: AT1899

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 07/2018

CE Name: CHAN Suit Khown

CE No.: ATX893

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: CHEUNG Huai Yun, Candy

CE No.: AUS580

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: CHEUNG Huai Yun, Candy

CE No.: AUS580

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 4 Regulated Activity

CE Name: HU Yi Na

CE No.: AWM092

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),



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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: HU Yi Na

CE No.: AWM092

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: LAM Hay Tak

CE No.: AXE899

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: XIE Zhengyang

CE No.: AXW931

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: MA Ying Mao Andrew

CE No.: AZT117

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



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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 Ying Mao Andrew

CE No.: AZT117

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: TAI Kwan Tat

CE No.: BBL046

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: LIU Liang

CE No.: BBS596

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



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CE Name: LI Xingwen

CE No.: BBW044

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: LI Xingwen

CE No.: BBW044

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: KRAEUCHI Stefan Kurt

CE No.: BCN741

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: KRAEUCHI Stefan Kurt

CE No.: BCN741

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:



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

Condition Level: Type 4 Regulated Activity

CE Name: SUNG Kwan Yiu

CE No.: BDF467

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: SUNG Kwan Yiu

CE No.: BDF467

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: GAO Shuqi

CE No.: BDQ208

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: GAO Shuqi

CE No.: BDQ208

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 07/2018

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

CE Name: HE Yaobin

CE No.: BEA163

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: AU-YOUNG Hin Lap

CE No.: BEA677

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: AU-YOUNG Hin Lap

CE No.: BEA677

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.



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Condition Level: Type 4 Regulated Activity

CE Name: GE Shihang

CE No.: BEL388

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: VARGA Anita

CE No.: BEQ776

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: VARGA Anita

CE No.: BEQ776

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: CHIK Wan Wai

CE No.: BGD477

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



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(b) not subject to this condition.

Condition Level: Type 4 Regulated Activity

CE Name: CHIK Wan Wai

CE No.: BGD477

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: EGLOFF Markus Peter

CE No.: BGG967

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: NAPHTALI David Jacob Samuel

CE No.: BGT102

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: NAPHTALI David Jacob Samuel

CE No.: BGT102

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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: HSU Jason Chung-Shiang

CE No.: BJL050

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: WANG Quan

CE No.: BJP307

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: NG Eric, Zheng Han

CE No.: BJR929

Licence Type: Licensed Representative

Condition Added:

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

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

(ii) 10 January 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



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Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: ZHAO Yue

CE No.: BKA711

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: SCHWARZ Florian

CE No.: BKY307

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: JIN Xiaobin

CE No.: BLE514

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 Lufeier

CE No.: BLM083

Licence Type: Licensed Representative



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

Condition Removed:

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

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

CE Name: ZHOU Xin

CE No.: BLO642

Licence Type: Licensed Representative

Condition Removed:

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

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

CE Name: YEUNG Man Wai

CE No.: BLR318

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: FOURNIER-BARRAND Francois-Alexis Fabien

CE No.: BLR943

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

- (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: FOURNIER-BARRAND Francois-Alexis Fabien

CE No.: BLR943

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: PENG Yuhan

CE No.: BLS882

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 Yu Fong

CE No.: BLU744

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 07/2018

CE Name: SHANGGUAN Peng

CE No.: BLU747

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: HO Seen Sze, Cecilia

CE No.: BLU752

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 Lynn Lin

CE No.: BLW078

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: KWOK Chi Ho

CE No.: BLW750

Licence Type: Licensed Representative

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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

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

CE No.: BLX566

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: TAN Boon Hua Douglas

CE No.: BLY263

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 4 Regulated Activity

CE Name: LEE Ji Heon

CE No.: BMA113

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 07/2018

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

Condition Level: Type 4 Regulated Activity

CE Name: KIM Dongcheol

CE No.: BMA794

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: CHEUNG Chin Ho

CE No.: BMA917

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: HU Yangzhao

CE No.: BMB622

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 07/2018

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

Condition Level: Type 4 Regulated Activity

CE Name: LIU Shanshan

CE No.: BMD868

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 Ngai Cheung

CE No.: BME661

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: CHEN Dan

CE No.: BME967

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 07/2018

CE Name: YONG Shao Fung

CE No.: BMG012

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 Kin Cheung

CE No.: BMG075

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: ZHANG Jingdan

CE No.: BMG531

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: KIM Jee Won

CE No.: BMH726

Licence Type: Licensed Representative

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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

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

Condition Level: Type 4 Regulated Activity

CE Name: LIU Jingyang

CE No.: BML621

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 4 Regulated Activity

CE Name: HE Nanyang

CE No.: BML708

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 4 Regulated Activity

CE Name: HU Sha

CE No.: BMO300

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 07/2018

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

Condition Level: Type 4 Regulated Activity

CE Name: YEUNG Hon Shan

CE No.: BMO315

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: EBELING Alexander James

CE No.: BMO929

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: WU Ling

CE No.: BMP332

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: ZHANG Weimin

CE No.: BMP475

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: HAO Yimei

CE No.: BMQ130

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: ZONG Yue

CE No.: BMQ324

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 07/2018

CE Name: MARGITAN Steven John
CE No.: BMQ590
Licence Type: Licensed Representative
Condition Removed:

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

CE Name: WU Xiaofan
CE No.: BMR624
Licence Type: Licensed Representative
Condition Removed:

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

CE Name: FANG Tim
CE No.: BMR942
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: FANG Tim
CE No.: BMR942
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



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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: KIM Beum Joo

CE No.: BMS502

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: HEYMAN Benjamin Daniel Peter

CE No.: BMT480

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 Hanyin

CE No.: BMV124

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: LIU Chen

CE No.: BMV316

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: VASANWALA Masira Abdul Latif

CE No.: BMV535

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 Cheuk Fung

CE No.: BMV587

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 07/2018

CE Name: ZUO Jun

CE No.: BMV721

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: LEE Jaewhan

CE No.: BMW174

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: LEUNG Yiu Tung

CE No.: BMW834

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: CHEN Ziming

CE No.: BMX426

Licence Type: Licensed Representative

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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

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

CE No.: BMX951

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: LIU Ying

CE No.: BMY078

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: YIN Fangfei

CE No.: BMY612

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 07/2018

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

Condition Level: Type 4 Regulated Activity

CE Name: LEE Ching Man

CE No.: BMY829

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: QIN Yu

CE No.: BNC581

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: VISEN Shaurya Pratap Singh

CE No.: BND225

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 07/2018

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

Condition Level: Type 4 Regulated Activity

CE Name: LEE Che Chiu

CE No.: AAZ110

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: EDWARDS Christopher James

CE No.: ABN712

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: EDWARDS Christopher James

CE No.: ABN712

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: LEE Kei Tat

CE No.: AEM828

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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: SCHLOSSMACHER Werner

CE No.: AFC203

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: LEUNG Wai Lok

CE No.: AQA795

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 5 Regulated Activity

CE Name: CHONG Kam Lung

CE No.: AWA413

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: CHONG Kam Lung

CE No.: AWA413

Licence Type: Licensed Representative - Responsible Officer



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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: HO Wai Kin

CE No.: AYZ335

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 5 Regulated Activity

CE Name: SUNG Kwan Yiu

CE No.: BDF467

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: SUNG Kwan Yiu

CE No.: BDF467

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

This licence, in relation to Type 5 regulated activity, shall lapse and cease to have effect:

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

Condition Level: Type 5 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

CE Name: FAN Siu Hong

CE No.: BEA176

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 5 Regulated Activity

CE Name: FAN Siu Hong

CE No.: BEA176

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

This licence, in relation to Type 5 regulated activity, shall lapse and cease to have effect:

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

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

Condition Level: Type 5 Regulated Activity

CE Name: CHIK Wan Wai

CE No.: BGD477

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: CHIK Wan Wai

CE No.: BGD477

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:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

- (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: MC EVOY Andrew

CE No.: BMF537

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: BOTHA Darren Phillip

CE No.: BMM574

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: BOTHA Darren Phillip

CE No.: BMM574

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 approval for carrying on that regulated activity as a responsible officer (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 3 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: BOTHA Darren Phillip

CE No.: BMM574



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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) 3 October 2018 (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 5 Regulated Activity

CE Name: BOTHA Darren Phillip

CE No.: BMM574

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

This licence, in relation to Type 5 regulated activity, shall lapse and cease to have effect:

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

Condition Level: Type 5 Regulated Activity

CE Name: HAO Yimei

CE No.: BMQ130

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: HEYMAN Benjamin Daniel Peter

CE No.: BMT480

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 5 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 5 Regulated Activity

CE Name: CHUNG Ching Yao
CE No.: BMV967
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: SUN Zhili
CE No.: AED526
Licence Type: Licensed Representative
Condition Removed:

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

CE Name: TANG Kwan Hui, Ronny
CE No.: AEP269
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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

CE Name: WANG Elizabeth Lily Chiang

CE No.: AFU253

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: KWONG Ho Kei, Emily

CE No.: AGB307

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: YAU Kwok Wing, Tony

CE No.: AGE018

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: YAU Kwok Wing, Tony

CE No.: AGE018

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 Weihan

CE No.: AGN723

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:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

- (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: MAIYA Parampally Murlidhar

CE No.: AGO391

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 Chi Kin, Vincent

CE No.: AHA572

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: WONG Kam Wah

CE No.: AHG506

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 6 Regulated Activity

CE Name: WU Yi

CE No.: AIB748

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: SUNG Hiu Fai, Ronald

CE No.: AIU569

Licence Type: Licensed Representative - Responsible Officer



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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: SO Chi Keung, Jeffrey

CE No.: AMC258

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: TIN Ka Ho, Edmond

CE No.: AMJ254

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: CHOW Siu Hang

CE No.: ANI744

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 6 Regulated Activity

CE Name: LAI Pei Chung

CE No.: ANW203

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 6 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

CE Name: ZHANG Hui

CE No.: AOX819

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: HO Shing Hin, Jason

CE No.: APC215

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: HO Shing Hin, Jason

CE No.: APC215

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 Shing Hin, Jason

CE No.: APC215

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: SUN Lilei

CE No.: APL885



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 6 Regulated Activity

CE Name: LEUNG Wai Lok

CE No.: AQA795

Licence Type: Licensed Representative

Condition Removed:

For Type 6 regulated activity, the licensee shall only act as an agent for the listing of index tracking exchange traded funds under the management of his accredited principal pursuant to Chapter 20 of the Rules Governing the Listing of Securities on the Stock Exchange of Hong Kong Limited. In acting as such agent, the licensee shall not advise on any listing that involves initial public offering contemplated under the Corporate Finance Adviser Code of Conduct.

Condition Level: Type 6 Regulated Activity

CE Name: LEUNG Wai Lok

CE No.: AQA795

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: LEUNG Wai Lok

CE No.: AQA795

Licence Type: Licensed Representative

Condition Removed:

In performing any distribution functions of index tracking exchange traded funds under the management of his accredited principal prior to the listing of such funds, the licensee shall closely follow the distribution process for the sub-funds of XIE SHARES TRUST I.

Condition Level: Type 6 Regulated Activity

CE Name: LEUNG Wai Lok

CE No.: AQA795

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

Condition Level: Type 6 Regulated Activity

CE Name: HUANG Yan

CE No.: AQO269

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: HUANG Yan

CE No.: AQO269

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: HUANG Yan

CE No.: AQO269

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 6 Regulated Activity

CE Name: MA Siwei

CE No.: ARO767

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 6 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

CE Name: CHAN Suit Khown

CE No.: ATX893

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: CHAN Suit Khown

CE No.: ATX893

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 Repurchases issued by the Commission.

Condition Level: Type 6 Regulated Activity

CE Name: FU Chong

CE No.: AUD159

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: YANG Peng

CE No.: AUG860

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: YANG Peng

CE No.: AUG860



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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: MAN Ka Mei

CE No.: AUR547

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: VELLA Andrea

CE No.: AUV624

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: SUN Kit Cheung

CE No.: AXA194

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: CHUNG Wing Ho

CE No.: AXV634

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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: XIAO Julia

CE No.: AYO955

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 Repurchases issued by the Commission.

Condition Level: Type 6 Regulated Activity

CE Name: LAU Raymond Wai Cheuk

CE No.: AYQ814

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: WONG Yik Yin, Rick

CE No.: AZU828

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: GU Hanyu

CE No.: BIR327

Licence Type: Licensed Representative

Condition Added:

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

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

(ii) 5 January 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 6 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

CE Name: SCHWARZ Florian

CE No.: BKY307

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: WONG Emily Lok Man

CE No.: BLN151

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: YEUNG Man Wai

CE No.: BLR318

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: LUO Aimei

CE No.: BLT164

Licence Type: Licensed Representative

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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: MOK Wah Kit

CE No.: BLV150

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: O Chi Ho

CE No.: BLV460

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: XUE Rui

CE No.: BLX378

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: TSE Tung Wai

CE No.: BMA121

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: AINA Oluwadamilola Temitayo

CE No.: BMA176

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: WONG Ngai Cheung

CE No.: BME661

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: ZENG Hongxuan

CE No.: BMK901

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: ZONG Yue

CE No.: BMQ324

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: WU Xiaofan

CE No.: BMR624

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 6 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

CE Name: FANG Tim

CE No.: BMR942

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: FANG Tim

CE No.: BMR942

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

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

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

Condition Level: Type 6 Regulated Activity

CE Name: FANG Tim

CE No.: BMR942

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: LAU Man Ying

CE No.: BMU856

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: WONG Cheuk Fung

CE No.: BMV587

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: FOK Pui Lam

CE No.: BMX414

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 Shiyang

CE No.: BMX616

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 Ching Man

CE No.: BMY829



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 6 Regulated Activity

CE Name: QIN Yu

CE No.: BNC581

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: TANG Sing Hing, Kenny

CE No.: AAC176

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: YEUNG Kai Cheung, Patrick

CE No.: AAI669

Licence Type: Licensed Representative - Responsible Officer

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

CE Name: YEUNG Kai Cheung, Patrick

CE No.: AAI669

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 9 regulated activity, the person shall not provide a service of managing a portfolio of futures contracts for another person.

Condition Level: Type 9 Regulated Activity

CE Name: LEE Che Chiu

CE No.: AAZ110

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: CHAN Sai Yee, Vincent

CE No.: ABM105

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: EDWARDS Christopher James

CE No.: ABN712

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: EDWARDS Christopher James

CE No.: ABN712



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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: WOO Chong Keung, Wallace

CE No.: ABX326

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: MONACO Thomas John

CE No.: ADN776

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: CHAN Wing Chiu

CE No.: ADT876

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

Condition Level: Type 9 Regulated Activity

CE Name: CHAN Wing Chiu

CE No.: ADT876

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: CAMPBELL Lachlan Gordon

CE No.: ADU213

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: TONG Hei Ming, Andrew

CE No.: ADX402

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: TO Kei Ming

CE No.: AFT099

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



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CE Name: TAI Yiu Kuen, Kevin

CE No.: AFY190

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: KWOK Kelvin

CE No.: AHT200

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: WEN Zhimin

CE No.: AID045

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: WEN Zhimin

CE No.: AID045

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:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

- (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: BOUTLAND Richard Anthony William

CE No.: AIR290

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: TORRE Graeme

CE No.: AJG930

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) 11/07/2018 (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: LIE Suet Ching

CE No.: ALZ559

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 07/2018

CE Name: WONG Siu Leung

CE No.: ANK932

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 Haobiao

CE No.: AOB527

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 Haobiao

CE No.: AOB527

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: LU Yilin

CE No.: AOG682

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 07/2018

CE Name: LU Yilin

CE No.: AOG682

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: YU Hua Shen

CE No.: AON773

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: MURPHY Donough Thomas

CE No.: AOX162

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: IM Kai Chuen, Stephen

CE No.: APC198

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 07/2018

CE Name: IM Kai Chuen, Stephen

CE No.: APC198

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: YEUNG Chung Lung

CE No.: AQX406

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 Xuan

CE No.: ARG777

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: TANG Yinan

CE No.: ARH247

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:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

- (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: TANG Yinan

CE No.: ARH247

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 Keung

CE No.: ARJ968

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 Keung

CE No.: ARJ968

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: KATHURIA Nitesh

CE No.: ARS414

Licence Type: Licensed Representative - Responsible Officer



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

Condition Added:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: LIANG Hao

CE No.: ATN174

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: LIANG Hao

CE No.: ATN174

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 Suit Khown

CE No.: ATX893

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: LEUNG Hiu Yan

CE No.: AUY597



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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: LEUNG Hiu Yan

CE No.: AUY597

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: TSANG Tsz Ho

CE No.: AWE361

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: HU Yi Na

CE No.: AWM092

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 07/2018

CE Name: KWOK Man Chun, Felix

CE No.: AWS974

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: YEUNG LEUNG Yuen Fun, Monica

CE No.: AXC562

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: YEUNG LEUNG Yuen Fun, Monica

CE No.: AXC562

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: LAM Hay Tak

CE No.: AXE899

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 07/2018

CE Name: MA Ying Mao Andrew

CE No.: AZT117

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: MA Ying Mao Andrew

CE No.: AZT117

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: ZHOU Fangwen

CE No.: BBK066

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: ZHOU Fangwen

CE No.: BBK066

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:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

- (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: TAI Kwan Tat

CE No.: BBL046

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: KRAEUCHI Stefan Kurt

CE No.: BCN741

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: KRAEUCHI Stefan Kurt

CE No.: BCN741

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 Cheuk Hung

CE No.: BDL291

Licence Type: Licensed Representative - Responsible Officer



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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: HE Yaobin

CE No.: BEA163

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: DAI Zhijie

CE No.: BEQ286

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: DAI Zhijie

CE No.: BEQ286

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 07/2018

CE Name: CHENG Ming Chun

CE No.: BEU986

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 Ming Chun

CE No.: BEU986

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: LI Yiu Yuen

CE No.: BFB087

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: LAI Tai Yan

CE No.: BFI937

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:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

- (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: CHIK Wan Wai

CE No.: BGD477

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: CHIK Wan Wai

CE No.: BGD477

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: NAPHTALI David Jacob Samuel

CE No.: BGT102

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: NAPHTALI David Jacob Samuel

CE No.: BGT102

Licence Type: Licensed Representative - Responsible Officer



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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: CAI Hua

CE No.: BHZ819

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: CAI Hua

CE No.: BHZ819

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: JIN Xiaojing

CE No.: BIG115

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 07/2018

CE Name: JIN Xiaojing

CE No.: BIG115

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: GLADSTONE George Alexander

CE No.: BII177

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: GLADSTONE George Alexander

CE No.: BII177

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: SORANI Andrea

CE No.: BJW752

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),



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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: CHEN Lufeier

CE No.: BLM083

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: GROSHENS Rosemary Lyn

CE No.: BLO636

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 Xin

CE No.: BLO642

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 9 Regulated Activity



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CE Name: YEUNG Man Wai

CE No.: BLR318

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: FOURNIER-BARRAND Francois-Alexis Fabien

CE No.: BLR943

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: FOURNIER-BARRAND Francois-Alexis Fabien

CE No.: BLR943

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 Yuhan

CE No.: BLS882

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: YEUNG Xin

CE No.: BLT497

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: SHANGGUAN Peng

CE No.: BLU747

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: KWOK Chi Ho

CE No.: BLW750

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: TAN Boon Hua Douglas

CE No.: BLY263

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: KIM Dongcheol

CE No.: BMA794

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: CHEUNG Chin Ho

CE No.: BMA917

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 9 Regulated Activity



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CE Name: MURPHY Brian Vincent

CE No.: BMC507

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: YONG Shao Fung

CE No.: BMG012

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 9 Regulated Activity

CE Name: LEE Chang Soo

CE No.: BMH280

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 9 Regulated Activity

CE Name: LIU Jingyang

CE No.: BML621

Licence Type: Licensed Representative

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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: MARGITAN Steven John

CE No.: BMQ590

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 Wei Ren Daryl

CE No.: BMQ936

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: ZUO Jun

CE No.: BMV721

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: SIU Tan Sum

CE No.: BMV843

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 9 Regulated Activity

CE Name: LEE Jaewhan

CE No.: BMW174

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 9 Regulated Activity

CE Name: CHEN Ziming

CE No.: BMX426

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: LIU Ying

CE No.: BMY078

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 9 Regulated Activity

CE Name: KWAN Curtis Chung Lun

CE No.: BNB558

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: TANG Su See

CE No.: AFU064

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: AWASTHI Prabhat

CE No.: APR248

Licence Type: Licensed Representative

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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: AWASTHI Prabhat

CE No.: APR248

Licence Type: Licensed Representative

Condition Added:

The licensee:

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

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

Condition Level: Licence

CE Name: SETH Chetan

CE No.: AWW238

Licence Type: Licensed Representative

Condition Added:

The licensee:

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

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

Condition Level: Licence

CE Name: PAUTROT Sebastien, Michael

CE No.: AYE975

Licence Type: Licensed Representative

Condition Added:

The licensee:

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



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

(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: SUZUKI Akira

CE No.: AZL137

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: LI Junsong

CE No.: BEY885

Licence Type: Licensed Representative

Condition Added:

The licensee:

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

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

Condition Level: Licence

CE Name: WANG Ying Hsin

CE No.: BFV913

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 not provide related services to any person other than a professional investor. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules.

Condition Level: Licence

CE Name: TAKAHASHI Goro

CE No.: BHE219

Licence Type: Licensed Representative

Condition Added:



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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: CHEW Emily Loei Yeen

CE No.: BIH236

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: GU Hanyu

CE No.: BIR327

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: CHU Henry

CE No.: BIR496

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: PARK Daye

CE No.: BJO621

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



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CE Name: NG Eric, Zheng Han

CE No.: BJR929

Licence Type: Licensed Representative

Condition Removed:

The licensee shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year and shall not provide related services to any person other than a professional investor. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules.

Condition Level: Licence

CE Name: WANG Bei

CE No.: BLK413

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: CHAN Kok Chung, Johnny

CE No.: ADH521

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: CHAN Yuen Man, Parina

CE No.: BAB913

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 Ming Fai

CE No.: ALA485

Licence Type: Licensed Representative

Condition Removed:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

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 Ming Fai

CE No.: ALA485

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 4 Regulated Activity

CE Name: CHOW Oi Ting

CE No.: BLX223

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Type 3 Regulated Activity

CE Name: CHU Pui Fan

CE No.: AOG059

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: HANG Kwong Lam, David

CE No.: AAI986

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 3 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is:

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

Condition Level: Type 3 Regulated Activity



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CE Name: HANG Kwong Lam, David

CE No.: AAI986

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 3 Regulated Activity

CE Name: KANG Jianhong

CE No.: BEA815

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: KWONG Pui Chuen

CE No.: AWL133

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 Cheong Wing

CE No.: BKE038

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: LEUNG Chun Keung

CE No.: AFG667

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 4 Regulated Activity



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

CE Name: LI Junsong

CE No.: BEY885

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: LI Kwai

CE No.: ACR634

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 Fei

CE No.: BDE493

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: RAN Miao

CE No.: BBN537

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: STEELE Scott Patrick

CE No.: BET086

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:



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

- (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: STEELE Scott Patrick

CE No.: BET086

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: STEELE Scott Patrick

CE No.: BET086

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: SUN Kit Cheung

CE No.: AXA194

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: TSE Tak Li, Terry

CE No.: AGW560

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: WANG Elizabeth Lily Chiang

CE No.: AFU253



CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 07/2018

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 6 Regulated Activity

CE Name: WONG Siu Tat

CE No.: AWL142

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