



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

CE Name: E D & F Man Capital Markets Hong Kong Limited

CE No.: BBD066

Licence Type: Licensed Corporation

Condition Removed:

For Type 2 regulated activity, the licensee shall not conduct business other than -

(a) communicating offers to effect dealings in futures contracts or options contracts to E D & F Man Capital Markets Limited, in the names of the persons from whom those offers are received; and

(b) introducing persons to E D & F Man Capital Markets Limited, in order that they may -

(i) effect dealings in futures contracts or options contracts; or

(ii) make offers to deal in futures contracts or options contracts.

Condition Level: Type 2 Regulated Activity

CE Name: E D & F Man Capital Markets Hong Kong Limited

CE No.: BBD066

Licence Type: Licensed Corporation

Condition Added:

For Type 2 regulated activity, the licensee shall not conduct business other than -

(a) communicating offers to effect dealings in futures contracts or options contracts to E D & F Man Capital Markets Limited and E D & F Capital Markets Inc., in the names of the persons from whom those offers are received; and

(b) introducing persons to E D & F Man Capital Markets Limited and E D & F Capital Markets Inc., in order that they may -

(i) effect dealings in futures contracts or options contracts; or

(ii) make offers to deal in futures contracts or options contracts.

Condition Level: Type 2 Regulated Activity

CE Name: Fortune Financial Capital Limited

CE No.: ARN695

Licence Type: Licensed Corporation

Condition Added:

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

Condition Level: Type 6 Regulated Activity

CE Name: VTB Capital Hong Kong Limited

CE No.: AXF967

Licence Type: Licensed Corporation

Condition Added:

For Type 9 regulated activity, the licensee shall not provide asset management service for any party other than a related corporation. The term related corporation is as defined in Schedule 1 to the Securities and Futures Ordinance.

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

CE Name: Differ Asset Management Company Limited  
CE No.: BLK849

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: Innovest Asset Management Limited

CE No.: BGB564

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: A.C Asset Management Limited

CE No.: BHS283

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: Differ Asset Management Company Limited

CE No.: BLK849

Licence Type: Licensed Corporation

Condition Added:

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

Condition Level: Licence

CE Name: CHAN Chung Shing

CE No.: AAZ019

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 01/2019

CE Name: CHAN Chung Shing

CE No.: AAZ019

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: NG Ka Wai, Eric

CE No.: ABI099

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 1 regulated activity, the licensee shall not engage in stock broking activities except that the licensee may deal in stock as an introducing broker where the licensee may introduce clients to an exchange participant which may trade on a recognized stock market, in order that such clients may (i) effect dealings in stock or (ii) make offers to deal in stock. The terms "recognized stock market" and "exchange participant" are as defined in the Securities and Futures Ordinance.

Condition Level: Type 1 Regulated Activity

CE Name: LEE Kwok Ning, Lobo

CE No.: ABR565

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: WONG Weng Fai

CE No.: ACA941

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 01/2019

CE Name: WAN Kai Leung, Paul

CE No.: ACI925

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: WAN Kai Leung, Paul

CE No.: ACI925

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: WANG Changhong

CE No.: ACN975

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: TSANG Kin Wah

CE No.: ADP012

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

CE Name: SIT Kar Kin, Kenneth

CE No.: ADR744

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: CHUA Kei Wah

CE No.: ADW595

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: CHUA Kei Wah

CE No.: ADW595

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: LIN Wai Yan

CE No.: AEU175

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: TSANG WONG Yuen Kee, Yvonne

CE No.: AEZ573

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

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

Condition Level: Type 1 Regulated Activity

CE Name: CHAN Stephen Sze Yung

CE No.: AFP820

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 Stephen Sze Yung

CE No.: AFP820

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: TSANG Chung Lam, Andrew

CE No.: AFR651

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: TANG Su See

CE No.: AFU064

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 01/2019

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

CE No.: AGN288

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: LO Wan Wai, Isaac

CE No.: AGR427

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: LI Min

CE No.: AGU654

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: LI Min

CE No.: AGU654

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 1 Regulated Activity

CE Name: CHING David

CE No.: AHA614

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: LAW Kwok Tai

CE No.: AHN287

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: LAW Kwok Tai

CE No.: AHN287

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: FONG Shin Tsing, Bonnie

CE No.: AIY237

Licence Type: Licensed Representative

Condition Removed:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

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

Condition Level: Type 1 Regulated Activity

CE Name: YIP Yuen Man, Letitia

CE No.: AIY988

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: YIP Yuen Man, Letitia

CE No.: AIY988

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: YIP Yuen Man, Letitia

CE No.: AIY988

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 Chuk Cheung, Ivan

CE No.: AJB937

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Condition Level: Type 1 Regulated Activity

CE Name: LO Mei Yan

CE No.: AJK653

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: LO Mei Yan

CE No.: AJK653

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 Chak Ming

CE No.: AJM690

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 Chiu Yee

CE No.: AJY016

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 1 Regulated Activity

CE Name: ZHANG Fan

CE No.: ALA702

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: YIU Kam Wai, Martin

CE No.: ALL047

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: LI Li

CE No.: AMF794

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: TSUI Dick Yee, Daisy

CE No.: AMJ137

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: SONG Xin

CE No.: ANA840

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

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

Condition Level: Type 1 Regulated Activity

CE Name: SONG Xin

CE No.: ANA840

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: WAN Wai Ching, Lilian

CE No.: ANG186

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: LIN Hung Yuan

CE No.: AOA593

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

CE Name: NG Lok Yan

CE No.: AOG290

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: NG Lok Yan

CE No.: AOG290

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

Condition Level: Type 1 Regulated Activity

CE Name: LI Jing

CE No.: AOV618

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: LI Jing

CE No.: AOV618

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 1 Regulated Activity

CE Name: TSE Sheung Lai, Sunny

CE No.: APB109

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: BRIDGEFORD Shannon Richard

CE No.: APK142

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: BRIDGEFORD Shannon Richard

CE No.: APK142

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: LO Hiu Lam

CE No.: APL937

Licence Type: Licensed Representative - Responsible Officer



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

### 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: CHUNG King Cheung

CE No.: APQ277

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: GUO Zili

CE No.: APZ594

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 Deyi

CE No.: APZ847

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 Wah Man Carman

CE No.: AQD276

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 Wah Man Carman

CE No.: AQD276

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 Wah Man Carman

CE No.: AQD276

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 1 Regulated Activity

CE Name: YU Zhipeng

CE No.: AQE598

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: YU Zhipeng

CE No.: AQE598

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



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(b) not subject to this condition.

Condition Level: Type 1 Regulated Activity

CE Name: FRANJOU Lionel Claude Pascal

CE No.: AQE634

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 Wu

CE No.: AQP947

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: LI Wu

CE No.: AQP947

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: SESHASAYEE Aadit

CE No.: AQZ618

Licence Type: Licensed Representative

Condition Removed:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

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

Condition Level: Type 1 Regulated Activity

CE Name: MALIK Osman Riaz

CE No.: ARD259

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: MALIK Osman Riaz

CE No.: ARD259

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: LAW Ming Yiu, Felix

CE No.: ART905

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: TSUI Cheuk Chi

CE No.: ARV914

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 Chia-hui

CE No.: ASU227

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: CHEN Chia-hui

CE No.: ASU227

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 Tsz Ching

CE No.: ASY518

Licence Type: Licensed Representative

Condition Removed:

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

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



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

Condition Level: Type 1 Regulated Activity

CE Name: LI Tze Yan, Janet

CE No.: ATN771

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: ALMEIDA Cristy

CE No.: AUA663

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 Kit Ling

CE No.: AUI936

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 01/2019

CE Name: LIU Kit Ling

CE No.: AUI936

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 Siu Ling, Ascar

CE No.: AVC082

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: LAI Shuk Ching

CE No.: AVG944

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 Lai Him

CE No.: AVI824

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: HUNG Elaine

CE No.: AVJ425

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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



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

CE Name: ABBOTT Giles David Cameron

CE No.: AVQ399

Licence Type: Licensed Representative

Condition Removed:

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

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

CE Name: LAM Ka Ho

CE No.: AXP757

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: LAM Ka Ho

CE No.: AXP757

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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



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Condition Level: Type 1 Regulated Activity

CE Name: ZHENG Long

CE No.: AYA192

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: CHEUNG Man Kit

CE No.: AYC069

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: NG Li Huei

CE No.: AZJ948

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 01/2019

CE Name: SANDHU Palbinder

CE No.: BAB479

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: SANDHU Palbinder

CE No.: BAB479

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 Shazhou

CE No.: BAO735

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 Ka Ming

CE No.: BBD585

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: HE Tian

CE No.: BBR112

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: DONG Xiang

CE No.: BCN525

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: DONG Xiang

CE No.: BCN525

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: MARTYN Patrick Raymond

CE No.: BCW120

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: JI Jiangfan

CE No.: BDF391

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: JI Jiangfan

CE No.: BDF391

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: HO Ka Ho

CE No.: BDW690

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: HO Ka Ho

CE No.: BDW690

Licence Type: Licensed Representative - Responsible Officer



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

### 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 Hiu Yan

CE No.: BDY283

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: VARGA Anita

CE No.: BEQ776

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: VARGA Anita

CE No.: BEQ776

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:



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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 1 Regulated Activity

CE Name: HUANG Haoyi

CE No.: BER550

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: FENG Dafu

CE No.: BFN926

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: YU Yang

CE No.: BGB011

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: YU Yang

CE No.: BGB011

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 1 Regulated Activity

CE Name: DIXIT Tanvi

CE No.: BGE019

Licence Type: Licensed Representative

Condition Added:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: SUNG Hung-Wei

CE No.: BGG701

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: SUNG Hung-Wei

CE No.: BGG701

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

CE Name: CHAN Matthew Wing Tou  
CE No.: BGH189  
Licence Type: Licensed Representative  
Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: ZHAO Weihua  
CE No.: BGK789  
Licence Type: Licensed Representative - Responsible Officer  
Condition Added:

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

Condition Level: Type 1 Regulated Activity

CE Name: ZHAO Weihua  
CE No.: BGK789  
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: NG Li Yen  
CE No.: BGT393  
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 01/2019

CE Name: WONG Shun Loy

CE No.: BHJ599

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: TSUI Wai Lun

CE No.: BHO716

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: GAO Dong

CE No.: BHT018

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: SACHDEVA Amit

CE No.: BIB386

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 1 Regulated Activity

CE Name: SACHDEVA Amit

CE No.: BIB386

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: ZHANG Yidong

CE No.: BIS749

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: HONG Sang Jin

CE No.: BIW989

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: HONG Sang Jin

CE No.: BIW989

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

CE Name: CAO Dan  
CE No.: BKZ053  
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) [%Date%] (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper [%number%] pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: CHOPRA Sarit Ranjan  
CE No.: BLQ423  
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: CHOPRA Sarit Ranjan  
CE No.: BLQ423  
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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Condition Level: Type 1 Regulated Activity

CE Name: XU Jingying

CE No.: BMK885

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) on 15 February 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: REZNIK Alexander

CE No.: BMM127

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: REZNIK Alexander

CE No.: BMM127

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: WU Yanlin

CE No.: BMQ608

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

CE Name: CHEN Li

CE No.: BMV473

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

CE Name: TAN Chee Hoe

CE No.: BMV620

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: BUNGEY Matthew James

CE No.: BMW340

Licence Type: Licensed Representative

Condition Removed:

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

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 1 Regulated Activity

CE Name: ZHU Yajing

CE No.: BMW814

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: HU Yichen

CE No.: BMW892

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 Jiangfan

CE No.: BMX541

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 01/2019

CE Name: GREEN Nicholas Alain

CE No.: BMX570

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: GU Zhixiang

CE No.: BMY444

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: PLEBANI Gian Arard

CE No.: BNB394

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: BARDHAN RAY Ambarish

CE No.: BNB420

Licence Type: Licensed Representative

Condition Removed:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

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

Condition Level: Type 1 Regulated Activity

CE Name: JUNG Bo Young

CE No.: BNC060

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: WANG Yue

CE No.: BNC128

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: SZE Wing Ka Sherryn

CE No.: BNC276

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: CHAN Tak Yui

CE No.: BNC476

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: VOISIN Alexis

CE No.: BNC512

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 Chung Wing

CE No.: BNC659

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: LUO Difei

CE No.: BNC831

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: ALTERMAN Valeriia

CE No.: BND296

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: DEPALMAS Remi Richard

CE No.: BNE468

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: CHA Seung Hoon

CE No.: BNE720

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: LIN Mingzhao

CE No.: BNE753

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: MODI Alok

CE No.: BNF103

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: MODI Alok

CE No.: BNF103

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

- (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
- (ii) on 11 July 2019 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 2 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: MODI Alok

CE No.: BNF103

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) on 27 February 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: MODI Alok

CE No.: BNF103

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: MODI Alok

CE No.: BNF103

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

- (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
- (ii) on 27 February 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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 1 Regulated Activity

CE Name: WU Wanling

CE No.: BNF152

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: HUANG Zekun

CE No.: BNF375

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: LU Wei

CE No.: BNF423

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 01/2019

CE Name: VERMA Pramath

CE No.: BNF578

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: TIEU Minh Hai

CE No.: BNF594

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 Ting

CE No.: BNF666

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 Runhua

CE No.: BNG352

Licence Type: Licensed Representative

Condition Removed:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

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

Condition Level: Type 1 Regulated Activity

CE Name: XING Fan

CE No.: BNG640

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: KAO Jui Tang

CE No.: BNG896

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 Zheqi

CE No.: BNG950

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 01/2019

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

Condition Level: Type 1 Regulated Activity

CE Name: HE Letian

CE No.: BNH135

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 Kit

CE No.: BNH149

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: LEE Kit

CE No.: BNH149

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 01/2019

CE Name: CHEUNG Ming Hon

CE No.: BNH167

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: AMSTALDEN Boris Marcello

CE No.: BNH259

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: XIAO Di

CE No.: BNH359

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: SHAO Yuping

CE No.: BNH376

Licence Type: Licensed Representative

Condition Removed:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

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

Condition Level: Type 1 Regulated Activity

CE Name: WANG Wei

CE No.: BNH497

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: WANG Shihua

CE No.: BNH504

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: CHEUNG Sum Ping, Jeremy

CE No.: BNH612

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 01/2019

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

Condition Level: Type 1 Regulated Activity

CE Name: YIP Keiann

CE No.: BNH901

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: SANG Haoran

CE No.: BNH925

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 Hao

CE No.: BNH973

Licence Type: Licensed Representative

Condition Removed:

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

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

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 1 Regulated Activity

CE Name: STANLEY Thomas Edward

CE No.: BNI065

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: KIKUHARA Yoshiaki

CE No.: BNI692

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: SINGH Nidhi

CE No.: BNI914

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 01/2019

CE Name: WENG Chenqi

CE No.: BNJ123

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 Joon Young

CE No.: BNJ268

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: HA Jae uk

CE No.: BNJ329

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: WANG Yue

CE No.: BNJ744

Licence Type: Licensed Representative

Condition Removed:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

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

Condition Level: Type 1 Regulated Activity

CE Name: COCHRANE Samuel Thomas

CE No.: BNJ872

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 Kristy

CE No.: BNK027

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: YEUNG Nga Yan

CE No.: BNL126

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 01/2019

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

Condition Level: Type 1 Regulated Activity

CE Name: BOGORICIN OLIVEIRA Marcio

CE No.: BNL128

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: XU Junjie

CE No.: BNL583

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 Zining

CE No.: BNL590

Licence Type: Licensed Representative

Condition Removed:

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

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

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 1 Regulated Activity

CE Name: XIAN Junqi

CE No.: BNM265

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 Ran

CE No.: BNN005

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: LU Yue

CE No.: BNN209

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 01/2019

CE Name: YANG Kaisheng

CE No.: BNN233

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 Jiaying

CE No.: BNN287

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: - Amit Singh

CE No.: BNN372

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: WANG Tianfang

CE No.: BNN586

Licence Type: Licensed Representative

Condition Removed:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

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

Condition Level: Type 1 Regulated Activity

CE Name: LI Chi Wa

CE No.: BNN723

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: JIANG Di

CE No.: BNN791

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: HATTORI Akito

CE No.: BNN819

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 1 Regulated Activity

CE Name: HATTORI Akito

CE No.: BNN819

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) 17 June 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: HATTORI Akito

CE No.: BNN819

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 approval for carrying on 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 2 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: HATTORI Akito

CE No.: BNN819

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 01/2019

CE Name: ZHU Lizheng

CE No.: BNN848

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 Yingzhuang

CE No.: BNO186

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: CHOW Wa Shing

CE No.: BNO669

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: WANG Yufei

CE No.: BNO772

Licence Type: Licensed Representative

Condition Removed:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

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

Condition Level: Type 1 Regulated Activity

CE Name: LIU Yang

CE No.: BNO842

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: PARK Yoo Bin

CE No.: BNO892

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 Shenghan

CE No.: BNO957

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: YAJIMA Tomoki

CE No.: BNP002

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: LIKASITH Pakitta

CE No.: BNP042

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: DUNYACH Quentin Jean-jacques

CE No.: BNP199

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) 13 May 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 1 Regulated Activity

CE Name: LEE Ji Hyung

CE No.: BNP265

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: NARAYAN Shashank

CE No.: BNP372

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: GU LAN JIANG

CE No.: BNP499

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: KAMATH Pallavi Umesh  
CE No.: BNP711  
Licence Type: Licensed Representative  
Condition Removed:

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

CE Name: LAM Lok Fung  
CE No.: BNQ450  
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 Shengmei  
CE No.: BNQ603  
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 Shimeng  
CE No.: BNQ702  
Licence Type: Licensed Representative  
Condition Removed:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

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

Condition Level: Type 1 Regulated Activity

CE Name: ZHAO Ziyi

CE No.: BNR609

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 Xiao Qin Ervin

CE No.: BNR822

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: LEE Xiao Qin Ervin

CE No.: BNR822

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 01/2019

CE Name: LEE Xiao Qin Ervin

CE No.: BNR822

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: GOYAL Priyal

CE No.: BNS046

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 Yu

CE No.: BNS244

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 Yee Hang Bosco

CE No.: BNS662

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: JIN Ming

CE No.: BNS991

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 Kam In

CE No.: BNT045

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: GUO Yingyu

CE No.: BNT124

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: WONG Wai Bun Benson

CE No.: BNT804

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: FERRET Thibaut

CE No.: BNU019

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 1 Regulated Activity

CE Name: HO Tin Chuen Brian

CE No.: BNU092

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: HEM Phila

CE No.: BNU247

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: PONDOMATI CHANDRAPPA Sandeep

CE No.: BNU249

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: CHUI Chi Kin

CE No.: BNU447

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: COHEN Yoann Henri Aaron

CE No.: BNU725

Licence Type: Licensed Representative

Condition Removed:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

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

Condition Level: Type 1 Regulated Activity

CE Name: HUA Zhongnan

CE No.: BNU873

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: HUANG Yuelun

CE No.: BNV533

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: IP Ho Ting

CE No.: BNW289

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: WATANABE SAKI

CE No.: BNY669

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 Qi

CE No.: BNY952

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: VARGHESE Shinoy

CE No.: BGU248

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),



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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 10 Regulated Activity

CE Name: ZHOU Congyun

CE No.: BNC442

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: KIM Younghun

CE No.: BNE872

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: GUO QingQing

CE No.: BNF702

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 01/2019

CE Name: ZOU Yutong

CE No.: BNI783

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: LING Gabriel Shui Cheung

CE No.: BNL459

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: YANG Shanshan

CE No.: BNP726

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: WONG Weng Fai

CE No.: ACA941

Licence Type: Licensed Representative - Responsible Officer



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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: CHEUNG Wai Kit

CE No.: AES388

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: CHEUNG Wai Kit

CE No.: AES388

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: PENG David Hoantee

CE No.: AET830

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 2 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

CE Name: PENG David Hoantee

CE No.: AET830

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: NGAN Chiu Kit, Hudson

CE No.: AGQ983

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: XIN Hai

CE No.: AMC830

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: LEE Ka Long

CE No.: AME566

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 01/2019

CE Name: TSE Sheung Lai, Sunny

CE No.: APB109

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: TSE Sheung Lai, Sunny

CE No.: APB109

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: BRIDGEFORD Shannon Richard

CE No.: APK142

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: BRIDGEFORD Shannon Richard

CE No.: APK142

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 01/2019

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

Condition Level: Type 2 Regulated Activity

CE Name: YU Zhipeng

CE No.: AQE598

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: YU Zhipeng

CE No.: AQE598

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: CHEUNG Shu Yan

CE No.: AQM260

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 01/2019

CE Name: CHEUNG Shu Yan

CE No.: AQM260

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: ALMEIDA Cristy

CE No.: AUA663

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: CHOI Shing Yan

CE No.: AUM819

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: FANG Zhiying

CE No.: AWK007

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 01/2019

CE Name: FANG Zhiying

CE No.: AWK007

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: WANG Qin

CE No.: AWP856

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: WANG Qin

CE No.: AWP856

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: XIONG Liting

CE No.: AWT047

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

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

Condition Level: Type 2 Regulated Activity

CE Name: NG Li Huei

CE No.: AZJ948

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: HU Shazhou

CE No.: BAO735

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 Yi Ting

CE No.: BFX052

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 01/2019

CE Name: YANG Yi Ting

CE No.: BFX052

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: YU Yang

CE No.: BGB011

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: YU Yang

CE No.: BGB011

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: CHAN Matthew Wing Tou

CE No.: BGH189

Licence Type: Licensed Representative

Condition Removed:

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

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 2 Regulated Activity

CE Name: WANG Fan

CE No.: BHG370

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: TSUI Wai Lun

CE No.: BHO716

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: 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 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



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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 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: ZHANG Jiangfan

CE No.: BMX541

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: BARDHAN RAY Ambarish

CE No.: BNB420

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: VOISIN Alexis

CE No.: BNC512

Licence Type: Licensed Representative



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Condition Removed:

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

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

CE Name: LEUNG Chung Wing

CE No.: BNC659

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: LUO Difei

CE No.: BNC831

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: ALTERMAN Valeriia

CE No.: BND296

Licence Type: Licensed Representative

Condition Removed:

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

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 2 Regulated Activity

CE Name: DEPALMAS Remi Richard

CE No.: BNE468

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: MODI Alok

CE No.: BNF103

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) on 27 February 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 2 Regulated Activity

CE Name: MODI Alok

CE No.: BNF103

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 01/2019

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

Condition Level: Type 2 Regulated Activity

CE Name: MODI Alok

CE No.: BNF103

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: MODI Alok

CE No.: BNF103

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) on 11 July 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 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: MODI Alok

CE No.: BNF103

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) on 27 February 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 2 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

CE Name: XING Fan

CE No.: BNG640

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: HE Letian

CE No.: BNH135

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 2 Regulated Activity

CE Name: CHEUNG Ming Hon

CE No.: BNH167

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: XIAO Di

CE No.: BNH359

Licence Type: Licensed Representative

Condition Removed:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

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

Condition Level: Type 2 Regulated Activity

CE Name: WANG Shihua

CE No.: BNH504

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 2 Regulated Activity

CE Name: WANG Xiaorui

CE No.: BNH572

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 2 Regulated Activity

CE Name: CHEUNG Sum Ping, Jeremy

CE No.: BNH612

Licence Type: Licensed Representative

Condition Removed:

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

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 2 Regulated Activity

CE Name: STANLEY Thomas Edward

CE No.: BNI065

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: CARVALHO FURQUIM Lucas Henrique

CE No.: BNJ260

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 2 Regulated Activity

CE Name: WANG Yue

CE No.: BNJ744

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 01/2019

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

Condition Level: Type 2 Regulated Activity

CE Name: COCHRANE Samuel Thomas

CE No.: BNJ872

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 Kaisheng

CE No.: BNN233

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: - Amit Singh

CE No.: BNN372

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 01/2019

CE Name: LI Chi Wa

CE No.: BNN723

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: HE Yingzhuang

CE No.: BNO186

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: PARK Yoo Bin

CE No.: BNO892

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: LIKASITH Pakitta

CE No.: BNP042

Licence Type: Licensed Representative

Condition Removed:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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: GU LAN JIANG

CE No.: BNP499

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: KAMATH Pallavi Umesh

CE No.: BNP711

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: GOYAL Priyal

CE No.: BNS046

Licence Type: Licensed Representative

Condition Removed:

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

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 2 Regulated Activity

CE Name: LEE Kam In

CE No.: BNT045

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: PONDOMATI CHANDRAPPA Sandeep

CE No.: BNU249

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: COHEN Yoann Henri Aaron

CE No.: BNU725

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),



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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: CHOPRA Abhishek

CE No.: BNU940

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: WAN Kai Leung, Paul

CE No.: ACI925

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

CE Name: WAN Kai Leung, Paul

CE No.: ACI925

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

CE Name: WAN Kai Leung, Paul

CE No.: ACI925

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: AU Hin Man

CE No.: AOK562

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: AU Hin Man

CE No.: AOK562

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

CE Name: FAN Kwan Ho

CE No.: AQL336

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: TONG Ying Kit, Robin

CE No.: AVO633

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 3 Regulated Activity

CE Name: TONG Ying Kit, Robin

CE No.: AVO633

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

CE Name: TONG Ying Kit, Robin

CE No.: AVO633

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: TONG Ying Kit, Robin

CE No.: AVO633

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: FUNG Chun Yu

CE No.: AYD269

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Type 3 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

CE Name: KIM Phil Young

CE No.: BFU177

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: KIM Phil Young

CE No.: BFU177

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

CE Name: CHENG Sze Long

CE No.: BHR971

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: LU Jiahong

CE No.: BID376

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: TAM Ka Hong

CE No.: BIQ325

Licence Type: Licensed Representative

Condition Added:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 3 Regulated Activity

CE Name: HU Ming

CE No.: BMW482

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: ZHAO Aonan

CE No.: BMW483

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: MAK Wing Yan

CE No.: BMX139

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: ZHAO Yifan

CE No.: BNG821

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: TANG Yeung Long

CE No.: BNH251

Licence Type: Licensed Representative

Condition Removed:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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: ZHOU Yang

CE No.: BNJ698

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: HEUNG Wing Sze, Wincy

CE No.: BNU326

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: SAN Wan Yan

CE No.: BNU615

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: EDWARDS Christopher James

CE No.: ABN712

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: EDWARDS Christopher James

CE No.: ABN712

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: HUGH Chuen Loong

CE No.: ACZ289

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: HUGH Chuen Loong

CE No.: ACZ289

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 01/2019

CE Name: TSANG Kin Wah

CE No.: ADP012

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: TSANG WONG Yuen Kee, Yvonne

CE No.: AEZ573

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

(b) not subject to this condition.

Condition Level: Type 4 Regulated Activity

CE Name: CHAN Stephen Sze Yung

CE No.: AFP820

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: CHAN Stephen Sze Yung

CE No.: AFP820

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: LI Min

CE No.: AGU654

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 Min

CE No.: AGU654

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: YIP Yuen Man, Letitia

CE No.: AIY988

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

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

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

CE Name: YIP Yuen Man, Letitia

CE No.: AIY988

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: CHENG Kwan Lun

CE No.: AJD750

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: CHENG Kwan Lun

CE No.: AJD750

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: TORRE Graeme

CE No.: AJG930

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 01/2019

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

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

Condition Level: Type 4 Regulated Activity

CE Name: LO Mei Yan

CE No.: AJK653

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: LO Mei Yan

CE No.: AJK653

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: CHAN Chak Ming

CE No.: AJM690

Licence Type: Licensed Representative

Condition Removed:

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: PARK Sang

CE No.: ALR978

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: PARK Sang

CE No.: ALR978

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 4 Regulated Activity

CE Name: SONG Xin

CE No.: ANA840

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Condition Level: Type 4 Regulated Activity

CE Name: SONG Xin

CE No.: ANA840

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: LEUNG Alexander

CE No.: ANH673

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: LEUNG Alexander

CE No.: ANH673

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: NG Lok Yan

CE No.: AOG290

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: NG Lok Yan

CE No.: AOG290

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

Condition Level: Type 4 Regulated Activity

CE Name: CHEUNG Kai Lim

CE No.: APC144

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 4 Regulated Activity

CE Name: CHEUNG Kai Lim

CE No.: APC144

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

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

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

CE Name: LAU Chi Ching

CE No.: APF062

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: LAU Chi Ching

CE No.: APF062

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: TAN Deyi

CE No.: APZ847

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: XIE Jinhui

CE No.: AQO522

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: LI Wu

CE No.: AQP947

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: LI Wu

CE No.: AQP947

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: WUNG Sheng-Bin

CE No.: AQS401

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: WUNG Sheng-Bin

CE No.: AQS401

Licence Type: Licensed Representative

Condition Removed:

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

CE Name: SESHASAYEE Aadit  
CE No.: AQZ618  
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: MALIK Osman Riaz  
CE No.: ARD259  
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: MALIK Osman Riaz  
CE No.: ARD259  
Licence Type: Licensed Representative - Responsible Officer  
Condition Added:

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Condition Level: Type 4 Regulated Activity

CE Name: TANG Yinan

CE No.: ARH247

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: TANG Yinan

CE No.: ARH247

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: FRIEDLANDER Michael Arthur

CE No.: ARJ342

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: FRIEDLANDER Michael Arthur

CE No.: ARJ342

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

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

Condition Level: Type 4 Regulated Activity

CE Name: MARSHALL James

CE No.: ASS787

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 Chia-hui

CE No.: ASU227

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 Chia-hui

CE No.: ASU227

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 Tze Yan, Janet

CE No.: ATN771

Licence Type: Licensed Representative - Responsible Officer



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Condition Removed:

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

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

CE Name: LI Tze Yan, Janet

CE No.: ATN771

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 4 Regulated Activity

CE Name: HUANG Chien-Jui

CE No.: AVA600

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 4 Regulated Activity

CE Name: HUANG Chien-Jui

CE No.: AVA600

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

CE Name: HUNG Elaine

CE No.: AVJ425

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: ABBOTT Giles David Cameron

CE No.: AVQ399

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 Weijiang

CE No.: AWW324

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

(b) not subject to this condition.

Condition Level: Type 4 Regulated Activity

CE Name: MA Wai Yee, Christine

CE No.: AXK803

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 01/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: MA Wai Yee, Christine

CE No.: AXK803

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: LEE Oi Suen

CE No.: AXZ054

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: ZHENG Long

CE No.: AYA192

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 01/2019

CE Name: HU Nian

CE No.: BAA338

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 Nian

CE No.: BAA338

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: SANDHU Palbinder

CE No.: BAB479

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: SANDHU Palbinder

CE No.: BAB479

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: HU Shazhou

CE No.: BAO735

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 Tian

CE No.: BBR112

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: HE Tian

CE No.: BBR112

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 01/2019

CE Name: MARTYN Patrick Raymond

CE No.: BCW120

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: JI Jiangfan

CE No.: BDF391

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: JI Jiangfan

CE No.: BDF391

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: HO Ka Ho

CE No.: BDW690

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: HO Ka Ho

CE No.: BDW690

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: WONG Wai Ming, Jenny

CE No.: BEB588

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: WONG Wai Ming, Jenny

CE No.: BEB588

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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: VARGA Anita

CE No.: BEQ776

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: YU Yang

CE No.: BGB011

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: YU Yang

CE No.: BGB011

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 01/2019

CE Name: CHIK Wan Wai

CE No.: BGD477

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: SUNG Hung-Wei

CE No.: BGG701

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: SUNG Hung-Wei

CE No.: BGG701

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: ZHAO Weihua

CE No.: BGK789

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: QU Siyuan

CE No.: BHJ218

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 4 Regulated Activity

CE Name: QU Siyuan

CE No.: BHJ218

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: WONG Shun Loy

CE No.: BHJ599

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: LI Jie

CE No.: BHK605

Licence Type: Licensed Representative - Responsible Officer



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Condition Added:

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

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

Condition Level: Type 4 Regulated Activity

CE Name: LI Jie

CE No.: BHK605

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: WANG Yu

CE No.: BHK872

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 Dong

CE No.: BHT018

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

CE Name: WANG Bangyi

CE No.: BHY291

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 4 Regulated Activity

CE Name: WANG Bangyi

CE No.: BHY291

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: CAI Hua

CE No.: BHZ819

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: CAI Hua

CE No.: BHZ819

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: LI Baohua

CE No.: BJU349

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 Baohua

CE No.: BJU349

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: OBEROI Navdeep Singh

CE No.: BJU820

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

CE Name: OBEROI Navdeep Singh

CE No.: BJU820

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: GUO Chenkai

CE No.: BMA814

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: GUO Chenkai

CE No.: BMA814

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: REZNIK Alexander

CE No.: BMM127

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: REZNIK Alexander

CE No.: BMM127

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: WU Yanlin

CE No.: BMQ608

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: CHEN Li

CE No.: BMV473

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

CE Name: HU Yichen

CE No.: BMW892

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 Jiangfan

CE No.: BMX541

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: GREEN Nicholas Alain

CE No.: BMX570

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: GUO Yanzhe

CE No.: BMX602

Licence Type: Licensed Representative

Condition Removed:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

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

Condition Level: Type 4 Regulated Activity

CE Name: CHEUNG Pui Man

CE No.: BMY665

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: PLEBANI Gian Arard

CE No.: BNB394

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: JUNG Bo Young

CE No.: BNC060

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 01/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: WANG Yue

CE No.: BNC128

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 Da

CE No.: BNC440

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 Tak Yui

CE No.: BNC476

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 01/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: JI Diying

CE No.: BNC702

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: LUO Difei

CE No.: BNC831

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: CALLEGARI Julio Cesar

CE No.: BND443

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 01/2019

CE Name: CHA Seung Hoon

CE No.: BNE720

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 Wanling

CE No.: BNF152

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: WANG Min

CE No.: BNF305

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 Lei

CE No.: BNF391

Licence Type: Licensed Representative

Condition Removed:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

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

Condition Level: Type 4 Regulated Activity

CE Name: LIANG Weiyuan

CE No.: BNF426

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: VERMA Pramath

CE No.: BNF578

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: TIEU Minh Hai

CE No.: BNF594

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 01/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: ZHOU Ting

CE No.: BNF666

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 Runhua

CE No.: BNG352

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: KAO Jui Tang

CE No.: BNG896

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 01/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: FANG Zheqi

CE No.: BNG950

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 Kit

CE No.: BNH149

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: LEE Kit

CE No.: BNH149

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

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

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

Condition Level: Type 4 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

CE Name: AMSTALDEN Boris Marcello

CE No.: BNH259

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: PAN Ninghe

CE No.: BNH310

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: WANG Wei

CE No.: BNH497

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: SANG Haoran

CE No.: BNH925

Licence Type: Licensed Representative

Condition Removed:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

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

Condition Level: Type 4 Regulated Activity

CE Name: LIU Hao

CE No.: BNH973

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: YE Shuyu

CE No.: BNH981

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 Joon Young

CE No.: BNJ268

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 01/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: HA Jae uk

CE No.: BNJ329

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: LIN Ang-Chi

CE No.: BNJ382

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 Kristy

CE No.: BNK027

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 01/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: KO Chun Ho, Dexter

CE No.: BNL079

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 Nga Yan

CE No.: BNL126

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: ZHAO Jianan

CE No.: BNL487

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 01/2019

CE Name: TANG Long Yin

CE No.: BNL491

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: XU Junjie

CE No.: BNL583

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 Zining

CE No.: BNL590

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: ZHAO Zeping

CE No.: BNM248

Licence Type: Licensed Representative



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Condition Removed:

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

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

CE Name: XIAN Junqi

CE No.: BNM265

Licence Type: Licensed Representative

Condition Removed:

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

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

CE Name: ZHOU Ran

CE No.: BNN005

Licence Type: Licensed Representative

Condition Removed:

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

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

CE Name: LU Yue

CE No.: BNN209

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 01/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: ZHANG Jiaying

CE No.: BNN287

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: ZHAO Anbo

CE No.: BNN592

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: LAU Kwan Lok Locky

CE No.: BNN600

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 01/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: ZHU Lizheng

CE No.: BNN848

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 Yingzhuang

CE No.: BNO186

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 Shiyu

CE No.: BNO193

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 01/2019

CE Name: KEDIA Gaurav Pradip

CE No.: BNO405

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: KEDIA Gaurav Pradip

CE No.: BNO405

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: ZHANG Xiaotong

CE No.: BNO491

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: WANG Yufei

CE No.: BNO772

Licence Type: Licensed Representative

Condition Removed:

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

CE Name: LI Shenghan

CE No.: BNO957

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: YAJIMA Tomoki

CE No.: BNP002

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: LIKASITH Pakitta

CE No.: BNP042

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 01/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: DUNYACH Quentin Jean-jacques

CE No.: BNP199

Licence Type: Licensed Representative

Condition Added:

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

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

(ii) 13 May 2019 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 1 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 4 Regulated Activity

CE Name: SHEN Jinting

CE No.: BNP257

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 Hyung

CE No.: BNP265

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 01/2019

CE Name: NARAYAN Shashank  
CE No.: BNP372  
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: KAMATH Pallavi Umesh  
CE No.: BNP711  
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: YAN Dong  
CE No.: BNP764  
Licence Type: Licensed Representative  
Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: XU Weijia  
CE No.: BNQ445  
Licence Type: Licensed Representative



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Condition Removed:

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

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

CE Name: ZHOU Qiyuan

CE No.: BNQ505

Licence Type: Licensed Representative

Condition Removed:

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

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

CE Name: DAI Chennan

CE No.: BNR108

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 Xiao Qin Ervin

CE No.: BNR822

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 4 Regulated Activity

CE Name: LEE Xiao Qin Ervin

CE No.: BNR822

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: ZHENG Fei

CE No.: BNS485

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 Yee Hang Bosco

CE No.: BNS662

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 01/2019

CE Name: JIN Ming

CE No.: BNS991

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 Kam In

CE No.: BNT045

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: FERRET Thibaut

CE No.: BNU019

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 Tin Chuen Brian

CE No.: BNU092

Licence Type: Licensed Representative

Condition Removed:



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

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

Condition Level: Type 4 Regulated Activity

CE Name: SHAO Dongni

CE No.: BNU273

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: CHUI Chi Kin

CE No.: BNU447

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 Zehua

CE No.: BNU835

Licence Type: Licensed Representative

Condition Removed:

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

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



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

Condition Level: Type 4 Regulated Activity

CE Name: WANG Ning

CE No.: BNV447

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: JAIN Vaibhav

CE No.: BNV479

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: HUANG Yuelun

CE No.: BNV533

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 Xiaoning

CE No.: BNV582

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: IP Ho Ting

CE No.: BNW289

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: WATANABE SAKI

CE No.: BNY669

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity



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CE Name: LI Qi

CE No.: BNY952

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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

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

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

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

Condition Level: Type 4 Regulated Activity

CE Name: EDWARDS Christopher James

CE No.: ABN712

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: EDWARDS Christopher James

CE No.: ABN712

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: MAK Nixon Kim Ho

CE No.: AOV141

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 5 Regulated Activity

CE Name: MAK Nixon Kim Ho

CE No.: AOV141

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: TSE Sheung Lai, Sunny

CE No.: APB109

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: TSE Sheung Lai, Sunny

CE No.: APB109

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: TAN Deyi

CE No.: APZ847

Licence Type: Licensed Representative



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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: XIONG Liting

CE No.: AWT047

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 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 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

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Condition Level: Type 5 Regulated Activity

CE Name: LIU Da

CE No.: BNC440

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: CALLEGARI Julio Cesar

CE No.: BND443

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: LIKASITH Pakitta

CE No.: BNP042

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 5 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

CE Name: LEE Kam In

CE No.: BNT045

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: CHOPRA Abhishek

CE No.: BNU940

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: LI Qi

CE No.: BNY952

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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

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

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

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

Condition Level: Type 5 Regulated Activity

CE Name: WANG Changhong

CE No.: ACN975

Licence Type: Licensed Representative

Condition Removed:



## **CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019**

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

Condition Level: Type 6 Regulated Activity

CE Name: SIT Kar Kin, Kenneth

CE No.: ADR744

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: TSANG Tak Chi

CE No.: ADV457

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: TSANG Chung Lam, Andrew

CE No.: AFR651

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: LEUNG Hon Ki

CE No.: AGN288

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 01/2019

CE Name: YIP Kai Sun, Sunny

CE No.: AHK750

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Type 6 Regulated Activity

CE Name: POON Ho Ying, Irene

CE No.: AIL064

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 6 Regulated Activity

CE Name: POON Ho Ying, Irene

CE No.: AIL064

Licence Type: Licensed Representative - Responsible Officer

Condition 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: LI Chiu Yee

CE No.: AJY016

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 6 Regulated Activity

CE Name: ZHANG Fan

CE No.: ALA702

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 01/2019

Share Buy-backs issued by the Commission, act together with another adviser (to the client) not subject to this condition.

Condition Level: Type 6 Regulated Activity

CE Name: LI Li

CE No.: AMF794

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: TSUI Alvin Chun Ming

CE No.: AMS882

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: LU Yan

CE No.: ANR968

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: CHAN Chiu Wai

CE No.: AOQ601

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 01/2019

CE Name: TSE Sheung Lai, Sunny

CE No.: APB109

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: LO Hiu Lam

CE No.: APL937

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: GUO Zili

CE No.: APZ594

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: JIANG Jun

CE No.: AQI866

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: JIANG Jun

CE No.: AQI866

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 01/2019

CE Name: LAI Chun Leung, Barton

CE No.: ARF922

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: CHAN Lung Ming

CE No.: ATT477

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 Shuk Ching

CE No.: AVG944

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

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

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

Condition Level: Type 6 Regulated Activity

CE Name: LAI Shuk Ching

CE No.: AVG944

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Condition Level: Type 6 Regulated Activity

CE Name: LAI Shuk Ching

CE No.: AVG944

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: LAI Shuk Ching

CE No.: AVG944

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: LAI Shuk Ching

CE No.: AVG944

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 6 Regulated Activity

CE Name: YU Weijiang

CE No.: AWW324

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Condition Level: Type 6 Regulated Activity

CE Name: YU Weijiang

CE No.: AWW324

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 6 Regulated Activity

CE Name: YU Weijiang

CE No.: AWW324

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 6 Regulated Activity

CE Name: CHENG Wang Ming

CE No.: AXA014

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: CHAN Ka Ming

CE No.: BBD585

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: SHI Qian

CE No.: BBH325

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 6 Regulated Activity

CE Name: CHIM So Ting

CE No.: BBJ810

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 Siu On

CE No.: BDF606

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: CHAN Hiu Yan

CE No.: BDY283

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: NGAI Wui Tung

CE No.: BEL021

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

(b) not subject to this condition.

Condition Level: Type 6 Regulated Activity

CE Name: NGAI Wui Tung

CE No.: BEL021

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: MENG Xinghai

CE No.: BFF372

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: MENG Xinghai

CE No.: BFF372

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: HO Kin Chun

CE No.: BGB398

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 6 Regulated Activity

CE Name: ZHAO Weihua

CE No.: BGK789

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: ZHAO Weihua

CE No.: BGK789

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: MA Yi

CE No.: BHX379

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: MA Yi

CE No.: BHX379

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 6 Regulated Activity

CE Name: MA Yi

CE No.: BHX379

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: MA Yi

CE No.: BHX379

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: MA Yi

CE No.: BHX379

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: CAO Dan

CE No.: BKZ053

Licence Type: Licensed Representative

Condition Added:

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

- (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or
- (ii) [%Date%] (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper [%number%] pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 6 Regulated Activity

CE Name: REZNIK Alexander

CE No.: BMM127

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: REZNIK Alexander

CE No.: BMM127

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: BUNGEY Matthew James

CE No.: BMW340

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Condition Level: Type 6 Regulated Activity

CE Name: LOU Anping

CE No.: BMW885

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 6 Regulated Activity

CE Name: HUANG Zi Le

CE No.: BMW886

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 6 Regulated Activity

CE Name: FU Bo

CE No.: BMW887

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 01/2019

CE Name: LIANG Runan

CE No.: BMW888

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 6 Regulated Activity

CE Name: ZHU Yiman

CE No.: BMW890

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 6 Regulated Activity

CE Name: CHEN Zhehui

CE No.: BMW891

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 6 Regulated Activity

CE Name: WANG Rui

CE No.: BMW897

Licence Type: Licensed Representative

Condition Removed:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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: GREEN Nicholas Alain

CE No.: BMX570

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: IP Ka Fai

CE No.: BNB163

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 6 Regulated Activity

CE Name: YANG Liyun

CE No.: BNC798

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 6 Regulated Activity

CE Name: YU Chun Man

CE No.: BND624

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: LIN Mingzhao

CE No.: BNE753

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 Wanling

CE No.: BNF152

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),



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 6 Regulated Activity

CE Name: HUANG Zekun

CE No.: BNF375

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: LU Wei

CE No.: BNF423

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: VERMA Pramath

CE No.: BNF578

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 01/2019

CE Name: TIEU Minh Hai

CE No.: BNF594

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 6 Regulated Activity

CE Name: ZHOU Ting

CE No.: BNF666

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: GE Tuo

CE No.: BNF813

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 6 Regulated Activity

CE Name: CHEN Runhua

CE No.: BNG352

Licence Type: Licensed Representative



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Condition Removed:

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

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

CE Name: FANG Zheqi

CE No.: BNG950

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: SANG Haoran

CE No.: BNH925

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: WENG Chenqi

CE No.: BNJ123

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: HA Jae uk

CE No.: BNJ329

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: LU Yue

CE No.: BNN209

Licence Type: Licensed Representative

Condition Removed:

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

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

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

Condition Level: Type 6 Regulated Activity

CE Name: WANG Tianfang

CE No.: BNN586

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: JIANG Di

CE No.: BNN791

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: CHOW Wa Shing

CE No.: BNO669

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: LIU Yang

CE No.: BNO842

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 01/2019

CE Name: LAM Lok Fung

CE No.: BNQ450

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: YIN Shengmei

CE No.: BNQ603

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 6 Regulated Activity

CE Name: CHEN Shimeng

CE No.: BNQ702

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: ZHAO Ziyi

CE No.: BNR609

Licence Type: Licensed Representative



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Condition Removed:

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

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

CE Name: CHAN Pak Yan Cherry

CE No.: BNR759

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 Xiao Qin Ervin

CE No.: BNR822

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: LEE Xiao Qin Ervin

CE No.: BNR822

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Condition Level: Type 6 Regulated Activity

CE Name: LEE Xiao Qin Ervin

CE No.: BNR822

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: LI Yu

CE No.: BNS244

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: CHUI Chi Kin

CE No.: BNU447

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: HUA Zhongnan

CE No.: BNU873

Licence Type: Licensed Representative

Condition Removed:

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



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

CE Name: CHEN Sicong

CE No.: BNV383

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: WATANABE SAKI

CE No.: BNY669

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 Ding Pong, Allan

CE No.: AAA747

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 01/2019

CE Name: LEUNG Kwok Kan

CE No.: AAD928

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: WONG Stacey Martin

CE No.: ABM370

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: TEY Eng Chee, Thomas

CE No.: ABN323

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: TEY Eng Chee, Thomas

CE No.: ABN323

Licence Type: Licensed Representative - Responsible Officer



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

### Condition Added:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: WU Hing Tong, Michael

CE No.: ACI997

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: LO Yuk Fong, Phyllis

CE No.: ACN561

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: HUGH Chuen Loong

CE No.: ACZ289

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: HUGH Chuen Loong

CE No.: ACZ289



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: CHEUNG Chun Ying, Victor

CE No.: ADS697

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: CHEUNG Chun Ying, Victor

CE No.: ADS697

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 WONG Yuen Kee, Yvonne

CE No.: AEZ573

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 01/2019

Condition Level: Type 9 Regulated Activity

CE Name: LU Jiahua

CE No.: AFT829

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: LU Jiahua

CE No.: AFT829

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: CHO Yee Kee, Amy

CE No.: AGA026

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: CHO Yee Kee, Amy

CE No.: AGA026

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 9 Regulated Activity

CE Name: NGAI Sun Ching Venus

CE No.: AGH987

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: NGAI Sun Ching Venus

CE No.: AGH987

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: LEUNG Ching Wan, Catherine

CE No.: AGS493

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 01/2019

CE Name: LEUNG Ching Wan, Catherine

CE No.: AGS493

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: LI Min

CE No.: AGU654

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

Condition Level: Type 9 Regulated Activity

CE Name: LI Min

CE No.: AGU654

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: WANG Kenneth Chuan

CE No.: AHU775

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 01/2019

CE Name: WANG Kenneth Chuan

CE No.: AHU775

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: YIM Siu Hong

CE No.: AIC803

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: CHNG Oon Jin

CE No.: AIN851

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: CHNG Oon Jin

CE No.: AIN851

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 9 Regulated Activity

CE Name: LAM Wai Leung

CE No.: AIX165

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: LEE Yun Wing, Aaron

CE No.: AJC168

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: CHENG Kwan Lun

CE No.: AJD750

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 Kwan Lun

CE No.: AJD750

Licence Type: Licensed Representative - Responsible Officer

Condition Added:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

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

Condition Level: Type 9 Regulated Activity

CE Name: 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) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing),
- whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory 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:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: LAM Wing Hi

CE No.: AJK480

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: LEE Sai Leung, Dennis

CE No.: AMF898

Licence Type: Licensed Representative - Responsible Officer



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

### Condition Added:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: TSUI Dick Yee, Daisy

CE No.: AMJ137

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 Alexander

CE No.: ANH673

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: LEUNG Alexander

CE No.: ANH673

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 Kei Shu

CE No.: AOC991



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: CHAN Kei Shu

CE No.: AOC991

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: LEE Hoi Ying

CE No.: AOV787

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: LEE Hoi Ying

CE No.: AOV787

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Condition Level: Type 9 Regulated Activity

CE Name: SHIU Kin Ming, Paul

CE No.: AOV858

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: TSE Sheung Lai, Sunny

CE No.: APB109

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: TSE Sheung Lai, Sunny

CE No.: APB109

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

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

Condition Level: Type 9 Regulated Activity

CE Name: CHEUNG Kai Lim

CE No.: APC144

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 9 Regulated Activity

CE Name: CHEUNG Kai Lim

CE No.: APC144

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: LEE Wai Wang, Robert

CE No.: APK188

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: LEE Wai Wang, Robert

CE No.: APK188

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: YUEN Kin Yuk

CE No.: APL591

Licence Type: Licensed Representative



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Condition Removed:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: YUEN Kin Yuk

CE No.: APL591

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: ZHANG Lei

CE No.: APO132

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: LA ROCCA JR Daniel Anthony

CE No.: AQG793

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

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

Condition Level: Type 9 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

CE Name: LA ROCCA JR Daniel Anthony

CE No.: AQG793

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: XIE Jinhui

CE No.: AQO522

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: XIE Jinhui

CE No.: AQO522

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: TANG Yinan

CE No.: ARH247

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 9 Regulated Activity

CE Name: TANG Yinan

CE No.: ARH247

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: MARSHALL James

CE No.: ASS787

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: LAM Tsz Ching

CE No.: ASY518

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 Hao

CE No.: ATB830

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 9 Regulated Activity

CE Name: LI Tze Yan, Janet

CE No.: ATN771

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: HUI Heng Henry

CE No.: AVC340

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: OYOSHI Kazuhiro

CE No.: AXI226

Licence Type: Licensed Representative

Condition Removed:

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

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Condition Level: Type 9 Regulated Activity

CE Name: PAN Yuefeng

CE No.: AXY505

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: PAN Yuefeng

CE No.: AXY505

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: LEE Oi Suen

CE No.: AXZ054

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

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

Condition Level: Type 9 Regulated Activity

CE Name: HU Shazhou

CE No.: BAO735

Licence Type: Licensed Representative

Condition Removed:

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 9 Regulated Activity

CE Name: TING Ning, Nicholas

CE No.: BBR115

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: TAN Hui Yeng

CE No.: BCP982

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: WONG Wai Ming, Jenny

CE No.: BEB588

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: LIU Na



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

CE No.: BEC575

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: SHU Zhi

CE No.: BEW399

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: SHU Zhi

CE No.: BEW399

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: LAU Wai Kwan

CE No.: BFR786

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 01/2019

CE Name: DATH Julien

CE No.: BGI550

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: DATH Julien

CE No.: BGI550

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

(b) not subject to this condition.

Condition Level: Type 9 Regulated Activity

CE Name: WONG Shun Loy

CE No.: BHJ599

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

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

Condition Level: Type 9 Regulated Activity

CE Name: WANG Yu

CE No.: BHK872

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 01/2019

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

Condition Level: Type 9 Regulated Activity

CE Name: LAM Chun Ming, Gordon

CE No.: BHK877

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: CHANG Tun Fu

CE No.: BHR628

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: GAO Dong

CE No.: BHT018

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: WANG Bangyi

CE No.: BHY291

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 9 Regulated Activity

CE Name: FANG Sixin

CE No.: BJI163

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: FANG Sixin

CE No.: BJI163

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: FANG Sixin

CE No.: BJI163

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

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

Condition Level: Type 9 Regulated Activity

CE Name: LI Baohua

CE No.: BJU349



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: CHEN Jinyang

CE No.: BLH269

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: GUO Chenkai

CE No.: BMA814

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: GUO Chenkai

CE No.: BMA814

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Condition Level: Type 9 Regulated Activity

CE Name: REZNIK Alexander

CE No.: BMM127

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: WANG Mingjun

CE No.: BMW778

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: ZHU Yajing

CE No.: BMW814

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: HU Yichen

CE No.: BMW892

Licence Type: Licensed Representative

Condition Removed:

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

CE Name: KIM Matt Euiyun

CE No.: BMX595

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: GUO Yanzhe

CE No.: BMX602

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: ZENG Xin

CE No.: BMZ563

Licence Type: Licensed Representative

Condition Removed:

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

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 9 Regulated Activity

CE Name: WONG Ngan Fun Kelvin

CE No.: BNB167

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 Yuyun

CE No.: BNB359

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: PLEBANI Gian Arard

CE No.: BNB394

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 01/2019

CE Name: BARDHAN RAY Ambarish  
CE No.: BNB420  
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: JUNG Bo Young  
CE No.: BNC060  
Licence Type: Licensed Representative  
Condition Removed:

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

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

Condition Level: Type 9 Regulated Activity

CE Name: WANG Yue  
CE No.: BNC128  
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 Yuchen  
CE No.: BNC426  
Licence Type: Licensed Representative



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Condition Removed:

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

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

CE Name: LIU Da

CE No.: BNC440

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: CHAN Tak Yui

CE No.: BNC476

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: CALLEGARI Julio Cesar

CE No.: BND443

Licence Type: Licensed Representative

Condition Removed:

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

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 9 Regulated Activity

CE Name: NGUYEN Thi Hao

CE No.: BND550

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: LIANG Weiyuan

CE No.: BNF426

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: TIEU Minh Hai

CE No.: BNF594

Licence Type: Licensed Representative

Condition Removed:

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

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

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 9 Regulated Activity

CE Name: SMITH Stuart Bruce

CE No.: BNG635

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 Kit

CE No.: BNH149

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: YE Shuyu

CE No.: BNH981

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: LAU Wing Chung

CE No.: BNI132



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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: TAM Chun Wing Ray

CE No.: BNJ187

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: GAO Yitong

CE No.: BNJ285

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: CHAN Kristy

CE No.: BNK027

Licence Type: Licensed Representative

Condition Removed:

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

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 9 Regulated Activity

CE Name: KO Chun Ho, Dexter

CE No.: BNL079

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: YEUNG Nga Yan

CE No.: BNL126

Licence Type: Licensed Representative

Condition Removed:

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

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

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

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

Condition Level: Type 9 Regulated Activity

CE Name: XU Junjie

CE No.: BNL583

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 01/2019

CE Name: LI Zining

CE No.: BNL590

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 Ran

CE No.: BNN005

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: ZHANG Jiaying

CE No.: BNN287

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: LAU Kwan Lok Locky

CE No.: BNN600

Licence Type: Licensed Representative



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Condition Removed:

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

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

CE Name: WAN Nga Sze Janice

CE No.: BNO895

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: LI Shenghan

CE No.: BNO957

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: SHEN Jinting

CE No.: BNP257

Licence Type: Licensed Representative

Condition Removed:

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

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 9 Regulated Activity

CE Name: YAN Dong

CE No.: BNP764

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 Qiyuan

CE No.: BNQ505

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 Yee Hang Bosco

CE No.: BNS662

Licence Type: Licensed Representative

Condition Removed:

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

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

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 9 Regulated Activity

CE Name: JIN Ming

CE No.: BNS991

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: WONG Wai Bun Benson

CE No.: BNT804

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: FERRET Thibaut

CE No.: BNU019

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 01/2019

CE Name: HO Tin Chuen Brian

CE No.: BNU092

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: FU Man Kit

CE No.: BNU100

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: YE Junrui

CE No.: BNU268

Licence Type: Licensed Representative

Condition Added:

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

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

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

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

Condition Level: Type 9 Regulated Activity

CE Name: KILLIAN Anita

CE No.: ARL331

Licence Type: Licensed Representative



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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: RODRIGUEZ Gerardo Emanuel

CE No.: AVC259

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: MATSUSHITA Masahiro

CE No.: AVN515

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 Hui

CE No.: AYY608

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: BURNS Darren Lester

CE No.: BBN739

Licence Type: Licensed Representative



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

### 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: JI Jiangfan

CE No.: BDF391

Licence Type: Licensed Representative - Responsible Officer

### 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: HOY Leslie Foster

CE No.: BDO188

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: YANG Xuan

CE No.: BHS899

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: SHENOI Padubidri Pramod

CE No.: BIO472

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

CE Name: CAO Dan

CE No.: BKZ053

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: LIU Hanghang

CE No.: BLY367

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: ZHAO Fen

CE No.: BNF120

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Licence

CE Name: CHAN Chiu Wai

CE No.: AOQ601

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: CHAN Shan Shan

CE No.: AVM545

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 VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Condition Level: Type 9 Regulated Activity

CE Name: CHAU Shing Yip Colin

CE No.: BHP289

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: CHAU Shing Yip Colin

CE No.: BHP289

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: CHIK Wan Wai

CE No.: BGD477

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: CHING David

CE No.: AHA614

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 1 Regulated Activity



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

CE Name: CHUNG King Cheung

CE No.: APQ277

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: COHEN-ADDAD Nicolas Paul

CE No.: AHR321

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: COHEN-ADDAD Nicolas Paul

CE No.: AHR321

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 2 Regulated Activity

CE Name: COHEN-ADDAD Nicolas Paul

CE No.: AHR321

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: COHEN-ADDAD Nicolas Paul

CE No.: AHR321

Licence Type: Licensed Representative

Condition Removed:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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: COHEN-ADDAD Nicolas Paul

CE No.: AHR321

Licence Type: Licensed Representative

Condition Removed:

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

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

Condition Level: Type 7 Regulated Activity

CE Name: DIXIT Tanvi

CE No.: BGE019

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: DUNYACH Quentin Jean-jacques

CE No.: BNP199

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: DUNYACH Quentin Jean-jacques

CE No.: BNP199

Licence Type: Licensed Representative



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

Condition Removed:

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

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

Condition Level: Type 4 Regulated Activity

CE Name: EDWARDS Christopher James

CE No.: ABN712

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: EDWARDS Christopher James

CE No.: ABN712

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: HOY Leslie Foster

CE No.: BDO188

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Licence

CE Name: KWAN David King Tong

CE No.: ADU222

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: LEE Wah Kin

CE No.: AAI124

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: LEE Wah Kin

CE No.: AAI124

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

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

Condition Level: Type 1 Regulated Activity

CE Name: LI Chiu Yee

CE No.: AJY016

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

Condition Level: Type 6 Regulated Activity

CE Name: LOO Chi Hang

CE No.: AOC939

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: MARSHALL James

CE No.: ASS787

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: MARSHALL James

CE No.: ASS787

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: RATTIWAT Samson

CE No.: AFW108

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



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

(b) not subject to this condition.

Condition Level: Type 1 Regulated Activity

CE Name: RUI Yuanqing

CE No.: AVA397

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: SIT Kar Kin, Kenneth

CE No.: ADR744

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: SIT Kar Kin, Kenneth

CE No.: ADR744

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: TSANG Tak Chi

CE No.: ADV457

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: TSANG WONG Yuen Kee, Yvonne

CE No.: AEZ573

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:



## CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2019

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

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

Condition Level: Type 4 Regulated Activity

CE Name: TSANG WONG Yuen Kee, Yvonne

CE No.: AEZ573

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: TURNER Samuel James

CE No.: ARO796

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 Weng Fai

CE No.: ACA941

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: YIP Wing Chuen

CE No.: AQO150

Licence Type: Licensed Representative

Condition Removed:

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



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Condition Level: Type 3 Regulated Activity

CE Name: ZHANG Lei

CE No.: APO132

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: LEE Wah Kin

CE No.: AAI124

Licence Type: Licensed Representative - Responsible Officer

Condition Deleted:

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 Wah Kin

CE No.: AAI124

Licence Type: Licensed Representative - Responsible Officer

Condition Deleted:

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