

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: BOB International Asset Management Company Limited

CE No.: BFL327

Licence Type: Licensed Corporation

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: Demeter Capital Limited

CE No.: BTF385

Licence Type: Licensed Corporation

Condition Added:

For Type 1 regulated activity, the licensee shall not conduct business other than introducing persons to other intermediaries, in order that such persons may (i) effect dealings in securities; or (ii) make offers to deal in securities.

Condition Level: Type 1 Regulated Activity

CE Name: LUPU (Hong Kong) Limited

CE No.: BMW179

Licence Type: Licensed Corporation

Condition Added:

For Type 1 regulated activity, the licensee shall only: 1. carry on the business of dealing in collective investment schemes and debt securities. The terms "collective investment scheme", "debt securities" and "dealing" are as defined under the Securities and Futures Ordinance; and 2. introduce persons to a corporation that is licensed or registered for Type 1 regulated activity in order that they may effect dealings in securities or make offers to deal in securities.

Condition Level: Type 1 Regulated Activity

CE Name: LUPU (Hong Kong) Limited

CE No.: BMW179

**CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS
DURING 01/2025**

CE Name: Waton Securities International Limited

CE No.: AAK004

Licence Type: Licensed Corporation

Condition Added:

With respect to introducing clients to virtual asset trading platform operators, the licensee shall not hold client assets. The term *hold* is as defined under the Securities and Futures Ordinance; and The term *client assets* means: (i) *client virtual assets* which means any virtual assets received or held by the licensee, which are so received or held on behalf of a client or in which a client has a legal or equitable interest, and includes any rights thereto. The term *virtual asset* is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance; and(ii) *client money* which means any money received or held by the licensee, which is so received or held on behalf of a client or in which a client has a legal or equitable interest, and includes any accretions thereto whether as capital or income.

Condition Level: Type

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: Ping An of China Futures (Hong Kong) Company Limited

CE No.: AXR954

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 to a corporation that is licensed by or registered with the Securities and Futures Commission for Type 2 regulated activity, in the names of the persons from whom those offers are received; and (b) introducing persons to a corporation that is licensed by or registered with the Securities and Futures Commission for Type 2 regulated activity in order that they may - (i) effect dealings in futures contracts; or (ii) make offers to deal in futures contracts.

Condition Level: Type 2 Regulated Activity

CE Name: LUPU (Hong Kong) Limited

CE No.: BMW179

Licence Type: Licensed Corporation

Condition Added:

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

Condition Level: Type 4 Regulated Activity

CE Name: Fortune Financial Capital Limited

CE No.: ARN695

Licence Type: Licensed Corporation

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: Macquarie Capital Limited

CE No.: AAC534

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

**CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS
DURING 01/2025**

CE Name: Macquarie Capital Limited

CE No.: AAC534

Licence Type: Licensed Corporation

Condition Removed:

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

Condition Level: Type 6 Regulated Activity

CE Name: Merrill Lynch Far East Limited

CE No.: AAC352

Licence Type: Licensed Corporation

Condition Removed:

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

Condition Level: Type

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: Garvis Capital Management Limited

CE No.: BSK262

Licence Type: Licensed Corporation

Condition Added:

For Type 9 regulated activity, the licensee shall only carry on a business in the management of: (a) discretionary accounts; and (b) collective investment schemes that are offered to professional investors only. The terms collective investment scheme and professional investor are defined under the Securities and Futures Ordinance and its subsidiary legislation (where applicable).

Condition Level: Type 9 Regulated Activity

CE Name: Hong Kong Main Fund Securities Limited

CE No.: BTC727

Licence Type: Licensed Corporation

Condition Added:

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

Condition Level: Type 9 Regulated Activity

CE Name: LUPU (Hong Kong) Limited

CE No.: BMW179

Licence Type: Licensed Corporation

Condition Added:

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

Condition Level: Type 9 Regulated Activity

CE Name: BLS Capital Limited

CE No.: BRK450

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: BOB International Asset Management Company Limited

CE No.: BFL327

Licence Type: Licensed Corporation

Condition Removed:

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

Condition Level: Licence

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: BOCI-Prudential Trustee Limited

CE No.: AFQ652

Licence Type: Licensed Corporation

Condition Added:

The licensee shall comply with all requirements applicable to it as a custodian in respect of an open-ended fund company, including the requirements set out in the Code on Open-ended Fund Companies and related guidance issued and revised by the Commission from time to time.

Condition Level: Licence

CE Name: Bank Consortium Trust Company Limited

CE No.: AFI072

Licence Type: Licensed Corporation

Condition Added:

The licensee shall comply with all requirements applicable to it as a custodian in respect of an open-ended fund company, including the requirements set out in the Code on Open-ended Fund Companies and related guidance issued and revised by the Commission from time to time.

Condition Level: Licence

CE Name: Bank of Communications Trustee Limited

CE No.: AAK832

Licence Type: Licensed Corporation

Condition Added:

The licensee shall comply with all requirements applicable to it as a custodian in respect of an open-ended fund company, including the requirements set out in the Code on Open-ended Fund Companies and related guidance issued and revised by the Commission from time to time.

Condition Level: Licence

CE Name: CCB (Asia) Trustee Company Limited

CE No.: BLA762

Licence Type: Licensed Corporation

Condition Added:

The licensee shall comply with all requirements applicable to it as a custodian in respect of an open-ended fund company, including the requirements set out in the Code on Open-ended Fund Companies and related guidance issued and revised by the Commission from time to time.

Condition Level: Licence

**CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS
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CE Name: CMB (HK) Trustee Company Limited

CE No.: BPY515

Licence Type: Licensed Corporation

Condition Added:

The licensee shall comply with all requirements applicable to it as a custodian in respect of an

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: Joincap Capital Limited

CE No.: ABF735

Licence Type: Licensed Corporation

Condition Removed:

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

Condition Level: Licence

CE Name: LUPU (Hong Kong) Limited

CE No.: BMW179

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: Ping An of China Futures (Hong Kong) Company Limited

CE No.: AXR954

Licence Type: Licensed Corporation

Condition Added:

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

Condition Level: Licence

CE Name: SBI Securities (Hong Kong) Limited

CE No.: BGB729

Licence Type: Licensed Corporation

Condition Removed:

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

Condition Level: Licence

CE Name: State Street Trust (HK) Limited

CE No.: AZE829

Licence Type: Licensed Corporation

Condition Added:

The licensee shall comply with all requirements applicable to it as a custodian in respect of an open-ended fund company, including the requirements set out in the Code on Open-ended Fund Companies and related guidance issued and revised by the Commission from time to time.

Condition Level: Licence

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: WeShare Asset Management Limited

CE No.: BMR592

Licence Type: Licensed Corporation

Condition Removed:

The licensee shall only provide services to institutional professional investors and corporate professional investors. The terms "institutional professional investors" and "corporate professional investors" are as defined in the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

Condition Level: Licence

CE Name: WeShare Asset Management Limited

CE No.: BMR592

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: AN Xuening

CE No.: BVP511

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: BURTON Ella Catherine

CE No.: BVI610

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) 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 01/2025

CE Name: DAI Fangyao

CE No.: BVR067

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: DENG Yan

CE No.: BVK797

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: HENDERSON Jessica

CE No.: BVB583

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) 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 01/2025

CE Name: HUANG Sz-Min

CE No.: BVD472

Licence Type: Licensed Representative

Condition Removed:

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

CE No.: BVN265

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: KAKKAR Sana

CE No.: BVK018

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) 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 01/2025**

CE Name: KAO Shih Ting

CE No.: BVH319

Licence Type: Licensed Representative

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS

**CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS
DURING 01/2025**

CE Name: NA DAWOON

CE No.: BVF865

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect: (i)
upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of 97.98T /F3C

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DURING 01/2025**

CE Name: TAKAHASHI Yutaro

CE No.: BVQ106

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: TIF1ctS KTj T* ET Q q 66.8 722.272 464.0 13.008 re W n Q Q q 64.8 92.8 480.24

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: WANG Gikyun

CE No.: BVQ362

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) 12 June 2025 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 1 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 1 Regulated Activity

CE Name: WANG Gikyun

CE No.: BVQ362

Licence Type: Licensed Representative

Condition Removed:

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

CE No.: BVJ964

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) 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 01/2025

CE Name: WANG Xinyi

CE No.: BVK532

Licence Type: Licensed Representative

Condition Removed:

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

CE No.: ANJ772

Licence Type: Licensed Representative

Condition Removed:

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

CE No.: BVI797

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) 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 01/2025

CE Name: WU Yi-Yeh

CE No.: BVA865

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: YANG Chenyu

CE No.: BVL017

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: YANG Zhebin

CE No.: BVC440

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) 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 01/2025

CE Name: YEUNG Kwun Ngai

CE No.: BVK799

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: Yuen Senan Shiu Lung

CE No.: BVC494

Licence Type: Licensed Representative

Condition Removed:

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

CE No.: BVB622

Licence Type: Licensed Representative

Condition Removed:

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

CE No: BV/H318

Regulated activity,; or (i)

Licence Type: Licensed Representative

Condition Removed:

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

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CE Name: QUTAISH Pichaporn

CE No.: BVK543

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: ROH Youngsoo

CE No.: BVK147

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: LEUNG Chi Hang

CE No.: AKO773

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: LUI Yiu Shun Antony

CE No.: BVQ034

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

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: BASU DEBANIK

CE No.: BVB799

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: BURTON Ella Catherine

CE No.: BVI610

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 Hoi Ching

CE No.: BVI847

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: DAI Fangyao

CE No.: BVR067

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: DONG Fengqiao

CE No.: BJS141

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: FUKUSHIMA Sayaka

CE No.: BVQ788

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

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: LIM Tian Hua Matthew

CE No.: BVK714

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 Zeyao

CE No.: BVO247

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: MA Yuanfang

CE No.: BVH236

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 01/2025

CE Name: ROTSAS EROKOTRITOS

CE No.: BVE902

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: SHAH Aaditya Rohan

CE No.: BVF611

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: SHEN Hua-Kun

CE No.: BOT729

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 01/2025

CE Name: TIMMS Kyle Sheldon

CE No.: BVH737

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: TONG Yao

CE No.: BVI400

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: TONG Yiu Cho

CE No.: ASD150

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 01/2025

CE Name: WANG Gikyun

CE No.: BVQ362

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) 12 June 2025 (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: WANG Kelai

CE No.: BVN675

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 Qiu

CE No.: BVJ964

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 01/2025

CE Name: WANG Yidan

CE No.: BVE291

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 Tianyi

CE No.: BVI853

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) 12 June 2025 (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 4 Regulated Activity

CE Name: YANG Min

CE No.: BVD608

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 01/2025

CE Name: YANG Zhebin

CE No.: BVC440

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 Kwun Ngai

CE No.: BVK799

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: FUKUSHIMA Sayaka

CE No.: BVQ788

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 01/2025

CE Name: MA Yuanfang

CE No.: BVH236

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: QUTAISH Pichaporn

CE No.: BVK543

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: WANG Yidan

CE No.: BVE291

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 01/2025**

CE Name: LO Ki Chun Jacob

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: WANG Yinqiu

CE No.: ANJ772

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 Chenyu

CE No.: BVL017

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 Xiaobin

CE No.: BVB622

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 01/2025

CE Name: ARJOUAN Moncef

CE No.: BVI809

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: BENJELLOUN Abdelouahed

CE No.: BPP034

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: BURTON Ella Catherine

CE No.: BVI610

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 01/2025

CE Name: CHAN Hoi Ching

CE No.: BVI847

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 Qinkai

CE No.: BVB705

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: CHENG KA CHUNG

CE No.: BVM870

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 01/2025**

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: DOLTON Samuel Robert James

CE No.: BVO450

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: DONG Fengqiao

CE No.: BJS141

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: FREYRE-SANDERS Andrew David Nuno D.S.

CE No.: ANR872

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 01/2025

CE Name: FUKUSHIMA Sayaka

CE No.: BVQ788

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: GOH Dione Wen Hui

CE No.: BVF159

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: HENDERSON Jessica

CE No.: BVB583

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 01/2025

CE Name: KAKKAR Sana

CE No.: BVK018

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: KAMIYA Ryutaro

CE No.: BVF422

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: KAO Shih Ting

CE No.: BVH319

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 01/2025

CE Name: LIAN Chun

CE No.: BVB832

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 Eric Xiao

CE No.: BVM686

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: LIM Tian Hua Matthew

CE No.: BVK714

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 01/2025

CE Name: LIU Kimberley Tin Wai

CE No.: BVG798

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: MA Yuanfang

CE No.: BVH236

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: NAKAGAWA Ren

CE No.: BVG801

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 01/2025

CE Name: ROTSAS EROTOKRITOS

CE No.: BVE902

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: SHAH Aaditya Rohan

CE No.: BVF611

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 Hua-Kun

CE No.: BOT729

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 01/2025

CE Name: SUNG Justin Wu Tak

CE No.: BVH322

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: TAKAHASHI Yutaro

CE No.: BVQ106

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: TIMMS Kyle Sheldon

CE No.: BVH737

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 01/2025

CE Name: TONG Yiu Cho

CE No.: ASD150

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Type 9 Regulated Activity

CE Name: YANG Min

CE No.: BVD608

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Type 9 Regulated Activity

CE Name: YANG Shizhe

CE No.: BVL773

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 01/2025**

CE Name: ZHANG Li

CE No.: BVO783

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: AI Fujun

CE No.: BRK387

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: BI Ke

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DURING 01/2025**

CE Name: CHEN Xiaodan

CE No.: BNN434

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: CHEN Yu

CE No.: BLW740

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

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: MALLICK Sunny

CE No.: BUE053

Licence Type: Licensed Representative

Condition Added:

The licensee:(1) shall not carry out the regulated activity(ies) in Hong Kong for more than 30 days in each calendar year; and(2) shall not provide related services to any person other than a professional investor unless the licensee is accompanied at all times by a licensed person in performing the regulated activity(ies) in Hong Kong. The term "professional investor" is as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance but does not include any person of a class which is prescribed by the Securities and Futures (Professional Investor) Rules.

Condition Level: Licence

CE Name: MALLICK Sunny

CE No.: BUE053

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: QI Jing

CE No.: BUA933

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: TANG Yi

CE No.: BCT445

Licence Type: Licensed Representative

Condition Removed:

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

Condition Level: Licence

**CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS
DURING 01/2025**

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**CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS
DURING 01/2025**

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: KONG JiaQing

CE No.: BVN943

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: LIM FAT Sandra Juliette Chai Fah

CE No.: BEJ599

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: DONG Zhihang

CE No.: BVW373

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

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

Condition Level: Type 6 Regulated Activity

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DURING 01/2025**

CE Name: YAO Panfeng

CE No.: BVU435

Licence Type: Licensed Representative (Provisional Licence)

Condition Removed:

This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence ET0 to ulBn.TL 66.816 560.wh2 Qm485'sj0

**CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS
DURING 01/2025**

CE Name: CHEN Zhixue

CE No.: AQI855

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 1 regulated activity ("the activity"), the licensee must in his capacity as a responsible

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DURING 01/2025**

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: HAN Weizhou

CE No.: BQR189

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: HAN Weizhou

CE No.: BQR189

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: HE Jinchang

CE No.: BEC496

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: KUMAR Vikas

CE No.: BUA035

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 01/2025

CE Name: KUMAR Vikas

CE No.: BUA035

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: KWAN Wang Chi, Beryl

CE No.: BAD777

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: LAU Chi Kin, Vincent

CE No.: AHA572

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: LEUNG Kelvin Yau-teng

CE No.: APA551

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
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CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: LIN Qing

CE No.: AWS553

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: LIN Ying Cheng

CE No.: BJB913

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 Ying Cheng

CE No.: BJB913

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: LIU Yajun

CE No.: AMF512

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 01/2025

CE Name: LIU Yajun

CE No.: AMF512

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: LIU Yang

CE No.: BKF767

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 1 Regulated Activity

CE Name: LIU Yitao

CE No.: BRW666

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 1 Regulated Activity

CE Name: LIU Yitao

CE No.: BRW666

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

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CE Name: PHELPS Jacob Thomas
CE No.: AVD

**CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS
DURING 01/2025**

CE Name: SIU Chun Man

CE No.: AWH255

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: SIU Chun Man

CE No.: AWH255

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 cD Td (the Commi

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: WANG Ruochen

CE No.: BRR793

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: WANG Weiwei

CE No.: BSD399

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 1 Regulated Activity

CE Name: WANG Weiwei

CE No.: BSD399

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: WATANABE Kentaro

CE No.: BVD837

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 01/2025**

CE Name: WATANABE Kentaro

CE No.: BVD837

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: WEN Ting

CE No.: BVE275

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) 15 April 2025 (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: WEN Ting

CE No.: BVE275

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: WONG Chun Lun

CE No.: AQE929

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 1 Regulated Activity

CE Name: WONG Chun Lun

CE No.: AQE929

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: XU Jiaqi

CE No.: BGX947

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: XU Jiaqi

CE No.: BGX947

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

**CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS
DURING 01/2025**

CE Name: ZHU Haokang

CE No.: BFU118

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)

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: CHOI Chun Ning

CE No.: ATS068

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: DAY Charles Ross

CE No.: ACR808

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: DAY Charles Ross

CE No.: ACR808

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: HUI Sze Nga

CE No.: BJT982

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 01/2025

CE Name: HUNG Ho Lun

CE No.: AGH158

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: KUMAR Vikas

CE No.: BUA035

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: KUMAR Vikas

CE No.: BUA035

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 2 Regulated Activity

**CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS
DURING 01/2025**

CE Name: NG Ka Kin

CE No.: AGO101

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: PHELPS Jacob Thomas

CE No.: AVD354

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

For Type 2 regulated activity ("the activity"), the licensee must in his capacity as a responsible

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: WONG Chun Lun

CE No.: AQE929

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 2 Regulated Activity

CE Name: WONG Chun Wai, Raymond

CE No.: AEF008

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: XU Jiaqi

CE No.: BGX947

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 2 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: AMANO Jun

CE No.: BVD742

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 Hong Lin

CE No.: BTO882

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 Hong Lin

CE No.: BTO882

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity

CE Name: CHEN Zhixue

CE No.: AQI855

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 01/2025

CE Name: CHEN Zhixue

CE No.: AQI855

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: CHOI Chun Ning

CE No.: ATS068

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: CHOI Tsan Wan

CE No.: AFG523

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: CHU Fong Kwan

CE No.: ACA839

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 01/2025**

CE Name: CHU Fong Kwan

CE No.: ACA839

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: DESCOURTIEUX Benoit Jacques B. M.

**CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS
DURING 01/2025**

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: HO Suet Li, Regina

CE No.: BHI092

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: HO Suet Li, Regina

CE No.: BHI092

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: HU Yong

CE No.: AXW176

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: HU Yong

CE No.: AXW176

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 01/2025

CE Name: HUA Jie

CE No.: BTZ115

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: HUANG Jen-te

CE No.: ACE953

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: HUANG Jen-te

CE No.: ACE953

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: JANAKIRAMAN Raja

CE No.: BTW370

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 01/2025**

CE Name: KWAN Wang Chi, Beryl

CE No.: BAD777

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: LAUNAY Thomas

CE No.: AUG654

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: LAUNAY Thomas

CE No.: AUG654

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

For Type 4 regulated activity ("the activity"), the licensee must in his capacity as a responsible

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: LEUNG Kelvin Yau-teng

CE No.: APA551

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 Kelvin Yau-teng

CE No.: APA551

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity

CE Name: LI Li

CE No.: BTV771

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: LIN Ying Cheng

CE No.: BJB913

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 01/2025

CE Name: LIN Ying Cheng

CE No.: BJB913

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: LIU Liyuan

CE No.: BUY554

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: LIU Yajun

CE No.: AMF512

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: LIU Yajun

CE No.: AMF512

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 01/2025**

CE Name: LIU Yang

CE No.: BKF767

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: LIU Yifan

CE No.: AXV269

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: LIU Yifan

CE No.: AXV269

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; and (ii) upon the licensee ceasing to be a responsible officer in respect of that regulated activity.

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CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: LIU Yitao

CE No.: BRW666

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: LU Chao

CE No.: BRE365

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: NIU Huoqing

CE No.: BJT516

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 01/2025**

CE Name: NIU Huoqing
CE No.: BJT516

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: SONG Chunming

CE No.: AYO044

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: TAN Kean Ee

CE No.: BJA918

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity

CE Name: TAN Kean Ee

CE No.: BJA918

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 01/2025

CE Name: WANG Weiwei

CE No.: BSD399

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: WANG Weiwei

CE No.: BSD399

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 Yu

CE No.: BVH586

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 Yu

CE No.: BVH586

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 01/2025**

CE Name: WATANABE Kentaro
CE No.: BVD

**CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS
DURING 01/2025**

CE Name: WEN Ting

CE No.: BVE275

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) 15 April 2025 (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 4 Regulated Activity

CE Name: WONG Chun Lun

CE No.: AQE929

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity

CE Name: WONG Chun Lun

CE No.: AQE929

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(b008 No.: AQE

**CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS
DURING 01/2025**

CE Name: WONG Kam Lam
CE No.: AXH

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: WONG Yuk Wah

CE No.: AFG167

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity

CE Name: WONG Yuk Wah

CE No.: AFG167

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: YAO Huili

CE No.: BIC895

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: YAO Huili

CE No.: BIC895

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 01/2025**

CE Name: YEN Chanan
CE No.: ARM750

**CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS
DURING 01/2025**

CE Name: ZHANG Huizi

CE No.: BQB926

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 4 Regulated Activity

CE Name: ZHANG Huizi

CE No.: BQB926

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 01/2025

CE Name: ZHANG Yelin

CE No.: AUF147

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: ZHANG Yichen

CE No.: BUW144

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 Yichen

CE No.: BUW144

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 01/2025

CE Name: ZHU Jijun

CE No.: BUW374

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) 23 January 2025 (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: ZHU Yahua

CE No.: BGN043

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: ZHU Yahua

CE No.: BGN043

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 4 Regulated Activity

CE Name: ZOU Qiao

CE No.: BOF590

Licence Type: Licensed Representative - Responsible Officer

Condition 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 01/2025

CE Name: CHOI Chun Ning

CE No.: ATS068

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: HUI Sze Nga

CE No.: BJT982

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: NG Ka Kin

CE No.: AGO101

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: WONG Chun Lun

CE No.: AQE929

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

**CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS
DURING 01/2025**

CE Name: WONG Chun Lun

CE No.: AQE929

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

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: CHOW Yiu Chung

CE No.: BEC579

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: DONG Chang

CE No.: AXN155

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: DONG Chang

CE No.: AXN155

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: DONG Chang

CE No.: AXN155

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

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: FAN Jingyi

CE No.: BBT729

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: JONES Rebecca Dawn

CE No.: BTC657

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: JONES Rebecca Dawn

CE No.: BTC657

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: JONES Rebecca Dawn

CE No.: BTC657

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

**CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS
DURING 01/2025**

CE Name: LI Li

CE No.: BTV771

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 6 Regulated Activity

CE Name: LI Li

CE No.: BTV771

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 Ling

CE No.: AOQ539

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 Repurchases issued by the Commission.

Condition Level: Type 6 Regulated Activity

CE Name: LI Ling

CE No.: AOQ539

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 01/2025

CE Name: LIEW Shan Hock

CE No.: AOE025

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: LIEW Shan Hock

CE No.: AOE025

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: LIN Qing

CE No.: AWS553

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 Chun Hung

CE No.: BEI673

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

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: SONG Chunming

CE No.: AYO044

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: SONG Chunming

CE No.: AYO044

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: TANG Fung

CE No.: AXA214

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: WANG Anan

CE No.: BUG353

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 01/2025

CE Name: CHAN Sheung Yan, Andrew

CE No.: ALY156

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: CHAN Sheung Yan, Andrew

CE No.: ALY156

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 9 Regulated Activity

CE Name: CHEN Hong Lin

CE No.: BTO882

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 Hong Lin

CE No.: BTO882

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 01/2025**

CE Name: CHOI Chun Ning

CE No.: ATS068

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: CHOI Tsan Wan

CE No.: AFG523

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 9 Regulated Activity

CE Name: CHU Fong Kwan

CE No.: ACA839

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: DANCANET Denis Razvan

CE No.: BVM570

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

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: HO Suet Li, Regina

CE No.: BHI092

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: HO Suet Li, Regina

CE No.: BHI092

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 9 Regulated Activity

CE Name: HU Yong

CE No.: AXW176

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 Yong

CE No.: AXW176

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 01/2025**

CE Name: HUA Jie

CE No.: BTZ115

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: HUA Jie

CE No.: BTZ115

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: KIM Sungryul

CE No.: AVL431

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: KIM Sungryul

CE No.: AVL431

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,

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: LI Jingchao

CE No.: BDO488

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 9 Regulated Activity

CE Name: LI Tianyao

CE No.: BRF321

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 9 Regulated Activity

CE Name: LI Tianyao

CE No.: BRF321

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 01/2025

CE Name: LIN Hao Wei

CE No.: AXL089

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 9 Regulated Activity

CE Name: LIU Yajun

CE No.: AMF512

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 9 Regulated Activity

CE Name: LIU Yajun

CE No.: AMF512

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 01/2025**

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: LUN Carrie

CE No.: AIR700

Licence Type: Licensed Representative - Responsible Officer

Condition Added:

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

Condition Level: Type 9 Regulated Activity

CE Name: MA Ming Hei

CE No.: BRW412

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: NIU Huoqing

CE No.: BJT516

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: NIU Huoqing

CE No.: BJT516

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 01/2025**

CE Name: TAN Johnny

CE No.: AWP899

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,

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: TANG Yingying

CE No.: BFE794

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: TANG Yingying

CE No.: BFE794

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: TIAN Yuanhui

CE No.: BPW492

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: TIAN Yuanhui

CE No.: BPW492

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
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CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: WONG Kam Lam

CE No.: AXH477

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 Wing Hang

CE No.: BDW769

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: WONG Wing Hang

CE No.: BDW769

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: WU Hok Sau

CE No.: ACD001

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 01/2025**

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: YEN Philip Hongyu

CE No.: BOH507

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: ZHAI Ke

CE No.: BQS298

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: ZHAI Ke

CE No.: BQS298

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: ZHANG Yichen

CE No.: BUW144

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 01/2025**

CE Name: ZHANG Yichen

CE No.: BUW144

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: ZHAO Xi

CE No.: BMT548

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: ZHAO Xi

CE No.: BMT548

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: ZHU Haokang

CE No.: BFU118

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: ZHU Haokang

CE No.: BFU118

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: ZHU Jijun

CE No.: BUW374

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) 23 January 2025 (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the Licensing Examination for Securities and Futures Intermediaries (LE) Paper 1 pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result.

Condition Level: Type 9 Regulated Activity

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: ZHU Yahua

CE No.: BGN043

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: ZHU Yahua

CE No.: BGN043

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 9 Regulated Activity

CE Name: ZOU Qiao

CE No.: BOF590

Licence Type: Licensed Representative - Responsible Officer

Condition 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: CUI Hai

CE No.: BOL294

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

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DURING 01/2025**

CE Name: TO Yat Hong

CE No.: AXP981

Licence Type: Licensed Representative

Condition Removed:

This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or(ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed 1

CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS DURING 01/2025

CE Name: TO Yat Hong

CE No.: AXP981

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 Siu Nam, Nicolas

CE No.: BVH194

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 Yu

CE No.: BLW740

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: FAN Jingyi

CE No.: BBT729

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 01/2025

CE Name: GAN Shengnan

CE No.: BQT680

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: LIU Yang

CE No.: BKF767

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: GAN Shengnan

CE No.: BQT680

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: LIU Yang

CE No.: BKF767

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 01/2025

CE Name: FAN Jingyi

CE No.: BBT729

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: SIT Wing Fai, Wilfred

CE No.: ACJ160

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

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

Condition Level: Type 6 Regulated Activity

CE Name: SIT Wing Fai, Wilfred

CE No.: ACJ160

Licence Type: Licensed Representative - Responsible Officer

Condition 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: SIT Wing Fai, Wilfred

CE No.: ACJ160

Licence Type: Licensed Representative - Responsible Officer

Condition Removed:

In performing any distribution functions of index tracking exchange traded funds under its management prior to the listing of such funds, the licensee shall closely follow the distribution process adopted for Hang Seng H-Share Index ETF.

Condition Level: Type 6 Regulated Activity

**CONDITION VARIATIONS OF LICENSED PERSONS / REGISTERED INSTITUTIONS
DURING 01/2025**

CE Name: GAN Shengnan

CE No.: BQT680

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