

**Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)  
On or after 1 January 2021**

Last Update : 24 September 2021

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
CHEN Fan ("the Applicant")  (BNC876)	6 January 2021	Valid until amendment or revocation	<p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>"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."</p>	Nil

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MORI Masashi ("the Applicant")  (BMN428)	6 January 2021	Valid until amendment or revocation	<p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>to:-</p> <p>"This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect:</p> <p>(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or</p> <p>(ii) 6 July 2021 (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."</p>	Nil

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TSANG Man Shun ("the Applicant")  (AFS253)	7 January 2021	Valid until amendment or revocation	<p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>"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."</p> <p>"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."</p>	Nil

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iFAST Platform Services (HK) Limited ("the Applicant")  (ANH692)	8 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "The licensee shall not engage in stock brokering activities."	Nil
Tang Wealth International Limited ("the Applicant")  (BNZ066)	8 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."	Nil

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TAN Ming Kiu, John ("the Applicant")  (AEK216)	13 January 2021	Valid until amendment or revocation	<p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>"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."</p>	Nil
TTB Partners Limited ("the Applicant")  (BJE870)	14 January 2021	Valid until amendment or revocation	<p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance."</p>	Nil
BOND Jonathan Simon ("the Applicant")  (BJF053)	14 January 2021	Valid until amendment or revocation	<p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance."</p>	Nil

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TEAGUE Teresa Anne ("the Applicant")  (ARH062)	14 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance."	Nil
SCOLAR Christopher ("the Applicant")  (BJH133)	14 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance."	Nil
LI Hon Leung ("the Applicant")  (AJC118)	18 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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CHEUNG Man Yu ("the Applicant")  (ADV638)	20 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
LIU Xiaodong ("the Applicant")  (BPC299)	20 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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WONG Yung Steven ("the Applicant")  (BIH982)	20 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
Wonderland International Asset Management Limited ("the Applicant")  (BGP105)	20 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."	Nil



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<p>Wonderland International Asset Management Limited ("the Applicant")</p> <p>(BGP105)</p>	<p>20 January 2021</p>	<p>Valid until amendment or revocation</p>	<p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>to: -</p> <p>"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)."</p>	<p>Nil</p>

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WONG Kin Fung ("the Applicant")  (BIN571)	22 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
XU Kuo ("the Applicant")  (BNX682)	25 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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CHEN Feng ("the Applicant")  (BKW447)	25 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
LI Yuansheng ("the Applicant")  (BMN481)	25 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
ZHU Xiaofei ("the Applicant")  (BNQ604)	25 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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REN Guanlei ("the Applicant")  (BFX733)	25 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
ZOU Longwen ("the Applicant")  (BLN436)	25 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
XU Ying ("the Applicant")  (BHZ165)	25 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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LAN Yuefei ("the Applicant")  (BPG761)	25 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
WANG Xiao ("the Applicant")  (BFC903)	25 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
ZHOU Yu ("the Applicant")  (AZP063)	25 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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JIANG Zhiwei ("the Applicant")  (BBK034)	25 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
LUO Chenyan ("the Applicant")  (BND569)	25 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
LIU Yixuan ("the Applicant")  (BNU065)	25 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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WANG Yusi ("the Applicant")  (BNJ267)	25 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
ZHAO Xinyue ("the Applicant")  (BNN872)	26 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
WU Qiang ("the Applicant")  (ADT384)	26 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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<p>Excelerate Fund Management Limited ("the Applicant")  (BJP857)</p>	<p>27 January 2021</p>	<p>Valid until amendment or revocation</p>	<p>Waived the following condition which was imposed on the licence granted to the Applicant:  "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."</p>	<p>Nil</p>
<p>LEUNG Chi Wai ("the Applicant")  (ACB019)</p>	<p>28 January 2021</p>	<p>Valid until amendment or revocation</p>	<p>Waived the following condition which was imposed on the licence granted to the Applicant:  "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."</p>	<p>Nil</p>



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AI Yuanyuan ("the Applicant")  (APK575)	28 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
YE Xin ("the Applicant")  (BEP116)	29 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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QI Fei ("the Applicant")  (BCU239)	29 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
YE Wangzhen ("the Applicant")  (BMS461)	29 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
LI Xiang ("the Applicant")  (BFX734)	29 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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XIAN Tinghong ("the Applicant")  (BMI592)	29 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
AI Yu ("the Applicant")  (BHO463)	29 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
DU Yixing ("the Applicant")  (BMG090)	29 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:-  "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."	Nil

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SUN Jingxuan ("the Applicant")  (BNX657)	29 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
SUN Shuren ("the Applicant")  (BOB088)	29 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
CHENG Chen ("the Applicant")  (BKZ934)	29 January 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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LI Lingxuan ("the Applicant")  (BKV919)	1 February 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
MA Sichong ("the Applicant")  (BNB375)	1 February 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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WONG Chi Man ("the Applicant")  (BFS288)	2 February 2021	Valid until amendment or revocation	<p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"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:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"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."</p> <p>"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."</p>	Nil

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XU Zhichao ("the Applicant")  (BNJ183)	3 February 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
SHI Lingyi ("the Applicant")  (AZR299)	3 February 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
HUANG Yujian ("the Applicant")  (BOC869)	4 February 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
CHEN Fang ("the Applicant")  (BOK895)	4 February 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
CHEN Bo ("the Applicant")  (BGE258)	4 February 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
MENG Jiao ("the Applicant")  (BCU745)	4 February 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil



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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
MA Jiajia ("the Applicant")  (BNU675)	4 February 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
LENG Xiaomao ("the Applicant")  (BJA623)	4 February 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
WU Dan ("the Applicant")  (BDA716)	4 February 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
YANG Yichao ("the Applicant")  (BJH752)	4 February 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
ZHU Shirong ("the Applicant")  (AVI743)	8 February 2021	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant:  "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."  to:-  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
<p>Realord Asia Pacific Asset Management Limited ("the Applicant")</p> <p>(BDR381)</p>	<p>9 February 2021</p>	<p>Valid until amendment or revocation</p>	<p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."</p>	<p>Nil</p>
<p>Realord Asia Pacific Asset Management Limited ("the Applicant")</p> <p>(BDR381)</p>	<p>9 February 2021</p>	<p>Valid until amendment or revocation</p>	<p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>to:-</p> <p>"For Type 9 regulated activity, the licensee shall only carry on a business in the management of:</p> <p>(a) discretionary accounts; and</p> <p>(b) collective investment schemes that are offered to professional investors only.</p> <p>The terms "collective investment scheme" and "professional investor" are defined under the Securities and Futures Ordinance and its subsidiary legislation (where applicable)."</p>	<p>Nil</p>

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
YING Chi Kwan ("the Applicant")  (ALZ863)	10 February 2021	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant:  "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."  to:-  "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."	Nil
Zhong Ou Asset Management International Limited ("the Applicant")  (BLR959)	10 February 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
Redwood Asset Management Limited ("the Applicant")  (BOI465)	10 February 2021	Valid until amendment or revocation	<p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."</p> <p>to:-</p> <p>"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)."</p>	Nil
WONG Yat Lam ("the Applicant")  (AHY120)	10 February 2021	Valid until amendment or revocation	<p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"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."</p>	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
SU Xiaobo ("the Applicant")  (BNV856)	10 February 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
HANDS Duncan Alexander ("the Applicant")  (BPR486)	11 February 2021	Valid until amendment or revocation	Modified the following conditions which were imposed on the licence granted to the Applicant:  "This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."	Nil

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On or after 1 January 2021**

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			<p>"This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p>	

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			<p>"This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> <p>to: -</p> <p>"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."</p>	



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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
<p>MACFARLANE Gavin James ("the Applicant")</p> <p>(BPQ194)</p>	<p>11 February 2021</p>	<p>Valid until amendment or revocation</p>	<p>Modified the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> <p>"This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p>	<p>Nil</p>

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			<p>"This licence, in relation to Type 9 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p> <p>to: -</p> <p>"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."</p>	

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
MORTON Peter Douglas ("the Applicant")  (ADO886)	16 February 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
Centaline Wealth Management Limited ("the Applicant")  (AJF358)	5 February 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
Centaline Wealth Management Limited ("the Applicant")  (AJF358)	5 February 2021	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant:  "For Type 9 regulated activity, the licensee shall not provide a service of managing a portfolio of futures contracts for another person."  to: -  "For Type 9 regulated activity, the licensee shall not provide a service of managing a portfolio of futures contracts for another person unless it is for hedging purpose only."	Nil
TAN Eugenio T. ("the Applicant")  (ACM304)	19 Febraury 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
DL Securities (HK) Limited ("the Applicant")  (AZN279)	11 February 2021	Valid until amendment or revocation	<p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>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.</p> <p>to: -</p> <p>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 the condition.</p>	Nil
CHENG Wang Ming ("the Applicant")  (AXA014)	11 February 2021	Valid until amendment or revocation	<p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>to: -</p> <p>"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 the condition."</p>	Nil

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YEN Chanan ("the Applicant")  (ARM750)	11 February 2021	Valid until amendment or revocation	<p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>to: -</p> <p>"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 the condition."</p>	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
XIAO Yuan ("the Applicant") (AZB291)	22 February 2021	Valid until amendment or revocation	<p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>"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."</p> <p>"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."</p>	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
TING Zaixiong Shaun ("the Applicant")  (BOK227)	1 March 2021	Valid until amendment or revocation	<p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>to:- "This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or (ii) 6 months after the grant of the licence for carrying on that regulated activity (or any later date as the Commission may agree in writing), whichever occurs earlier, unless the licensee has by that time passed the relevant recognised local regulatory framework paper(s) pursuant to the Guidelines on Competence issued by the Commission and informed the Commission of the examination result."</p>	Nil



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YAN Chi Kwan ("the Applicant")  (AGL147)	2 March 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
China Orient International Asset Management Limited ("the Applicant")  (AZD667)	2 March 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."	Nil
LEE Jeremy Chai Yuen ("the Applicant")  (BHJ188)	3 March 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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CHAN Yee Mee, Emily ("the Applicant")  (AAE427)	5 March 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
MAK Kit Ping ("the Applicant")  (AIR528)	5 March 2021	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant:  "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."  "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."	Nil

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Jun Hui International Finance Limited ("the Applicant")  (BOE739)	5 March 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
Aspenwood Capital Limited ("the Applicant")  (BHY235)	9 March 2021	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant:  "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."  "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."	Nil

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AU Tsan Sang ("the Applicant")  (AAF445)	10 March 2020	Valid until amendment or revocation	<p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"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:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p>	Nil

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LUI Kin Wai ("the Applicant")  (ANM045)	10 March 2021	Valid until amendment or revocation	<p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"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:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"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:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p>	Nil
PAN Yinglong ("the Applicant")  (BLH884)	10 March 2021	Valid until amendment or revocation	<p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"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."</p>	Nil

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WONG Shing Hang ("the Applicant")  (AVM747)	11 March 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
LEE Che Chiu ("the Applicant")  (AAZ110)	12 March 2021	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant:  "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."  "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."	Nil

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On or after 1 January 2021**

Last Update : 24 September 2021

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
SO Kwok Yan, Robert ("the Applicant")  (ABA369)	12 March 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
WANG Ziwei ("the Applicant")  (BOZ639)	12 March 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
CHEN Jiayi ("the Applicant")  (BFX533)	12 March 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
YU Xiaoxiao ("the Applicant")  (BNA992)	12 March 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
GONG Shu ("the Applicant")  (AXD116)	15 March 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil



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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
KOK Sen Kan ("the Applicant")  (AUC483)	15 March 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
GFM Group Limited ("the Applicant")  (BGT035)	15 March 2021	Valid until amendment or revocation	<p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."</p> <p>to: -</p> <p>"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)."</p>	Nil

**Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)  
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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
<p>HIZON Karen Louise Hilado ("the Applicant")  (BDU666)</p>	<p>16 March 2021</p>	<p>Valid until amendment or revocation</p>	<p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>to: -</p> <p>"This licence, in relation to Type 4 regulated activity, shall lapse and cease to have effect:</p> <p>(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or</p> <p>(ii) on 16/09/2021 (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."</p>	<p>Nil</p>

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
MARCON Stephen James Neville ("the Applicant")  (AAD512)	17 March 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
MOK Siu Hong ("the Applicant")  (BIY801)	17 March 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
YANG Bo ("the Applicant")  (BMV352)	18 March 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:-  "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."	Nil
XING Yifan ("the Applicant")  (BJX197)	18 March 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:-  "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."	Nil
WANG Yiqiu ("the Applicant")  (BKH331)	18 March 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:-  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
WU Jiaqing ("the Applicant")  (BFU119)	18 March 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:-  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
<p>Springs Capital (Hong Kong) Limited ("the Applicant")</p> <p>(AWQ098)</p>	<p>23 March 2021</p>	<p>Valid until amendment or revocation</p>	<p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>to:-</p> <p>"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."</p> <p>"For Type 9 regulated activity, the licensee shall only provide services to professional investors, employees of the licensee and employees of subsidiaries of the licensee. The terms "subsidiary" and "professional investor" are defined under the Securities and Futures Ordinance."</p>	<p>Nil</p>
<p>Eurizon Capital Asia Limited ("the Applicant")</p> <p>(BHO750)</p>	<p>30 March 2021</p>	<p>Valid until amendment or revocation</p>	<p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity, the licensee shall not provide a service of managing a portfolio of futures contracts for another person."</p>	<p>Nil</p>

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On or after 1 January 2021**

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
<p>AccFin Corporate Finance Limited ("the Applicant")</p> <p>(BIV442)</p>	<p>31 March 2021</p>	<p>Valid until amendment or revocation</p>	<p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>to: -</p> <p>"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."</p>	<p>Nil</p>



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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
CHUNG Chi Kin, Kenneth ("the Applicant")  (ARB660)	31 March 2021	Valid until amendment or revocation	<p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>to: -</p> <p>"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."</p>	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
SUNG Ting Yee ("the Applicant")  (AUW414)	31 March 2021	Valid until amendment or revocation	<p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>to: -</p> <p>"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."</p>	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
YIP Ka Lung ("the Applicant")  (ADZ376)	31 March 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
Powership Capital Management Limited ("the Applicant")  (BIV461)	1 April 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
KWAN Sin Hang ("the Applicant")  (AVF586)	1 April 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
CHOW Chun Kit ("the Applicant")  (ALI715)	1 April 2021	Valid until amendment or revocation	<p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>"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."</p>	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
COFCO Asset Management (International) Company Limited ("the Applicant")  (AZY974)	1 April 2021	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant:  "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance"  "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."	Nil
CHAN Suk Chi ("the Applicant")  (AEI844)	7 April 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
YEUNG Chun Yin ("the Applicant")  (BBZ245)	7 April 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
ZHANG Zhiyu ("the Applicant")  (AYQ807)	8 April 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
JOSEPH Michael Eric ("the Applicant")  (ARH187)	12 April 2021	Valid until amendment or revocation	<p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>"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."</p> <p>"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."</p>	Nil



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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
CHEN Wen-Liang ("the Applicant")  (BHE181)	13 April 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
CHUNG Francis Chuan-pu ("the Applicant")  (AEU334)	13 April 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
AN Liyan ("the Applicant")  (AHS161)	14 April 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
CHEUNG Kam Ping ("the Applicant")  (AEX966)	20 April 2021	Valid until amendment or revocation	<p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"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:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"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:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p>	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
Somerville Capital Limited ("the Applicant")  (BAU754)	20 April 2021	Valid until amendment or revocation	<p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance."</p> <p>to:-</p> <p>"The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."</p> <p>"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."</p>	Nil
OceanVast Capital Limited ("the Applicant")  (BPT399)	21 April 2021	Valid until amendment or revocation	<p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."</p>	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
LEE Hin Pong ("the Applicant") (BBQ604)	21 April 2021	Valid until amendment or revocation	<p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>to: -</p> <p>"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."</p>	Nil
LIU Yicheng ("the Applicant") (BNI544)	23 April 2021	Valid until amendment or revocation	<p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"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."</p>	Nil

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LIANG Yue ("the Applicant")  (BIL738)	23 April 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
SU Zijian ("the Applicant")  (BNV821)	23 April 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
CHEN Han ("the Applicant")  (BGK953)	23 April 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
WU Andrew Kai ("the Applicant")  (BAK957)	23 April 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
CHIU Simon Siu Hung ("the Applicant")  (ALW291)	23 April 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil



**Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)  
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Last Update : 24 September 2021

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
<p>Solomon Capital Management Limited ("the Applicant")</p> <p>(BOF835)</p>	<p>23 April 2021</p>	<p>Valid until amendment or revocation</p>	<p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."</p> <p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>to:-</p> <p>"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."</p>	<p>Nil</p>

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
Donvex Asia Capital Limited ("the Applicant")  (BAV343)	27 April 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."	Nil
MA Hoi Wai ("the Applicant")  (ADS048)	27 April 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
ZHUANG Xiao ("the Applicant")  (BEB093)	30 April 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
ZHU Yiqi ("the Applicant")  (BDQ465)	30 April 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
LIU Qingchuan ("the Applicant")  (BDF375)	30 April 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
<p>MAPS Capital Management Limited ("the Applicant")  (AZK853)</p>	<p>3 May 2021</p>	<p>Valid until amendment or revocation</p>	<p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."</p>	<p>Nil</p>
<p>DANG Yi ("the Applicant")  (BOK337)</p>	<p>3 May 2021</p>	<p>Valid until amendment or revocation</p>	<p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"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."</p>	<p>Nil</p>

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
YU Ziyi ("the Applicant")  (BFX990)	3 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
YAN Jie ("the Applicant")  (BJC920)	3 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
YIN Hang ("the Applicant")  (BKX400)	3 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
YANG Rui ("the Applicant")  (BKS167)	5 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
XU Feifei ("the Applicant")  (AYU593)	6 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
ZHANG Yuan ("the Applicant")  (BOA246)	6 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
ZHANG Hongyi ("the Applicant")  (BFX877)	6 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
ZHANG Xuekong ("the Applicant")  (BPD573)	6 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil



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ZENG Zizhang ("the Applicant")  (BOS824)	6 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
HUI Wai Yan, Kelly ("the Applicant")  (APZ793)	6 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
TAN Zi Lin, Vera ("the Applicant")  (ANH747)	7 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
KUNGSEN David Sinyuan ("the Applicant")  (BDI064)	10 May 2021	Valid until amendment or revocation	<p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>"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."</p>	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
YEUNG Sau Hing ("the Applicant")  (ALV262)	10 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
Silk Road International Capital Limited ("the Applicant")  (AEG139)	11 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
KONG Yun ("the Applicant")  (BHL738)	11 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance."	Nil
Yee Tai Capital Limited (the "Applicant")  (BNN736)	7 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
MA Qinghai ("the Applicant")  (BER549)	13 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
TAN Pan ("the Applicant")  (BMS475)	13 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
FENG Xue ("the Applicant")  (AQA574)	13 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
Ascentium Group Limited ("the Applicant")  (BPL883)	14 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "For Type 1 regulated activity, the licensee shall only carry on a business of dealing in collective investment scheme. The terms "dealing" and "collective investment scheme" are as defined in the Securities and Futures Ordinance."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
LOU Xinyu ("the Applicant")  (BBV148)	20 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
ZHANG Bin ("the Applicant")  (BMH285)	20 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
ZHAO Jie ("the Applicant")  (BMH292)	20 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
WANG Zhuyan ("the Applicant")  (BND729)	20 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
WANG Jing ("the Applicant")  (BEZ370)	20 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
LEE Tak Long, Felix ("the Applicant")  (AWX605)	20 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil



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SIN Pun To ("the Applicant")  (ACI993)	20 May 2021	Valid until amendment or revocation	<p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>"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."</p>	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			<p>"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."</p> <p>"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."</p>	
QIAO Xiaowei ("the Applicant") (BGQ506)	21 May 2021	Valid until amendment or revocation	<p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"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."</p>	Nil

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LING Qian ("the Applicant")  (BNQ548)	21 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
WANG Jue ("the Applicant")  (BIS260)	21 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
Wingate Asset Management Limited ("the Applicant")  (BHD398)	24 May 2021	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant:  "For Type 1 regulated activity, the licensee shall not conduct business other than (1) communicating offers to effect dealing in securities in the names of the persons from whom those offers are received and (2) introducing persons to effect dealing in securities or make offers to deal in securities, through another intermediary or financial institution that is licensed and/or registered with the Securities and Futures Commission for Type 1 regulated activity, or authorities or organizations that perform similar functions and/or regulate banking or other financial services to deal in securities."	Nil

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			<p>to: -</p> <p>"For Type 1 regulated activity, the licensee shall not conduct business other than:</p> <p>(1) dealing in collective investment schemes;</p> <p>(2) communicating offers to effect dealing in securities in the names of the persons from whom those offers are received; and</p> <p>(3) introducing persons to effect dealing in securities or make offers to deal in securities, through another intermediary that is (a) licensed or registered for Type 1 regulated activity with the Commission, or (b) under an authorisation (however described) to deal in securities by an authority or regulatory organisation outside Hong Kong that performs similar functions of the Commission.</p> <p>The terms "collective investment scheme" and "dealing" are as defined in the Securities and Futures Ordinance."</p>	

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LAI Hing Kwong, Joseph (the "Applicant")  (ADJ211)	25 May 2021	Valid until amendment or revocation	<p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>to: -</p> <p>"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."</p>	Nil
AROSTI Marco (the "Applicant")  (APZ595)	25 May 2021	Valid until amendment or revocation	<p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance."</p>	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
YING Jianjia ("the Applicant")  (BII932)	26 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
LEUNG Kwok Kit, Donald ("the Applicant")  (ALF251)	26 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
CHEN Han ("the Applicant")  (BIK403)	26 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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ZHOU Yuzhe ("the Applicant")  (BNU269)	26 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
CHU Yat Pang, Terry ("the Applicant")  (AFS636)	27 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "For Type 6 regulated activity, the licensee must, in the capacity as an adviser to a client on matters/transactions falling within the ambit of the Codes on Takeovers and Mergers and Share Repurchases issued by the Commission, act together with another adviser (to the client) not subject to this condition."	Nil

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BADALIA Rikhit ("the Applicant")  (BNF533)	28 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
CHENG Ho Ming ("the Applicant")  (BCQ328)	28 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil



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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
Prime China Investments and Advisory Limited ("the Applicant")  (BOE729)	28 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."	Nil
Yau Wai International Asset Management Company Limited ("the Applicant")  (BOJ954)	28 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
WANG Bangyi ("the Applicant")  (BHY291)	28 May 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
YANG Zheng ("the Applicant")  (AZL146)	4 June 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
YEUNG Ham ("the Applicant")  (ANU667)	8 June 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
CHENG Man Kwong ("the Applicant")  (AXL920)	9 June 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
LUI Man Wah ("the Applicant")  (AQA809)	10 June 2021	Valid until amendment or revocation	<p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>"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."</p>	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			<p>"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:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"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:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"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:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p>	

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
AGARWAL Vishal ("the Applicant")  (BOB456)	10 June 2021	Valid until amendment or revocation	<p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>to:-</p> <p>"This licence, in relation to Type 1 regulated activity, shall lapse and cease to have effect: (i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or (ii) 10 December 2021 (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."</p>	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
			<p>"This licence, in relation to Type 2 regulated activity, shall lapse and cease to have effect:</p> <p>(i) upon the licensee ceasing to act for or on behalf of his/her principal(s) in respect of that regulated activity; or</p> <p>(ii) 10 December 2021 (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."</p>	
<p>WEN Qiang ("the Applicant") (BOR190)</p>	<p>10 June 2021</p>	<p>Valid until amendment or revocation</p>	<p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"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."</p>	<p>Nil</p>

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
LIU Yuqi ("the Applicant")  (APZ538)	15 June 2021	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant:  "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."  to:  "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."	Nil
ZHOU Kai ("the Applicant")  (AVT474)	15 June 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil



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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
WANG Zhaowen ("the Applicant")  (BPJ850)	15 June 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
WONG Man Ming, Melinda ("the Applicant")  (AIZ873)	18 June 2021	Valid until amendment or revocation	<p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"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:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"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."</p>	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
WANG Lei ("the Applicant")  (ATV187)	23 June 2021	Valid until amendment or revocation	<p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>"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."</p> <p>"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."</p>	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
Rostrum Grand Limited ("the Applicant")  (BLH635)	24 June 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."	Nil
AHYA Chetan Kishore ("the Applicant")  (ALI601)	25 June 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
KAM Yong Kang Derrick ("the Applicant")  (AXH544)	25 June 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
LYU Su ("the Applicant")  (BGX914)	28 June 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
LIU Wenbo ("the Applicant")  (BQW323)	28 June 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
XUE Dai ("the Applicant")  (BRF109)	28 June 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
ZHUO Qianren ("the Applicant")  (BRA888)	28 June 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
CHEN Yali ("the Applicant")  (AWY297)	28 June 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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TONG Heyang ("the Applicant")  (BNG509)	28 June 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
FU Bin ("the Applicant")  (BPD575)	28 June 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil



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CHEN Xue ("the Applicant")  (BCU613)	28 June 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
YU Hongxin ("the Applicant")  (BQW341)	28 June 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
CHEN Yue ("the Applicant")  (BPL702)	28 June 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
HUANG Heng ("the Applicant")  (BRA892)	28 June 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
KIM Sangwoo ("the Applicant")  (BHL893)	30 June 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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YEUNG Sau San, Eric ("the Applicant")  (ADL089)	5 July 2021	Valid until amendment or revocation	<p>Waived the following condition which was imposed on the licence granted to the Applicant:</p> <p>"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:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p>	Nil
KWOK Ka Lok, Stanley ("the Applicant")  (ARL159)	5 July 2021	Valid until amendment or revocation	<p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"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:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"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:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p>	Nil

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SUN Kin Kong, James ("the Applicant")  (AFT382)	5 July 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
KAO Cheng Yung ("the Applicant")  (AUW023)	6 July 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant: -  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
CHAN Chun Kin ("the Applicant")  (AZC678)	7 July 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
ZHENG Joanne Xisheng ("the Applicant")  (BFY842 )	8 July 2021	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant:  "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."  "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."	Nil

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American Century Investment Management (Asia Pacific) Limited ("the Applicant")  (ATW644)	9 July 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "For Type 1 regulated activity, the licensee shall not engage in or provide stock broking services to clients."	Nil
BIL Wealth Management Limited ("the Applicant")  (BMR629)	13 July 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."	Nil
Celadon Partners (Asia Pacific) Limited ("the Applicant")  (BPN457)	13 July 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant  "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."	Nil

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Alpha Wealth Management Limited ("the Applicant")  (ANR899)	14 July 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."	Nil
WONG Kwok King ("the Applicant")  (AFC358)	14 July 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."	Nil
L.V. Continuum & Co Limited ("the Applicant")  (BPF355)	15 July 2021	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant:  "The licensee shall only provide services to institutional professional investors. The term "institutional professional investor" is specified under paragraph 15.2 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission."  to: -  "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."	Nil

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LIU Zhiyang ("the Applicant")  (BIZ274)	16 July 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
DU Mengting ("the Applicant")  (BLW083)	16 July 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil



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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
LAU Ka Yip, Eddy ("the Applicant")  (ACD286)	19 July 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "For Type 3 regulated activity ("the activity"), the licensee must in his capacity as a responsible officer, when actively participating in or when directly supervising the business of the activity, do so under the advice of another responsible officer who is: (a) accredited to the principal concerned of the licensee in respect of the activity; and (b) not subject to this condition."	Nil

**Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)  
On or after 1 January 2021**

Last Update : 24 September 2021

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
PANG Andrew Chee On ("the Applicant")  (BGR455)	21 July 2021	Valid until amendment or revocation	<p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>"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."</p>	Nil

**Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)  
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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
Susquehanna Hong Kong Limited ("the Applicant")  (ARM224)	22 July 2021	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant:  "The licensee shall only carry out regulated activity on its own account and on behalf of its group affiliates."  to: -  "The licensee shall only provide services to professional investors or group affiliates of the licensee. The term "professional investor" is as defined in the Securities and Futures Ordinance and its subsidiary legislation."	Nil

**Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)  
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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
LUO Hua ("the Applicant")  (AWJ906)	28 July 2021	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant:  "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."  "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."	Nil
SBI China Capital Hong Kong Securities Limited ("the Applicant")  (BOJ011)	28 July 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

**Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)  
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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
MAK Chak Hung ("the Applicant")  (AAC295)	2 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
LI Pak Wang, Daniel ("the Applicant")  (APW942)	2 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

**Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)  
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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
Avenue Investment Management Limited ("the Applicant")  (BOD498)	2 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  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.	Nil
WU Yutong ("the Applicant")  (BQZ909)	3 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
ZHANG Tianye ("the Applicant")  (BQY963)	3 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
GUO Yuehua ("the Applicant")  (BKW494)	3 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
GAO Yingtong ("the Applicant")  (BPG768)	3 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
WANG Kun ("the Applicant")  (BHH023)	3 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
CHEN Jiaqi ("the Applicant")  (BQV632)	3 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
WU Qingyan ("the Applicant")  (BIW801)	3 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
ZHEN Hao ("the Applicant")  (BOR969)	3 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil



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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
LAW Thin Ken ("the Applicant")  (BDN247)	4 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
Harmony Advisors Limited ("the Applicant")  (BCM666)	5 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
CHEUNG Chi Lok ("the Applicant")  (AWC705)	5 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
YANG Mei Ni ("the Applicant")  (AGG980)	5 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
LYNCH Fergus Michael ("the Applicant")  (AZT328)	3 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
LIANG Jun ("the Applicant")  (BIN429)	10 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "For Type 1 regulated activity, the licensee shall not engage in dealing activities other than those relating to corporate finance."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
ALEXANDER Sean Philip ("the Applicant")  (AHA619)	13 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
Techne Asset Management Limited ("the Applicant")  (BJT660)	16 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
Chief Management Limited ("the Applicant")  (BOP062)	19 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
LAW Pui Cheung ("the Applicant")  (BEA069)	19 August 2021	Valid until amendment or revocation	<p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>"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."</p>	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
CHAN Wing Yau, George ("the Applicant")  (AAC044)	19 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
ZENG Haibo ("the Applicant")  (BAH456)	19 August 2021	Valid until amendment or revocation	Waived the following conditions which were imposed on the licence granted to the Applicant:  "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."  "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."	Nil



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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
uSmart Securities Limited ("the Applicant")  (BJA907)	20 August 2021	Valid until amendment or revocation	<p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>to:</p> <p>"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)."</p>	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
SHEN Yiming ("the Applicant")  (BLB918)	20 August 2021	Valid until amendment or revocation	<p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>"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."</p>	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
LEE Pui Shan ("the Applicant")  (AFU414)	24 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
WONG Sze Ip ("the Applicant")  (AQU491)	24 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
WU Kin San, Alfred ("the Applicant")  (APR819)	27 August 2021	Valid until amendment or revocation	<p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>to:-</p> <p>"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."</p>	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
WANG Yu ("the Applicant")  (BHK872)	27 August 2021	Valid until amendment or revocation	<p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>"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."</p> <p>"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."</p>	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
HSIAO Roy ("the Applicant")  (BCD423)	31 August 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
WANG Yue ("the Applicant")  (APF190)	1 September 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
Deutsche Securities Asia Limited ("the Applicant")  (AAJ984)	1 September 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
Sigma Capital Management Limited ("the Applicant")  (AQG407)	2 September 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "For Type 1 regulated activity, the licensee shall only engage in (i) market making and broking activities for Sigma Equity VA Fund (the "Fund") and/or the subsidiary(ies) of the Fund; and (ii) distribution and marketing of collective investment schemes. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance"	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
YUEN Lai Yan, Darius ("the Applicant")  (ACO079)	6 September 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil



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LIANG Zhengping ("the Applicant")  (BMW182 )	3 September 2021	Valid until amendment or revocation	<p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>"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."</p>	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
LU Xiaomeng ("the Applicant")  (BQV486)	6 September 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
FANG Jike ("the Applicant")  (BQS950)	6 September 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
WEN Zhimin ("the Applicant")  (AID045)	8 September 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
TAN Hui Yeng ("the Applicant")  (BCP982)	10 September 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

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Last Update : 24 September 2021

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
LI Tze Yan, Janet ("the Applicant")  (ATN771)	10 September 2021	Valid until amendment or revocation	<p>Waived the following conditions which were imposed on the licence granted to the Applicant:</p> <p>"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:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p> <p>"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:</p> <p>(a) accredited to the principal concerned of the licensee in respect of the activity; and</p> <p>(b) not subject to this condition."</p>	Nil

**Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)  
On or after 1 January 2021**

Last Update : 24 September 2021

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
LI Xi ("the Applicant")  (ASU033)	10 September 2021	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant:  "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."  to: -  "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."	Nil
Wisdom Bright Asset Management Limited ("the Applicant")  (BNU507)	10 September 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "The licensee shall not hold client assets. The terms "hold" and "client assets" are as defined under the Securities and Futures Ordinance."	Nil
WANG Chaolue ("the Applicant")  (BPM763)	10 September 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil

**Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)  
On or after 1 January 2021**

Last Update : 24 September 2021

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
HAN Lingxiao ("the Applicant")  (BLL163)	10 September 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil
YIU Ho Yin ("the Applicant")  (AEI004)	13 September 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "For Type 9 regulated activity, the licensee shall not conduct business involving the discretionary management of any collective investment scheme. The term "collective investment scheme" is as defined under the Securities and Futures Ordinance."	Nil

**Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)  
On or after 1 January 2021**

Last Update : 24 September 2021

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
LAU Chun Chung ("the Applicant")  (AWS123)	14 September 2021	Valid until amendment or revocation	<p>Modified the following condition which was imposed on the licence granted to the Applicant:</p> <p>"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."</p> <p>to:</p> <p>"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."</p>	Nil

**Modifications or waivers of Licensing requirements (granted under section 134 of the Securities and Futures Ordinance)  
On or after 1 January 2021**

Last Update : 24 September 2021

Name of the applicant (CE number, if applicable)	Date of grant of the modifications or waivers	Period of validity	Particulars of the modifications or waivers granted	Conditions imposed
Merrill Lynch Far East Limited ("the Applicant")  (AAC352)	17 September 2021	Valid until amendment or revocation	Modified the following condition which was imposed on the licence granted to the Applicant:  "For Type 6 regulated activity, the licensee shall not act as sponsor in respect of an application for the listing on a recognized stock market of any securities apart from completing sponsor or compliance adviser work which it became contractually bound to complete prior to 8 October 2020"  to: -  "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."	Nil
WONG Chung Hin ("the Applicant")  (BID361)	14 September 2021	Valid until amendment or revocation	Waived the following condition which was imposed on the licence granted to the Applicant:  "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."	Nil