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SFC issues restriction notices to 14 brokers to freeze client accounts linked to suspected market manipulation of Smartac Group China Holdings Limited

25 Jun 2019

The Securities and Futures Commission (SFC) has issued restriction notices to 14 brokers, prohibiting them from dealing with or processing certain assets held in their client accounts which are related to suspected market manipulation in the shares of Smartac Group China Holdings Limited between October 2018 and March 2019 (Note 1).

The brokers are: Changjiang Securities Brokerage (HK) Limited, Central China International Securities Co., Limited, China Galaxy International Securities (Hong Kong) Co., Limited, Fulbright Securities Limited, GF Securities (Hong Kong) Brokerage Limited, Guosen Securities (HK) Brokerage Company, Limited, Guotai Junan Securities (Hong Kong) Limited, Guoyuan Securities Brokerage (Hong Kong) Limited, HGNH International Securities Co., Limited, Interactive Brokers Hong Kong Limited, KGI Asia Limited, Yue Xiu Securities Company Limited, Yunfeng Securities Limited and Zhongtai International Securities Limited.

The SFC is not investigating these brokers, which have cooperated with the SFC's ongoing investigation. The restriction notices do not affect their operations or their other clients.

The restriction notices prohibit them, without the SFC's prior written consent, from disposing of or dealing with, assisting, counselling or procuring another person to dispose of or deal with any assets in any way in the client accounts, including: (i) entering into transactions for any securities; and/or (ii) processing any withdrawals or transferring of securities and/or cash arising from the disposal of securities; and/or (iii) disposing of or dealing with any securities or cash on the instructions of any authorized persons of the client accounts or by any persons acting on their behalf; and/or (iv) assisting another person to dispose of or deal with any relevant property in the client accounts in any manner. The brokers are also required to notify the SFC if they receive any of these instructions.

The SFC considers that the issue of the restriction notices is desirable in the interest of the investing public or in the public interest.

The SFC's investigation is continuing.

End

Note:

1. The SFC issued the restriction notices pursuant to sections 204 and 205 of the Securities and Futures Ordinance.

Page last updated : 25 Jun 2019

NOTICE UNDER SECTIONS 204 AND 205 OF THE SECURITIES AND
FUTURES ORDINANCE (Chapter 571) (the ‘SFO’)

It appears to the Securities and Futures Commission (the “**Commission**”), for the reasons set out in the Statement of Reasons of this date, that the Commission should exercise the powers conferred by sections 204 and 205 of the SFO.

THE COMMISSION GIVES NOTICE THAT:

Except with the Commission’s prior written consent, such consent to be granted by any two Executive Directors of the Commission:

1. Under sections 204(1)(a) and 205(1) of the SFO, Changjiang Securities Brokerage (HK) Limited (the “**Specified Corporation**”) is, in respect of the following account (the “**Account**”):

Account no.	202571100
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- (a) subject to paragraph 2, prohibited from disposing of or dealing with, assisting, counselling or procuring another person to dispose of or deal with, any assets in any way in the Account, including:
 - (i) entering into transactions for any securities;
 - (ii) processing any withdrawals or transfers of securities and/or cash or any transfers of money arising from the disposal of securities;
 - (iii) disposing of or dealing with any securities or cash on the instructions of any authorized person of the Account or by any person acting on their behalf;
 - (iv) assisting another person to dispose of any relevant property or deal with any relevant property in a specified manner;
- (b) required to notify the Commission immediately upon receipt of any instruction from the authorized person of the Account, or by any person acting on their behalf, regarding:
 - (i) any requests to withdraw any securities or cash from the Account; and/or
 - (ii) any requests to dispose of or deal with any securities or cash which concern those assets subject to the prohibitions in (a) above.
2. Notwithstanding paragraph 1, the Specific Corporation may deal with or dispose of securities in the Account to cover the negative cash balance in the Account. The cash and securities remaining in the Account following the disposal of securities shall remain in the Account and be subject to the prohibitions in paragraph 1 above.
3. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeal Tribunal for a review of the Commission’s decision to impose the

prohibition and/or requirement imposed by this Notice. Such application must be made within twenty-one days after the day on which this Notice is served on the Specified Corporation. Further, under section 208 of the SFO, the Specified Corporation may apply to the Commission for the prohibition and/or requirement imposed by this Notice to be withdrawn, substituted or varied.

This Notice takes effect at the time of service upon the Specified Corporation.

Date this 24th day of June 2019

For and on behalf of the Commission

Julia Leung
Acting Chief Executive Officer

NOTICE UNDER SECTIONS 204 AND 205 OF THE SECURITIES AND
FUTURES ORDINANCE (Chapter 571) (the ‘SFO’)

It appears to the Securities and Futures Commission (the “**Commission**”), for the reasons set out in the Statement of Reasons of this date, that the Commission should exercise the powers conferred by sections 204 and 205 of the SFO.

THE COMMISSION GIVES NOTICE THAT:

Except with the Commission’s prior written consent, such consent to be granted by any two Executive Directors of the Commission:

1. Under sections 204(1)(a) and 205(1) of the SFO, China Galaxy International Securities (Hong Kong) Co., Limited (the “**Specified Corporation**”) is, in respect of the following account (the “**Account**”):

Account no.	C110830000
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- (a) subject to paragraph 2, prohibited from disposing of or dealing with, assisting, counselling or procuring another person to dispose of or deal with, any assets in any way in the Account, including:
 - (i) entering into transactions for any securities;
 - (ii) processing any withdrawals or transfers of securities and/or cash or any transfers of money arising from the disposal of securities;
 - (iii) disposing of or dealing with any securities or cash on the instructions of any authorized person of the Account or by any person acting on their behalf;
 - (iv) assisting another person to dispose of any relevant property or deal with any relevant property in a specified manner;
 - (b) required to notify the Commission immediately upon receipt of any instruction from the authorized person of the Account, or by any person acting on their behalf, regarding:
 - (i) any requests to withdraw any securities or cash from the Account; and/or
 - (ii) any requests to dispose of or deal with any securities or cash which concern those assets subject to the prohibitions in (a) above.
2. Notwithstanding paragraph 1, the Specific Corporation may deal with or dispose of securities in the Account to cover the negative cash balance in the Account. The cash and securities remaining in the Account following the disposal of securities shall remain in the Account and be subject to the prohibitions in paragraph 1 above.
 3. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeal Tribunal for a review of the Commission’s decision to impose the

prohibition and/or requirement imposed by this Notice. Such application must be made within twenty-one days after the day on which this Notice is served on the Specified Corporation. Further, under section 208 of the SFO, the Specified Corporation may apply to the Commission for the prohibition and/or requirement imposed by this Notice to be withdrawn, substituted or varied.

This Notice takes effect at the time of service upon the Specified Corporation.

Date this 24th day of June 2019

For and on behalf of the Commission

Julia Leung
Acting Chief Executive Officer

NOTICE UNDER SECTIONS 204 AND 205 OF THE SECURITIES AND
FUTURES ORDINANCE (Chapter 571) (the 'SFO')

It appears to the Securities and Futures Commission (the "**Commission**"), for the reasons set out in the Statement of Reasons of this date, that the Commission should exercise the powers conferred by sections 204 and 205 of the SFO.

THE COMMISSION GIVES NOTICE THAT:

Except with the Commission's prior written consent, such consent to be granted by any two Executive Directors of the Commission:

1. Under sections 204(1)(a) and 205(1) of the SFO, **Fulbright Securities Limited** (the "**Specified Corporation**") is, in respect of the following accounts (the "**Accounts**"):

Account no.
C1916004
C1916039
C1916038
C1916021
C1916028
C1916037

- (a) subject to paragraph 2, prohibited from disposing of or dealing with, assisting, counselling or procuring another person to dispose of or deal with, any assets in any way in the Accounts, including:
 - (i) entering into transactions for any securities;
 - (ii) processing any withdrawals or transfers of securities and/or cash or any transfers of money arising from the disposal of securities;
 - (iii) disposing of or dealing with any securities or cash on the instructions of any authorized person(s) of the Accounts or by any person(s) acting on their behalf;
 - (iv) assisting another person to dispose of any relevant property or deal with any relevant property in a specified manner;
- (b) required to notify the Commission immediately upon receipt of any instruction from the authorized person(s) of the Accounts, or by any person(s) acting on their behalf, regarding:
 - (i) any requests to withdraw any securities or cash from the Accounts; and/or

- (ii) any requests to dispose of or deal with any securities or cash which concern those assets subject to the prohibitions in (a) above.
- 2. Notwithstanding paragraph 1, the Specific Corporation may deal with or dispose of securities in the Accounts to cover the negative cash balance in the Accounts. The cash and securities remaining in the Accounts following the disposal of securities shall remain in the Accounts and be subject to the prohibitions in paragraph 1 above.
- 3. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeal Tribunal for a review of the Commission's decision to impose the prohibition and/or requirement imposed by this Notice. Such application must be made within twenty-one days after the day on which this Notice is served on the Specified Corporation. Further, under section 208 of the SFO, the Specified Corporation may apply to the Commission for the prohibition and/or requirement imposed by this Notice to be withdrawn, substituted or varied.

This Notice takes effect at the time of service upon the Specified Corporation.

Date this 24th day of June 2019

For and on behalf of the Commission

Julia Leung
Acting Chief Executive Officer

G.N. 4060

**NOTICE UNDER SECTIONS 204 AND 205 OF THE SECURITIES AND
FUTURES ORDINANCE (Chapter 571) (the ‘SFO’)**

It appears to the Securities and Futures Commission (the “**Commission**”), for the reasons set out in the Statement of Reasons of this date, that the Commission should exercise the powers conferred by sections 204 and 205 of the SFO.

THE COMMISSION GIVES NOTICE THAT:

Except with the Commission’s prior written consent, such consent to be granted by any two Executive Directors of the Commission:

1. Under sections 204(1)(a) and 205(1) of the SFO, GF Securities (Hong Kong) Brokerage Limited (the “**Specified Corporation**”) is, in respect of the following accounts (the “**Accounts**”):

Account no.
10193326-10193326
10190337-10190337

- (a) subject to paragraph 2, prohibited from disposing of or dealing with, assisting, counselling or procuring another person to dispose of or deal with, any assets in any way in the Accounts, including:
 - (i) entering into transactions for any securities;
 - (ii) processing any withdrawals or transfers of securities and/or cash or any transfers of money arising from the disposal of securities;
 - (iii) disposing of or dealing with any securities or cash on the instructions of any authorized person(s) of the Accounts or by any person(s) acting on their behalf;
 - (iv) assisting another person to dispose of any relevant property or deal with any relevant property in a specified manner;
 - (b) required to notify the Commission immediately upon receipt of any instruction from the authorized person(s) of the Accounts, or by any person(s) acting on their behalf, regarding:
 - (i) any requests to withdraw any securities or cash from the Accounts; and/or
 - (ii) any requests to dispose of or deal with any securities or cash which concern those assets subject to the prohibitions in (a) above.
2. Notwithstanding paragraph 1, the Specific Corporation may deal with or dispose of securities in the Accounts to cover the negative cash balance in the Accounts. The cash and securities remaining in the Accounts following the disposal of securities shall remain in the Accounts and be subject to the prohibitions in paragraph 1 above.

3. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeal Tribunal for a review of the Commission's decision to impose the prohibition and/or requirement imposed by this Notice. Such application must be made within twenty-one days after the day on which this Notice is served on the Specified Corporation. Further, under section 208 of the SFO, the Specified Corporation may apply to the Commission for the prohibition and/or requirement imposed by this Notice to be withdrawn, substituted or varied.

This Notice takes effect at the time of service upon the Specified Corporation.

Date this 24th day of June 2019

For and on behalf of the Commission

Julia Leung
Acting Chief Executive Officer

NOTICE UNDER SECTIONS 204 AND 205 OF THE SECURITIES AND
FUTURES ORDINANCE (Chapter 571) (the ‘SFO’)

It appears to the Securities and Futures Commission (the “**Commission**”), for the reasons set out in the Statement of Reasons of this date, that the Commission should exercise the powers conferred by sections 204 and 205 of the SFO.

THE COMMISSION GIVES NOTICE THAT:

Except with the Commission’s prior written consent, such consent to be granted by any two Executive Directors of the Commission:

1. Under sections 204(1)(a) and 205(1) of the SFO, **Guosen Securities (HK) Brokerage Company, Limited** (the “**Specified Corporation**”) is, in respect of the following account (the “**Account**”):

Account no.	6600087975
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- (a) subject to paragraph 2, prohibited from disposing of or dealing with, assisting, counselling or procuring another person to dispose of or deal with, any assets in any way in the Account, including:
 - (i) entering into transactions for any securities;
 - (ii) processing any withdrawals or transfers of securities and/or cash or any transfers of money arising from the disposal of securities;
 - (iii) disposing of or dealing with any securities or cash on the instructions of any authorized person of the Account or by any person acting on their behalf;
 - (iv) assisting another person to dispose of any relevant property or deal with any relevant property in a specified manner;
- (b) required to notify the Commission immediately upon receipt of any instruction from the authorized person of the Account, or by any person acting on their behalf, regarding:
 - (i) any requests to withdraw any securities or cash from the Account; and/or
 - (ii) any requests to dispose of or deal with any securities or cash which concern those assets subject to the prohibitions in (a) above.
2. Notwithstanding paragraph 1, the Specific Corporation may deal with or dispose of securities in the Account to cover the negative cash balance in the Account. The cash and securities remaining in the Account following the disposal of securities shall remain in the Account and be subject to the prohibitions in paragraph 1 above.
3. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeal Tribunal for a review of the Commission’s decision to impose the

prohibition and/or requirement imposed by this Notice. Such application must be made within twenty-one days after the day on which this Notice is served on the Specified Corporation. Further, under section 208 of the SFO, the Specified Corporation may apply to the Commission for the prohibition and/or requirement imposed by this Notice to be withdrawn, substituted or varied.

This Notice takes effect at the time of service upon the Specified Corporation.

Date this 24th day of June 2019

For and on behalf of the Commission

Julia Leung
Acting Chief Executive Officer

NOTICE UNDER SECTIONS 204 AND 205 OF THE SECURITIES AND
FUTURES ORDINANCE (Chapter 571) (the ‘SFO’)

It appears to the Securities and Futures Commission (the “**Commission**”), for the reasons set out in the Statement of Reasons of this date, that the Commission should exercise the powers conferred by sections 204 and 205 of the SFO.

THE COMMISSION GIVES NOTICE THAT:

Except with the Commission’s prior written consent, such consent to be granted by any two Executive Directors of the Commission:

1. Under sections 204(1)(a) and 205(1) of the SFO, **Guotai Junan Securities (Hong Kong) Limited** (the “**Specified Corporation**”) is, in respect of the following account (the “**Account**”):

Account no.	138005
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- (a) subject to paragraph 2, prohibited from disposing of or dealing with, assisting, counselling or procuring another person to dispose of or deal with, any assets in any way in the Account, including:
 - (i) entering into transactions for any securities;
 - (ii) processing any withdrawals or transfers of securities and/or cash or any transfers of money arising from the disposal of securities;
 - (iii) disposing of or dealing with any securities or cash on the instructions of any authorized person of the Account or by any person acting on their behalf;
 - (iv) assisting another person to dispose of any relevant property or deal with any relevant property in a specified manner;
- (b) required to notify the Commission immediately upon receipt of any instruction from the authorized person of the Account, or by any person acting on their behalf, regarding:
 - (i) any requests to withdraw any securities or cash from the Account; and/or
 - (ii) any requests to dispose of or deal with any securities or cash which concern those assets subject to the prohibitions in (a) above.
2. Notwithstanding paragraph 1, the Specific Corporation may deal with or dispose of securities in the Account to cover the negative cash balance in the Account. The cash and securities remaining in the Account following the disposal of securities shall remain in the Account and be subject to the prohibitions in paragraph 1 above.
3. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeal Tribunal for a review of the Commission’s decision to impose the

prohibition and/or requirement imposed by this Notice. Such application must be made within twenty-one days after the day on which this Notice is served on the Specified Corporation. Further, under section 208 of the SFO, the Specified Corporation may apply to the Commission for the prohibition and/or requirement imposed by this Notice to be withdrawn, substituted or varied.

This Notice takes effect at the time of service upon the Specified Corporation.

Date this 24th day of June 2019

For and on behalf of the Commission

Julia Leung
Acting Chief Executive Officer

NOTICE UNDER SECTIONS 204 AND 205 OF THE SECURITIES AND
FUTURES ORDINANCE (Chapter 571) (the ‘SFO’)

It appears to the Securities and Futures Commission (the “**Commission**”), for the reasons set out in the Statement of Reasons of this date, that the Commission should exercise the powers conferred by sections 204 and 205 of the SFO.

THE COMMISSION GIVES NOTICE THAT:

Except with the Commission’s prior written consent, such consent to be granted by any two Executive Directors of the Commission:

1. Under sections 204(1)(a) and 205(1) of the SFO, **Guoyuan Securities Brokerage (Hong Kong) Limited** (the “**Specified Corporation**”) is, in respect of the following accounts (the “**Accounts**”):

Account no.
MC607239
MC609887

- (a) subject to paragraph 2, prohibited from disposing of or dealing with, assisting, counselling or procuring another person to dispose of or deal with, any assets in any way in the Accounts, including:
 - (i) entering into transactions for any securities;
 - (ii) processing any withdrawals or transfers of securities and/or cash or any transfers of money arising from the disposal of securities;
 - (iii) disposing of or dealing with any securities or cash on the instructions of any authorized person(s) of the Accounts or by any person(s) acting on their behalf;
 - (iv) assisting another person to dispose of any relevant property or deal with any relevant property in a specified manner;
 - (b) required to notify the Commission immediately upon receipt of any instruction from the authorized person(s) of the Accounts, or by any person(s) acting on their behalf, regarding:
 - (i) any requests to withdraw any securities or cash from the Accounts; and/or
 - (ii) any requests to dispose of or deal with any securities or cash which concern those assets subject to the prohibitions in (a) above.
2. Notwithstanding paragraph 1, the Specific Corporation may deal with or dispose of securities in the Accounts to cover the negative cash balance in the Accounts. The cash and securities remaining in the Accounts following the disposal of securities shall remain in the Accounts and be subject to the prohibitions in paragraph 1 above.

3. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeal Tribunal for a review of the Commission's decision to impose the prohibition and/or requirement imposed by this Notice. Such application must be made within twenty-one days after the day on which this Notice is served on the Specified Corporation. Further, under section 208 of the SFO, the Specified Corporation may apply to the Commission for the prohibition and/or requirement imposed by this Notice to be withdrawn, substituted or varied.

This Notice takes effect at the time of service upon the Specified Corporation.

Date this 24th day of June 2019

For and on behalf of the Commission

Julia Leung
Acting Chief Executive Officer

NOTICE UNDER SECTIONS 204 AND 205 OF THE SECURITIES AND
FUTURES ORDINANCE (Chapter 571) (the ‘SFO’)

It appears to the Securities and Futures Commission (the “**Commission**”), for the reasons set out in the Statement of Reasons of this date, that the Commission should exercise the powers conferred by sections 204 and 205 of the SFO.

THE COMMISSION GIVES NOTICE THAT:

Except with the Commission’s prior written consent, such consent to be granted by any two Executive Directors of the Commission:

1. Under sections 204(1)(a) and 205(1) of the SFO, **Interactive Brokers Hong Kong Limited** (the “**Specified Corporation**”) is, in respect of the following accounts (the “**Accounts**”):

Account no.
U9833360
U9833325

- (a) subject to paragraph 2, prohibited from disposing of or dealing with, assisting, counselling or procuring another person to dispose of or deal with, any assets in any way in the Accounts, including:
 - (i) entering into transactions for any securities;
 - (ii) processing any withdrawals or transfers of securities and/or cash or any transfers of money arising from the disposal of securities;
 - (iii) disposing of or dealing with any securities or cash on the instructions of any authorized person(s) of the Accounts or by any person(s) acting on their behalf;
 - (iv) assisting another person to dispose of any relevant property or deal with any relevant property in a specified manner;
 - (b) required to notify the Commission immediately upon receipt of any instruction from the authorized person(s) of the Accounts, or by any person(s) acting on their behalf, regarding:
 - (i) any requests to withdraw any securities or cash from the Accounts; and/or
 - (ii) any requests to dispose of or deal with any securities or cash which concern those assets subject to the prohibitions in (a) above.
2. Notwithstanding paragraph 1, the Specific Corporation may deal with or dispose of securities in the Accounts to cover the negative cash balance in the Accounts. The cash and securities remaining in the Accounts following the disposal of securities shall remain in the Accounts and be subject to the prohibitions in paragraph 1 above.

3. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeal Tribunal for a review of the Commission's decision to impose the prohibition and/or requirement imposed by this Notice. Such application must be made within twenty-one days after the day on which this Notice is served on the Specified Corporation. Further, under section 208 of the SFO, the Specified Corporation may apply to the Commission for the prohibition and/or requirement imposed by this Notice to be withdrawn, substituted or varied.

This Notice takes effect at the time of service upon the Specified Corporation.

Date this 24th day of June 2019

For and on behalf of the Commission

Julia Leung
Acting Chief Executive Officer

NOTICE UNDER SECTIONS 204 AND 205 OF THE SECURITIES AND
FUTURES ORDINANCE (Chapter 571) (the ‘SFO’)

It appears to the Securities and Futures Commission (the “**Commission**”), for the reasons set out in the Statement of Reasons of this date, that the Commission should exercise the powers conferred by sections 204 and 205 of the SFO.

THE COMMISSION GIVES NOTICE THAT:

Except with the Commission’s prior written consent, such consent to be granted by any two Executive Directors of the Commission:

1. Under sections 204(1)(a) and 205(1) of the SFO, **KGI Asia Limited** (the “**Specified Corporation**”) is, in respect of the following account (the “**Account**”):

Account no.	1-00-0208160-9
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- (a) subject to paragraph 2, prohibited from disposing of or dealing with, assisting, counselling or procuring another person to dispose of or deal with, any assets in any way in the Account, including:
 - (i) entering into transactions for any securities;
 - (ii) processing any withdrawals or transfers of securities and/or cash or any transfers of money arising from the disposal of securities;
 - (iii) disposing of or dealing with any securities or cash on the instructions of any authorized person of the Account or by any person acting on their behalf;
 - (iv) assisting another person to dispose of any relevant property or deal with any relevant property in a specified manner;
 - (b) required to notify the Commission immediately upon receipt of any instruction from the authorized person of the Account, or by any person acting on their behalf, regarding:
 - (i) any requests to withdraw any securities or cash, from the Account; and/or
 - (ii) any requests to dispose of or deal with any securities or cash which concern those assets subject to the prohibitions in (a) above.
2. Notwithstanding paragraph 1, the Specific Corporation may deal with or dispose of securities in the Account to cover the negative cash balance in the Account. The cash and securities remaining in the Account following the disposal of securities shall remain in the Account and be subject to the prohibitions in paragraph 1 above.
 3. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeal Tribunal for a review of the Commission’s decision to impose the prohibition and/or requirement imposed by this Notice. Such application must be

made within twenty-one days after the day on which this Notice is served on the Specified Corporation. Further, under section 208 of the SFO, the Specified Corporation may apply to the Commission for the prohibition and/or requirement imposed by this Notice to be withdrawn, substituted or varied.

This Notice takes effect at the time of service upon the Specified Corporation.

Date this 24th day of June 2019

For and on behalf of the Commission

Julia Leung
Acting Chief Executive Officer

NOTICE UNDER SECTIONS 204 AND 205 OF THE SECURITIES AND
FUTURES ORDINANCE (Chapter 571) (the "SFO")

It appears to the Securities and Futures Commission (the "**Commission**"), for the reasons set out in the Statement of Reasons of this date, that the Commission should exercise the powers conferred by sections 204 and 205 of the SFO.

THE COMMISSION GIVES NOTICE THAT:

Except with the Commission's prior written consent, such consent to be granted by any two Executive Directors of the Commission:

1. Under sections 204(1)(a) and 205(1) of the SFO, **Yunfeng Securities Limited** (the "**Specified Corporation**") is, in respect of the following account (the "**Account**"):

Account no.	5006160-500616002
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- (a) subject to paragraph 2, prohibited from disposing of or dealing with, assisting, counselling or procuring another person to dispose of or deal with, any assets in any way in the Account, including:
 - (i) entering into transactions for any securities;
 - (ii) processing any withdrawals or transfers of securities and/or cash or any transfers of money arising from the disposal of securities;
 - (iii) disposing of or dealing with any securities or cash on the instructions of any authorized person of the Account or by any person acting on their behalf;
 - (iv) assisting another person to dispose of any relevant property or deal with any relevant property in a specified manner;
 - (b) required to notify the Commission immediately upon receipt of any instruction from the authorized person of the Account, or by any person acting on their behalf, regarding:
 - (i) any requests to withdraw any securities or cash from the Account; and/or
 - (ii) any requests to dispose of or deal with any securities or cash which concern those assets subject to the prohibitions in (a) above.
2. Notwithstanding paragraph 1, the Specific Corporation may deal with or dispose of securities in the Account to cover the negative cash balance in the Account. The cash and securities remaining in the Account following the disposal of securities shall remain in the Account and be subject to the prohibitions in paragraph 1 above.
 3. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeal Tribunal for a review of the Commission's decision to impose the prohibition and/or requirement imposed by this Notice. Such application must be

made within twenty-one days after the day on which this Notice is served on the Specified Corporation. Further, under section 208 of the SFO, the Specified Corporation may apply to the Commission for the prohibition and/or requirement imposed by this Notice to be withdrawn, substituted or varied.

This Notice takes effect at the time of service upon the Specified Corporation.

Date this 24th day of June 2019

For and on behalf of the Commission

Julia Leung
Acting Chief Executive Officer



G.N. 4054

NOTICE UNDER SECTIONS 204 AND 205 OF THE SECURITIES AND
FUTURES ORDINANCE (Chapter 571) (the ‘SFO’)

It appears to the Securities and Futures Commission (the “**Commission**”), for the reasons set out in the Statement of Reasons of this date, that the Commission should exercise the powers conferred by sections 204 and 205 of the SFO.

THE COMMISSION GIVES NOTICE THAT:

Except with the Commission’s prior written consent, such consent to be granted by any two Executive Directors of the Commission:

1. Under sections 204(1)(a) and 205(1) of the SFO, **Central China International Securities Co., Limited** (the “**Specified Corporation**”) is, in respect of the following account (the “**Account**”):

Account no.
31290236

- (a) subject to paragraph 2, prohibited from disposing of or dealing with, assisting, counselling or procuring another person to dispose of or deal with, any assets in any way in the Account, including:
 - (i) entering into transactions for any securities;
 - (ii) processing any withdrawals or transfers of securities and/or cash or any transfers of money arising from the disposal of securities;
 - (iii) disposing of or dealing with any securities or cash on the instructions of any authorised person of the Account or by any person acting on their behalf;
 - (iv) assisting another person to dispose of any relevant property or deal with any relevant property in a specified manner;
 - (b) required to notify the Commission immediately upon receipt of any instruction from the authorised person of the Account, or by any person acting on their behalf, regarding:
 - (i) any requests to withdraw any securities or cash from the Account; and/or
 - (ii) any requests to dispose of or deal with any securities or cash which concern those assets subject to the prohibitions in (a) above.
2. Notwithstanding paragraph 1, the Specified Corporation may deal with or dispose of securities in the Account to cover the negative cash balance in the Account. The cash and securities remaining in the Account following the disposal of securities shall remain in the Account and be subject to the prohibitions in paragraph 1 above.
 3. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeal Tribunal for a review of the Commission’s decision to impose the

prohibition and/or requirement imposed by this Notice. Such application must be made within twenty-one days after the day on which this Notice is served on the Specified Corporation. Further, under section 208 of the SFO, the Specified Corporation may apply to the Commission for the prohibition and/or requirement imposed by this Notice to be withdrawn, substituted or varied.

This Notice takes effect at the time of service upon the Specified Corporation.

Dated this 24th day of June 2019

For and on behalf of the Commission

Julia Leung
Acting Chief Executive Officer

NOTICE UNDER SECTIONS 204 AND 205 OF THE SECURITIES AND
FUTURES ORDINANCE (Chapter 571) (the ‘SFO’)

It appears to the Securities and Futures Commission (the “**Commission**”), for the reasons set out in the Statement of Reasons of this date, that the Commission should exercise the powers conferred by sections 204 and 205 of the SFO.

THE COMMISSION GIVES NOTICE THAT:

Except with the Commission’s prior written consent, such consent to be granted by any two Executive Directors of the Commission:

1. Under sections 204(1)(a) and 205(1) of the SFO, **Central China International Securities Co., Limited** (the “**Specified Corporation**”) is, in respect of the following account (the “**Account**”):

Account no.	31290242
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- (a) subject to paragraph 2, prohibited from disposing of or dealing with, assisting, counselling or procuring another person to dispose of or deal with, any assets in any way in the Account, including:
 - (i) entering into transactions for any securities;
 - (ii) processing any withdrawals or transfers of securities and/or cash or any transfers of money arising from the disposal of securities;
 - (iii) disposing of or dealing with any securities or cash on the instructions of any authorized person of the Account or by any person acting on their behalf;
 - (iv) assisting another person to dispose of any relevant property or deal with any relevant property in a specified manner;
 - (b) required to notify the Commission immediately upon receipt of any instruction from the authorized person of the Account, or by any person acting on their behalf, regarding:
 - (i) any requests to withdraw any securities or cash from the Account; and/or
 - (ii) any requests to dispose of or deal with any securities or cash which concern those assets subject to the prohibitions in (a) above.
2. Notwithstanding paragraph 1, the Specific Corporation may deal with or dispose of securities in the Account to cover the negative cash balance in the Account. The cash and securities remaining in the Account following the disposal of securities shall remain in the Account and be subject to the prohibitions in paragraph 1 above.
 3. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeal Tribunal for a review of the Commission’s decision to impose the

prohibition and/or requirement imposed by this Notice. Such application must be made within twenty-one days after the day on which this Notice is served on the Specified Corporation. Further, under section 208 of the SFO, the Specified Corporation may apply to the Commission for the prohibition and/or requirement imposed by this Notice to be withdrawn, substituted or varied.

This Notice takes effect at the time of service upon the Specified Corporation.

Date this 24th day of June 2019

For and on behalf of the Commission

Julia Leung
Acting Chief Executive Officer

NOTICE UNDER SECTIONS 204 AND 205 OF THE SECURITIES AND
FUTURES ORDINANCE (Chapter 571) (the ‘SFO’)

It appears to the Securities and Futures Commission (the “**Commission**”), for the reasons set out in the Statement of Reasons of this date, that the Commission should exercise the powers conferred by sections 204 and 205 of the SFO.

THE COMMISSION GIVES NOTICE THAT:

Except with the Commission’s prior written consent, such consent to be granted by any two Executive Directors of the Commission:

1. Under sections 204(1)(a) and 205(1) of the SFO, **HGNH International Securities Co., Limited** (the “**Specified Corporation**”) is, in respect of the following accounts (the “**Accounts**”):

Account no.
180210529
180210530
180210532
180210533

- (a) subject to paragraph 2, prohibited from disposing of or dealing with, assisting, counselling or procuring another person to dispose of or deal with, any assets in any way in the Accounts, including:
 - (i) entering into transactions for any securities;
 - (ii) processing any withdrawals or transfers of securities and/or cash or any transfers of money arising from the disposal of securities;
 - (iii) disposing of or dealing with any securities or cash on the instructions of any authorised person(s) of the Accounts or by any person(s) acting on their behalf;
 - (iv) assisting another person to dispose of any relevant property or deal with any relevant property in a specified manner;
- (b) required to notify the Commission immediately upon receipt of any instruction from the authorised person(s) of the Accounts, or by any person(s) acting on their behalf, regarding:
 - (i) any requests to withdraw any securities or cash from the Accounts; and/or
 - (ii) any requests to dispose of or deal with any securities or cash which concern those assets subject to the prohibitions in (a) above.
2. Notwithstanding paragraph 1, the Specified Corporation may deal with or dispose of securities in the Accounts to cover the negative cash balance in the Accounts. The

cash and securities remaining in the Accounts following the disposal of securities shall remain in the Accounts and be subject to the prohibitions in paragraph 1 above.

3. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeal Tribunal for a review of the Commission's decision to impose the prohibition and/or requirement imposed by this Notice. Such application must be made within twenty-one days after the day on which this Notice is served on the Specified Corporation. Further, under section 208 of the SFO, the Specified Corporation may apply to the Commission for the prohibition and/or requirement imposed by this Notice to be withdrawn, substituted or varied.

This Notice takes effect at the time of service upon the Specified Corporation.

Dated this 24th day of June 2019

For and on behalf of the Commission

Julia Leung
Acting Chief Executive Officer

NOTICE UNDER SECTIONS 204 AND 205 OF THE SECURITIES AND
FUTURES ORDINANCE (Chapter 571) (the ‘SFO’)

It appears to the Securities and Futures Commission (the “**Commission**”), for the reasons set out in the Statement of Reasons of this date, that the Commission should exercise the powers conferred by sections 204 and 205 of the SFO.

THE COMMISSION GIVES NOTICE THAT:

Except with the Commission’s prior written consent, such consent to be granted by any two Executive Directors of the Commission:

1. Under sections 204(1)(a) and 205(1) of the SFO, **HGNH International Securities Co., Limited** (the “**Specified Corporation**”) is, in respect of the following accounts (the “**Accounts**”):

Account no.
180210518
180210519

- (a) subject to paragraph 2, prohibited from disposing of or dealing with, assisting, counselling or procuring another person to dispose of or deal with, any assets in any way in the Accounts, including:
 - (i) entering into transactions for any securities;
 - (ii) processing any withdrawals or transfers of securities and/or cash or any transfers of money arising from the disposal of securities;
 - (iii) disposing of or dealing with any securities or cash on the instructions of any authorized person(s) of the Accounts or by any person(s) acting on their behalf;
 - (iv) assisting another person to dispose of any relevant property or deal with any relevant property in a specified manner;
 - (b) required to notify the Commission immediately upon receipt of any instruction from the authorized person(s) of the Accounts, or by any person(s) acting on their behalf, regarding:
 - (i) any requests to withdraw any securities or cash from the Accounts; and/or
 - (ii) any requests to dispose of or deal with any securities or cash which concern those assets subject to the prohibitions in (a) above.
2. Notwithstanding paragraph 1, the Specific Corporation may deal with or dispose of securities in the Accounts to cover the negative cash balance in the Accounts. The cash and securities remaining in the Accounts following the disposal of securities shall remain in the Accounts and be subject to the prohibitions in paragraph 1 above.

3. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeal Tribunal for a review of the Commission's decision to impose the prohibition and/or requirement imposed by this Notice. Such application must be made within twenty-one days after the day on which this Notice is served on the Specified Corporation. Further, under section 208 of the SFO, the Specified Corporation may apply to the Commission for the prohibition and/or requirement imposed by this Notice to be withdrawn, substituted or varied.

This Notice takes effect at the time of service upon the Specified Corporation.

Date this 24th day of June 2019

For and on behalf of the Commission

Julia Leung
Acting Chief Executive Officer

NOTICE UNDER SECTIONS 204 AND 205 OF THE SECURITIES AND
FUTURES ORDINANCE (Chapter 571) (the ‘SFO’)

It appears to the Securities and Futures Commission (the “**Commission**”), for the reasons set out in the Statement of Reasons of this date, that the Commission should exercise the powers conferred by sections 204 and 205 of the SFO.

THE COMMISSION GIVES NOTICE THAT:

Except with the Commission’s prior written consent, such consent to be granted by any two Executive Directors of the Commission:

1. Under sections 204(1)(a) and 205(1) of the SFO, **Yue Xiu Securities Company Limited** (the “**Specified Corporation**”) is, in respect of the following accounts (the “**Accounts**”):

Account no.
100015315-88015315
100015317-88015317

- (a) subject to paragraph 2, prohibited from disposing of or dealing with, assisting, counselling or procuring another person to dispose of or deal with, any assets in any way in the Accounts, including:
 - (i) entering into transactions for any securities;
 - (ii) processing any withdrawals or transfers of securities and/or cash or any transfers of money arising from the disposal of securities;
 - (iii) disposing of or dealing with any securities or cash on the instructions of any authorised person(s) of the Accounts or by any person(s) acting on their behalf;
 - (iv) assisting another person to dispose of any relevant property or deal with any relevant property in a specified manner;
 - (b) required to notify the Commission immediately upon receipt of any instruction from the authorised person(s) of the Accounts, or by any person(s) acting on their behalf, regarding:
 - (i) any requests to withdraw any securities or cash from the Accounts; and/or
 - (ii) any requests to dispose of or deal with any securities or cash which concern those assets subject to the prohibitions in (a) above.
2. Notwithstanding paragraph 1, the Specified Corporation may deal with or dispose of securities in the Accounts to cover the negative cash balance in the Accounts. The cash and securities remaining in the Accounts following the disposal of securities shall remain in the Accounts and be subject to the prohibitions in paragraph 1 above.

3. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeal Tribunal for a review of the Commission's decision to impose the prohibition and/or requirement imposed by this Notice. Such application must be made within twenty-one days after the day on which this Notice is served on the Specified Corporation. Further, under section 208 of the SFO, the Specified Corporation may apply to the Commission for the prohibition and/or requirement imposed by this Notice to be withdrawn, substituted or varied.

This Notice takes effect at the time of service upon the Specified Corporation.

Dated this 24th day of June 2019

For and on behalf of the Commission

Julia Leung
Acting Chief Executive Officer

NOTICE UNDER SECTIONS 204 AND 205 OF THE SECURITIES AND
FUTURES ORDINANCE (Chapter 571) (the ‘SFO’)

It appears to the Securities and Futures Commission (the “**Commission**”), for the reasons set out in the Statement of Reasons of this date, that the Commission should exercise the powers conferred by sections 204 and 205 of the SFO.

THE COMMISSION GIVES NOTICE THAT:

Except with the Commission’s prior written consent, such consent to be granted by any two Executive Directors of the Commission:

1. Under sections 204(1)(a) and 205(1) of the SFO, **Yue Xiu Securities Company Limited** (the “**Specified Corporation**”) is, in respect of the following account (the “**Account**”):

Account no.	100015400-88015400
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- (a) subject to paragraph 2, prohibited from disposing of or dealing with, assisting, counselling or procuring another person to dispose of or deal with, any assets in any way in the Account, including:
 - (i) entering into transactions for any securities;
 - (ii) processing any withdrawals or transfers of securities and/or cash or any transfers of money arising from the disposal of securities;
 - (iii) disposing of or dealing with any securities or cash on the instructions of any authorized person of the Account or by any person acting on their behalf;
 - (iv) assisting another person to dispose of any relevant property or deal with any relevant property in a specified manner;
 - (b) required to notify the Commission immediately upon receipt of any instruction from the authorized person of the Account, or by any person acting on their behalf, regarding:
 - (i) any requests to withdraw any securities or cash from the Account; and/or
 - (ii) any requests to dispose of or deal with any securities or cash which concern those assets subject to the prohibitions in (a) above.
2. Notwithstanding paragraph 1, the Specific Corporation may deal with or dispose of securities in the Account to cover the negative cash balance in the Account. The cash and securities remaining in the Account following the disposal of securities shall remain in the Account and be subject to the prohibitions in paragraph 1 above.
 3. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeal Tribunal for a review of the Commission’s decision to impose the prohibition and/or requirement imposed by this Notice. Such application must be

made within twenty-one days after the day on which this Notice is served on the Specified Corporation. Further, under section 208 of the SFO, the Specified Corporation may apply to the Commission for the prohibition and/or requirement imposed by this Notice to be withdrawn, substituted or varied.

This Notice takes effect at the time of service upon the Specified Corporation.

Date this 24th day of June 2019

For and on behalf of the Commission

Julia Leung
Acting Chief Executive Officer

NOTICE UNDER SECTIONS 204 AND 205 OF THE SECURITIES AND
FUTURES ORDINANCE (Chapter 571) (the ‘SFO’)

It appears to the Securities and Futures Commission (the “**Commission**”), for the reasons set out in the Statement of Reasons of this date, that the Commission should exercise the powers conferred by sections 204 and 205 of the SFO.

THE COMMISSION GIVES NOTICE THAT:

Except with the Commission’s prior written consent, such consent to be granted by any two Executive Directors of the Commission:

1. Under sections 204(1)(a) and 205(1) of the SFO, **Zhongtai International Securities Limited** (the “**Specified Corporation**”) is, in respect of the following account (the “**Account**”):

Account no.
880371000311-10025136

- (a) subject to paragraph 2, prohibited from disposing of or dealing with, assisting, counselling or procuring another person to dispose of or deal with, any assets in any way in the Account, including:
 - (i) entering into transactions for any securities;
 - (ii) processing any withdrawals or transfers of securities and/or cash or any transfers of money arising from the disposal of securities;
 - (iii) disposing of or dealing with any securities or cash on the instructions of any authorised person of the Account or by any person acting on their behalf;
 - (iv) assisting another person to dispose of any relevant property or deal with any relevant property in a specified manner;
 - (b) required to notify the Commission immediately upon receipt of any instruction from the authorised person of the Account, or by any person acting on their behalf, regarding:
 - (i) any requests to withdraw any securities or cash from the Account; and/or
 - (ii) any requests to dispose of or deal with any securities or cash which concern those assets subject to the prohibitions in (a) above.
2. Notwithstanding paragraph 1, the Specified Corporation may deal with or dispose of securities in the Account to cover the negative cash balance in the Account. The cash and securities remaining in the Account following the disposal of securities shall remain in the Account and be subject to the prohibitions in paragraph 1 above.
 3. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeal Tribunal for a review of the Commission’s decision to impose the

prohibition and/or requirement imposed by this Notice. Such application must be made within twenty-one days after the day on which this Notice is served on the Specified Corporation. Further, under section 208 of the SFO, the Specified Corporation may apply to the Commission for the prohibition and/or requirement imposed by this Notice to be withdrawn, substituted or varied.

This Notice takes effect at the time of service upon the Specified Corporation.

Dated this 24th day of June 2019

For and on behalf of the Commission

Julia Leung
Acting Chief Executive Officer

NOTICE UNDER SECTIONS 204 AND 205 OF THE SECURITIES AND
FUTURES ORDINANCE (Chapter 571) (the ‘SFO’)

It appears to the Securities and Futures Commission (the “**Commission**”), for the reasons set out in the Statement of Reasons of this date, that the Commission should exercise the powers conferred by sections 204 and 205 of the SFO.

THE COMMISSION GIVES NOTICE THAT:

Except with the Commission’s prior written consent, such consent to be granted by any two Executive Directors of the Commission:

1. Under sections 204(1)(a) and 205(1) of the SFO, **Zhongtai International Securities Limited** (the “**Specified Corporation**”) is, in respect of the following accounts (the “**Accounts**”):

Account no.
880371000310-10025133
880020002589-10025130
880027000469-10025132
880028000233-10025160
880027000470-10025137
880371000309-10025135
880020002590-10025138

- (a) subject to paragraph 2, prohibited from disposing of or dealing with, assisting, counselling or procuring another person to dispose of or deal with, any assets in any way in the Accounts, including:
 - (i) entering into transactions for any securities;
 - (ii) processing any withdrawals or transfers of securities and/or cash or any transfers of money arising from the disposal of securities;
 - (iii) disposing of or dealing with any securities or cash on the instructions of any authorized person(s) of the Accounts or by any person(s) acting on their behalf;
 - (iv) assisting another person to dispose of any relevant property or deal with any relevant property in a specified manner;
- (b) required to notify the Commission immediately upon receipt of any instruction from the authorized person(s) of the Accounts, or by any person(s) acting on their behalf, regarding:
 - (i) any requests to withdraw any securities or cash from the Accounts; and/or

- (ii) any requests to dispose of or deal with any securities or cash which concern those assets subject to the prohibitions in (a) above.
- 2. Notwithstanding paragraph 1, the Specific Corporation may deal with or dispose of securities in the Accounts to cover the negative cash balance in the Accounts. The cash and securities remaining in the Accounts following the disposal of securities shall remain in the Accounts and be subject to the prohibitions in paragraph 1 above.
- 3. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeal Tribunal for a review of the Commission's decision to impose the prohibition and/or requirement imposed by this Notice. Such application must be made within twenty-one days after the day on which this Notice is served on the Specified Corporation. Further, under section 208 of the SFO, the Specified Corporation may apply to the Commission for the prohibition and/or requirement imposed by this Notice to be withdrawn, substituted or varied.

This Notice takes effect at the time of service upon the Specified Corporation.

Date this 24th day of June 2019

For and on behalf of the Commission

Julia Leung
Acting Chief Executive Officer