

**Notice under Sections 204 and 205 of the
Securities and Futures Ordinance
Cap.571 (the "SFO")**

It appears to the Securities and Futures Commission (the "**Commission**") that it 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, Shenwan Hongyuan Securities (H.K.) Limited (the "**Specified Corporation**") is, in respect of the following client accounts:

| Account number | Market Value of the relevant share balance as at 19 August 2020 |
|-----------------|---|
| 1. 0440828-00-2 | HK\$518,700.00 |
| 2. 0444068-01-2 | HK\$3,811,020.00 |
| 3. 0456003-01-2 | HK\$513,000.00 |
| 4. 0191289-01-2 | HK\$3,013,020.00 |
| Total | HK\$7,855,740.00 |

(hereinafter collectively referred to as the "**Accounts**")

- (a) prohibited from disposing of or dealing with, assisting, counselling or procuring another person to dispose of or deal with the shares of a certain corporation listed on the Stock Exchange of Hong Kong Limited (the "**Securities**") in the above Accounts, including:
 - (i) entering into transactions in respect of the Securities;
 - (ii) processing any withdrawals or transfers of the Securities and/or cash or any transfers of money arising from the disposal of Securities; and
 - (iii) disposing of or dealing with the Securities on the instructions of any authorized person of the Accounts or any person acting on their behalf;
- (b) required to notify the Commission immediately upon receipt of any instruction(s) from the authorized person of the Accounts, or by any person acting on his/her behalf, regarding:
 - (i) any requests to withdraw the Securities from the Accounts; and/or
 - (ii) any requests to dispose of or deal with the Securities in the Accounts.

2. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeals Tribunal for a review of the Commission's decision to impose the prohibitions and/or requirements specified in 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Specified Corporation may apply to the Commission for the prohibition and/or requirement specified in this Notice to be withdrawn, substituted or varied.

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

Dated this 2nd day of September 2020

For and on behalf of the Securities and Futures Commission

Ashley Alder
Chief Executive Officer