

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

It appears to the Securities and Futures Commission (“**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, **Enlighten Securities Limited** (“**Specified Corporation**”) is, in respect of the following accounts:

No.	Account number	Cash balance as at 30 October 2020	Securities balance as at 30 October 2020
1	894329-S (“1 st account”)	HK\$46,483,305.7	HK\$1,151,980
2	894335-S (“2 nd account”)	HK\$94,955,642.9	HK\$41,637,550

(hereinafter collectively referred to as the “**Accounts**”)

- (a) subject to sub-paragraph (b) below, prohibited from disposing of or dealing with, or assisting, counselling or procuring another person to dispose of or deal with, any assets in any way in the Accounts up to the maximum value of HK\$48,100,820 for the 1st account and HK\$184,788,005 for the 2nd account, including:
- (i) entering into transactions in respect of any securities;
 - (ii) processing any withdrawals or transfers of securities and/or cash or any transfers of money arising from the disposal of securities; and
 - (iii) disposing of or dealing with any securities and/or cash on the instructions of any authorized person of the Accounts or any person acting on their behalf; and
- (b) required to deal with any securities and/or cash in the Accounts in a specified manner, namely, the Specified Corporation is required to notify and consult the Commission immediately upon receipt of any instruction(s) from the authorized person of the Accounts, or by any person(s) acting on his/her/their behalf, to dispose of or deal with any securities and/or cash in the Accounts.
2. 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 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 prohibitions and/or requirements 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 9th day of February 2021

For and on behalf of the Commission

Ashley Alder
Chief Executive Officer

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

It appears to the Securities and Futures Commission ("**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:

- Under sections 204(1)(a) and 205(1) of the SFO, **Futu Securities International (Hong Kong) Limited** ("**Specified Corporation**") is, in respect of the following account (the "**Account**"):

Account number	Cash balance as at 30 October 2020	Securities balance as at 30 October 2020
1001 1003 2040 7110	HK\$10,462,442.73	HK\$8,592,988.2

- subject to sub-paragraph (b) below, prohibited from disposing of or dealing with, or assisting, counselling or procuring another person to dispose of or deal with, any assets in any way in the Account **up to the value of HK\$16,562,150**, including:
 - entering into transactions in respect of any securities;
 - processing any withdrawals or transfers of securities and/or cash or any transfers of money arising from the disposal of securities; and
 - disposing of or dealing with any securities and/or cash on the instructions of any authorized person of the Account or any person acting on their behalf; and
 - required to deal with any securities and/or cash in the Account in a specified manner, namely, the Specified Corporation is required to notify and consult the Commission immediately upon receipt of any instruction(s) from the authorized person(s) of the Account, or by any person acting on her behalf, to dispose of or deal with any securities and/or cash in the Account.
- 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 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 prohibitions and/or requirements 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 9th day of February 2021

For and on behalf of the Commission

Ashley Alder
Chief Executive Officer