

G.N. 222

SECURITIES AND FUTURES ORDINANCE (Chapter 571)  
(‘the Ordinance’)

(Notice under section 134(6)(a))

The Securities and Futures Commission has, pursuant to its power under section 134(1) (‘Modification or waiver of requirements’) of the Ordinance, granted a modification to the following person in relation to a condition imposed under section 126 of the Ordinance.

<i>Name</i>	<i>Date of grant of modification</i>
Chau Shing Yim, David (‘Chau’)	30 December 2005

*Description of the modification granted*

Revoke the following condition which has been imposed on the licence granted to Chau on 30 October 2003:—

*‘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 Hong Kong Codes on Takeovers and Mergers and Share Repurchases issued by the Securities and Futures Commission, act together with another adviser (to the client) not subject to this condition.’*

*Reasons for grant of the modification*

The Commission has granted the modification described above to Chau, having been satisfied by Chau that he has the necessary experience to provide advice, in a sole capacity, on securities in relation to matters/transactions falling within the ambit of the Hong Kong Codes on Takeovers and Mergers and Share Repurchases, and that granting the modification will not prejudice the interest of the investing public.

13 January 2006

Judith YUEN Senior Manager (*Licensing*),  
Securities and Futures Commission