

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

It appears to the Securities and Futures Commission (Commission) that the Commission should exercise the powers conferred by sections 204 and 205 of the SFO.

THE COMMISSION HEREBY GIVES NOTICE THAT:—

Except with the prior written consent of the Commission, which consent is to be granted by any two Executive Directors of the Commission:—

1. Under sections 204(1)(a) and 205(1) of the SFO, BOCI Securities Limited (Specified Corporation) is, in respect of two specified client accounts:—
  - (a) prohibited from:—
    - (i) entering into any transaction concerning the shares of a Company listed in Hong Kong (Listed Securities) up to specified amounts, including the following:—
      - processing any withdrawals of the Listed Securities; and/or
      - any transfer of money arising from the disposal or otherwise of the Listed Securities;
    - (ii) disposing of or dealing with the Listed Securities up to specified amounts on the instructions of the two specified clients and/or by any person acting on their behalf; and
  - (b) required to notify the Commission immediately upon receipt of any instructions concerning the Listed Securities from the two specified clients and/or any person acting on their behalf, regarding:—
    - (i) any requests to withdraw the Listed Securities and/or to transfer monies arising from the disposal or otherwise of the Listed Securities; and/or
    - (ii) any requests to dispose of or deal with the Listed Securities.
2. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeals Tribunal for a review of the decision to impose the prohibition and/or requirement imposed by this Notice. That 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 to withdraw, substitute or vary the prohibition and/or requirement imposed by this Notice.

This Notice takes effect at the time it is served on the Specified Corporation.

19 September 2016

For and on behalf of Securities and Futures Commission  
Ashley ALDER *Chief Executive Officer*