



**SECURITIES AND
FUTURES COMMISSION**
證券及期貨事務監察委員會

**LICENCE UNDER THE
SECURITIES AND FUTURES ORDINANCE, CAP. 571**

牌照《證券及期貨條例》(香港法例第 571 章)

Name of corporation **Zircon Securities (HK) Limited**
持牌法團 卓銳證券(香港)有限公司

Central entity no. **BRE865**
中央編號

Date of Issue **24 July 2024**
簽發日期 2024 年 7 月 24 日

The above-mentioned person is licensed to carry on the following regulated activities:
上述法團已獲發牌進行以下受規管活動:

Type 1: Dealing in Securities	第 1 類: 證券交易
Type 2: Dealing in Futures Contracts	第 2 類: 期貨合約交易
Type 4: Advising on Securities	第 4 類: 就證券提供意見
Type 5: Advising on Futures Contracts	第 5 類: 就期貨合約提供意見
Type 9: Asset Management	第 9 類: 提供資產管理

This licence is granted on the following conditions:
此牌照須受以下條件規限:

- 1 For Type 9 regulated activity, the licensee shall only carry on a business in the management of:
(a) discretionary accounts; and
(b) collective investment schemes that are offered to professional investors only.
The terms "collective investment scheme" and "professional investor" are defined under the Securities and Futures Ordinance and its subsidiary legislation (where applicable).

就第 9 類受規管活動而言，持牌人只可經營下列業務：
(a) 管理委託帳戶；及
(b) 管理只向專業投資者作出要約的集體投資計劃。
“集體投資計劃”及“專業投資者”的定義在《證券及期貨條例》及其附屬法例（如適用的話）的條文內界定。



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- 2 With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services through operating an omnibus account established and maintained with an SFC-licensed platform. The term “SFC-licensed platform” refers to a virtual asset trading platform operator which is licensed by the SFC pursuant to section 116 of the Securities and Futures Ordinance and/or section 53ZRK of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (AMLO). The term “virtual asset” is defined in section 53ZRA of the AMLO.
- 3 With respect to providing virtual asset dealing services, the licensee or registered institution shall only provide such services to professional investors which are, and remain at all times, its clients in respect of its business in Type 1 regulated activity (dealing in securities). The term “professional investor” is defined in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (SFO) together with the Securities and Futures (Professional Investor) Rules. The term “dealing in securities” is specified in Part 2 of Schedule 5 to the SFO. The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.
- 4 With respect to providing virtual asset dealing services, the licensee or registered institution shall comply with the “Terms and conditions for licensed corporations or registered institutions providing virtual asset dealing services under an omnibus account arrangement” (as amended from time to time). The term “virtual asset” is defined in section 53ZRA of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance.

就提供虛擬資產交易服務而言，持牌人或註冊機構只可透過操作在證監會持牌平台上開立及維持的綜合帳戶來提供有關服務。“證監會持牌平台”一詞指依據《證券及期貨條例》第 116 條及／或《打擊洗錢及恐怖分子資金籌集條例》（“《打擊洗錢條例》”）第 53ZRK 條，獲證監會發牌的虛擬資產交易平台營運者。“虛擬資產”一詞的定義載於《打擊洗錢條例》第 53ZRA 條。

就提供虛擬資產交易服務而言，持牌人或註冊機構只可向本身既是專業投資者並同時一直都是其第 1 類受規管活動（證券交易）業務的客戶的人提供有關服務。“專業投資者”一詞的定義載於《證券及期貨條例》附表 1 第 1 部第 1 條及《證券及期貨（專業投資者）規則》。“證券交易”一詞於《證券及期貨條例》附表 5 第 2 部內指明。“虛擬資產”一詞的定義載於《打擊洗錢及恐怖分子資金籌集條例》第 53ZRA 條。

就提供虛擬資產交易服務而言，持牌人或註冊機構應遵從“適用於在綜合帳戶安排下提供虛擬資產交易服務的持牌法團或註冊機構的條款及條件”（經不時修訂）。“虛擬資產”一詞的定義載於《打擊洗錢及恐怖分子資金籌集條例》第 53ZRA 條。