

Summary of job duties and experience of YEUNG Yiu Bong Anthony (SFC: ADG059) whilst at Fosun Hani Securities Limited (previously known as Hani Securities (H.K.) Limited), and also at Apastron Capital Limited. Kindly note that the following is not a complete and exhaustive list of duties previously performed:

Responsible Officer - RA1 Dealing in Securities

- I created operational policies and procedures to ensure that, at all times, there were satisfactory internal control procedures together with financial and operational capabilities in place so as to protect the company, the clients and other registered persons from financial loss arising from theft, fraud, and other dishonest acts, professional misconduct or omissions.
- I defined control procedures to ensure proper reporting lines and assigned reporting responsibilities to the appropriate staff.
- I defined appropriate policies for segregation of duties including but not limited to Chinese Wall access control as well as personnel segregation between front and back office.
- I created policies and procedures pertaining to authorisations and approvals, such as maker and checker as well as dual signing authority of key positions.
- I supervised daily settlement functions and authorised CCASS settlements, ensuring appropriate segregation of securities settlement account.
- I supervised and monitored daily margin requirements and ensured appropriate margin calls were made in a timely manner and suitable records were kept. Also, I monitored on a daily basis the market risk, liquidity risk and operational risk which may affect the company.
- I manage and monitor trades of discretionary clients, their portfolio, investment appetite and devise investment strategy.
- On a daily basis, together with the financial controller, we monitored liquidity and settlement requirement to ensure strict compliance with the Financial Resource Rules.
- On a daily basis, together with other management staff, we continuously in real-time monitored trades conducted by our dealers on behalf of clients, and orders placed by our dealers' related accounts to guard against possible conflicts. The monitoring also included real-time credit control with pre-set credit policy for each client.
- I supervised and ensured that client's order taking and routing were properly recorded and that appropriate audit trail was maintained and kept.

- I provided or organised appropriate operational training as well as periodic Anti-Money Laundering training to staff, including but not limited to continuous Customer Due Diligence.
- I supervised account opening and documentation of clients, and ensured that the relevant Account Executive had made appropriate risk disclosure and had conducted client's investment appetite enquiry as well as KYC questionnaire.
- I supervised compliance functions of the company and liaised with the SFC and SEHK in terms of matters relating to intermediary supervision, enforcement, operation and, last but not least, settlement matters.
- I supervised and tested the SEHK's AMS3/BSS system when it was first implemented, as well as being the first 100 or so firms which went live in the first batch of Shanghai-Hong Kong Stock Connect.
- Together with the Information Technology department, we ensured that all data are backed up on a daily basis, and to ensure business continuity procedure are in place including having an off-site backup for all data.
- For clients who were Professional Clients ("PI"), I ensured that such classification as PI was appropriate and that relevant information was obtained to support such classification.

Responsible Officer - RA4 Advising in Securities

- I supervised the provision of investment advisory service given to a non-authorised fund Asia Value Fund (<http://www.asia-value.com/>).
- I supervised and ensured provision of relevant documentation to clients regarding the rationale of the underlying investment advice or recommendations made, considering the client's investment experience and objectives, risk appetite and financial position.
- I supervised the daily market commentary issued by the firm on a daily basis.
- I established policies and procedures regarding suitability of investment advice and preparation and retention of relevant documentation supporting such recommendations and advice given.

Responsible Officer - RA6 Advising in Corporate Finance

- I negotiated and performed many corporate finance advisory services given to a variety of clients some of which are listed separately under file “Anthony - Past Corp Fin & Placements” attached herewith.
- I created appropriate policies and procedures for this regulated activity ensuring adherence to, among other codes and rules, Corporate Finance Adviser Code of Conduct. I also established comprehensive written compliance procedures addressing all applicable regulatory requirements.
- I provided or ensured appropriate training to relevant staff regarding integrity as well as conflict of interest when providing corporate advisory service; and took all reasonable steps to avoid situations that were likely to involve a conflict of interest. I also ensured strict compliance and monitoring of all personal accounts and proprietary dealings in securities and derivatives by relevant persons and ensured that no dealings were related to securities listed in the watch list and restricted list.
- I ensured that there was an effective Chinese Wall policy, such as access controls, to prevent the flow of information that may be of confidential or price sensitive nature between the corporate finance activities and the other business activities.
- I ensured that proper books and records of advisory work performed were maintained, and that proper trail of work done were kept.
- I liaised with listed companies to discuss their financial requirements and provided financial advice on various aspects of raising capital including but not limited to the issuance of debt securities to Professional Investors, as well as equities, rights, warrants, convertible notes, etc.
- Together with other licensed personnel, we provided advice on mergers and acquisition to listed companies as well as introducing projects of private equity and investment nature.
- Together with other licensed personnel, we provided advice on corporate restructuring, financial advice, as well as pre-IPO advice assisting the company to address and prepare relevant information for sponsor’s due diligence work.