



COMPLIANCEONE CONSULTING LIMITED

天匯合規顧問有限公司 企業簡介

牌照申請

持續合規

內部審查

人才招聘

序言

扎根香港 放眼世界

我們致力為各類的金融機構客戶提供多元化的合規顧問服務，協助客戶有效申請金融經營牌照，確保客戶營運合乎監管機構的法規。

不論身在何處，我們都會堅守承諾，為每一位客戶和合作夥伴創造無限可能。



BRINGING THE WORLD
TO HONG KONG

目錄

01 公司背景

02 公司優勢

03 業務活動

- I. 證監會持牌法團申請
- II. 金錢服務經營者(MSO)牌照申請
- III. 其他金融牌照申請
- IV. 持續合規支援服務(持牌法團)
- V. 持續合規支援服務(保險中介人公司)
- VI. 金融生意(連牌照)買賣
- VII. 網上持續培訓課程(CPT)
- VIII. 合規科技應用
- IX. 其他專業服務

04 團隊介紹

05 合作夥伴

06 客戶名單

公司背景

2017

成立天匯合規顧問有限公司

致力為各類型的金融機構客戶提供多元化的合規顧問服務

在過去8年時間內，我們的團隊已累積了許多為客戶成功申請各類型證監會牌照的案例

- 第1類受規管活動 (證券交易)
- 第2類受規管活動 (期貨合約交易)
- 第4類受規管活動 (就證券提供意見)
- 第5類受規管活動 (就期貨合約提供意見)
- 第7類受規管活動 (提供自動化交易服務)
- 第9類受規管活動 (提供資產管理)
- 第10類受規管活動 (提供信貸評級服務)、以及香港聯交所交易權和期交所交易權的申請。



100+

完成各類項目數百個

- 例行合規檢查
- 合規健康檢查
- 打擊洗錢外部審計和建立內部控制

天匯合規的專業團隊擅於運用從持牌機構獲得的實際營運經驗，結合豐富的合規知識，竭誠為客戶公司提供具體的合規建議和營運解決方案；協助客戶公司確保符合香港本地的監管法規之餘，亦能提升整體營運效率。

我們一直致力為客戶提供最合適和最全面的諮詢服務，全為協助客戶更有效地獲得證監會的經營牌照。我們的主要客戶包括來自中港兩地的個人投資者及金融機構公司；特別自滬港通及深港通開通以來，關於成立持牌機構及合規顧問服務的需求與日俱增。天匯合規的專業團隊憑藉豐富的合規知識及實際營運經驗，深入了解並開拓尊貴客戶不同類型的需求，實是我們團隊的驕傲。



公司優勢

解決方案

天匯合規已經服務過數百個客戶，能為客戶提供一站式的合規解決方案。

核心優勢

我們的團隊擁有豐富的金融行業實踐經驗，真正了解持牌法團和金融機構的實際運營和管理，能提出最適合客戶的策略。我們明白客戶的需要，與客戶之間也是互相了解的。

服務優勢

為滿足客戶多方面的需求，除了牌照顧問服務之外，我們亦會因應牌照申請的其他事項提供相關的專業支援服務。除了我們自身的專業團隊之外，我們亦不時與各界別的专业人士合作達至完成客戶委托我們的重任。從公司註冊、人才招聘、會計服務、申請工作簽證、以至合規諮詢服務，我們均能提供一站式的解決方案，天匯合規始終如一為客戶提供最全面的服務。

業務活動

I. 證監會牌照申請

天匯合規專門為香港各類金融機構提供全面的合規諮詢服務，為有意於香港成立持牌機構提供受規管活動的金融服務公司及個人提供證監會牌照申請的顧問服務。為提高整個申請程序的效率，我們特設免費前期諮詢及成功批核後持續的支援服務，為客戶提供最全面的合規保障。

我們的專業團隊包括持牌機構的負責人員和合規人員、前任證監會的發牌科經理、香港高等法院非執業大律師、以及前任廉政公署調查主任。

■ 憑藉專業知識和實踐經驗，我們致力為以下證監會受規管活動提供申請牌照的顧問服務：





II. 金錢服務經營者(MSO)牌照申請



與其他金融行業一樣，自2019年以來**香港海關**不斷加大力度去收緊金錢服務經營者(MSO)的發牌條件。自此以來，香港的持牌金錢服務經營者的數目已由2020年初的**2500多間**下跌到現時的**1000多間**，數年內市場上足足消失了50%的持牌公司。根據我們的市場調查，大部份不能成功續牌的公司都是因為不能達到香港海關發布的發牌指引以及執行打擊洗錢的要求。



天匯合規的團隊憑藉在金融服務業的豐富經驗及專業的知識，把合規顧問服務引領至金錢服務經營者(MSO)的範疇，協助行業從業者在面對嚴格的規管環境下提升合規的水平，我們的團隊亦多次受海關關員讚賞，獲得了監管機構的認同。在過去短短數年，我們已協助處理**超過200宗**金錢服務經營者續領牌照或申請新牌照。



現時，我們已是香港市場佔有率最高的金錢服務經營者牌照顧問公司。

業務活動

III. 其他金融牌照申請



全方位的牌照申請服務

我們在專業合規服務領域有著多年經驗，積累了一定的行業口碑。近年業務拓展至保險經紀牌照申請、貴金屬及寶石交易商牌照申請及放債人牌照申請等其他領域，為客戶提供全方位的牌照申請服務。

服務全流程跟進

在申請過程中，我們會先為客戶進行深入的審查和評估，提供專業而有效的建議。後續我們會全程跟進，與監管機構緊密溝通協調，務求讓整個申請流程更加順利。



客戶多元拓展

我們一直致力於將合規顧問服務推廣到不同金融行業，協助各類客戶在合乎法規的前提下合法經營業務。



IV. 持續合規支援服務(持牌法團)

除了牌照申請的諮詢服務，我們更為客戶提供專業靈活、度身訂做的外部合規顧問服務，全面保障客戶日常營運中各方面的合規要求。

■ 我們外判合規服務的主要優點

-  享用專業的合規顧問團隊服務
-  提供富有彈性的服務條款
-  更具成本效益
-  獨立的外部審查及監察功能

■ 我們的服務範圍

- | | |
|-----------------------------|---------------------------------|
| 01. 實時的合規諮詢 | 06. 覆核財務資源規則 (FRR) 及申報 |
| 02. 認識你的客戶 (KYC) 服務 | 07. 證監會實地視察 (Inspection) / 模擬視察 |
| 03. 覆核內部文件/流程/政策 | 08. 證監會的發牌事宜及查詢 |
| 04. 定期的監管資訊更新 | 09. 網上持續培訓課程 (CPT) |
| 05. 反洗錢篩查 (運用東查查反洗錢/客戶管理系統) | 10. 重要事項提醒 |



業務活動

V. 持續合規支援服務 (持牌保險中介人公司)

由2019年9月23日起，**保險業監管局**（「**保監局**」）是唯一的規管機構負責監管香港所有保險中介人及處理相關的發牌工作。保監局負責監管保險中介人遵守《保險業條例》（**第41章**）內的條文及由保監局頒布的相關法規、規則、守則和指引。保監局亦負責促進和鼓勵保險中介人採用適當操守標準，並獲賦予發牌、查察、調查及採取紀律制裁的監管權力。

由2022年起，我們進一步擴展我們的業務範圍至到保險業的監管層面，自此香港的保險中介人公司都可以享用到天匯合規的專業合規服務。

■ 我們的服務範圍

01. 實時的合規諮詢

02. 反洗錢篩查 (運用東查查反洗錢/客戶管理系統)

03. 覆核內部文件/流程/政策

04. 定期的監管資訊更新

05. 合規衝擊分析

06. 模擬實地視察

07. 重要事項提醒

08. 全面合規檢討

09. 持牌員工發牌事宜

10. 更多...



VI. 金融生意(連牌照)買賣

天匯合規亦提供金融企業(連牌照)的買賣服務，協助有意經營業務的客戶在現有的營運和管理模式下順利接手目標企業。

我們會先深入了解買賣雙方的需求，並就交易細節進行協調。同時，我們會仔細審查和評估新股東的背景情況，就股權結構和交易流程等提出合規性建議。我們還會全程協助辦理相關的監管申請和文件準備工作，確保交易能夠順利完成。

業務活動

VII. 網上持續培訓課程(CPT)

從2022年開始，證監會更新了《持續培訓的指引》並開始規定持牌人士每個曆年參加至少10個小時的持續培訓(CPT)，當中包括：

- 01. 5個小時關於受規管活動
- 02. 2個小時關於職業道德或合規
- 03. 額外2個小時關於監管合規 (負責人員及主管人員適用)
- 04. 額外2.5個小時關於保薦人相關題材 (如適用)
- 05. 額外2.5個小時關於《收購及回購守則》(如適用)

■ 天匯合規設有我們的網上持續培訓平台，方便持牌人士隨時隨地參加持續培訓課程。課程內容會持續更新及修訂，課題包括：

-  持牌法團的持續責任
-  與客戶建立業務關係 - 盡職審查及打擊洗錢
-  打擊洗錢及恐怖分子資金籌集有關的法定要求
-  財務資源規則的指引
-  操守準則及員工交易守則
-  環境、社會和管治及可持續金融概況

請參考我們的網上持續培訓平台：<https://complianceone.thinkific.com/>

VIII. 合規上的科技應用



2023年，天匯合規集團的金融科技公司eDon Fintech Limited (“eDon”) 也正式成立。我們開發了東查查反洗錢客戶管理系統 (Screen-X AM-L/CRM Solutions) (“東查查”) 東查查提供全自動化的反洗錢系統以符合監管機構的要求，協助本地和全球的金融機構在營運上減低合規風險及提升營運的效率。客戶可以透過東查查有效地進行打擊洗錢篩查及客戶管理，提供優質可靠的合規策略。

金融機構可以根據《打擊洗錢及恐怖分子資金籌集條例》(第 615 章) 的要求，使用我們的金融科技產品對政治人物 (PEPs)、制裁、信譽風險、執法名單、和其他數據庫的資料進行篩查。

業務活動

IX. 其他專業服務

■ 為了達到一站式解決方案的服務承諾，天匯合規亦提供其他專業服務去滿足客戶對全方位專業服務的需求。



我們的牌照/註冊

號碼

職業介紹所牌照

72817

信託或公司服務提供者 (TCSP)

TC007463



團隊介紹



Tao Wong 合伙人

從業經驗

畢業於美國堪薩斯大學工商管理與金融學系的Tao Wong，於2007年加入海通國際（前稱大福證券）。通過在一家中國頂尖國際投行的多個部門工作，他積累了豐富的營運和管理經驗。2017年，Tao與Franklin Lee共同創辦了天匯合規。

Tao擁有近20年在金融和合規行業的經驗，對證監會、保監會、海關及其他政府機構對金融機構的合規要求有深入的了解。他能夠為客戶設計策略性規劃，提供量身訂做的合規建議和營運方案，並為金融機構提供專業見解。

在Tao的領導下，天匯合規的團隊已經服務過近千名來自不同背景的金融機構，包括國企、央企、券商、資產管理公司、上市公司、保險公司、財務公司、金錢服務經營者及貴金屬和寶石交易商等，對合規事務的認知非常深厚。

此外，他還參與創辦了合規科技的「萬利雲找換系統」和「東查查反洗錢／客戶管理系統」，為金融機構提供合規科技的解決方案。



Tommy Chung 合伙人及合規經理

從業經驗

于都柏林大學畢業後，Tommy Chung於2018年加入天匯合規。經過多年與持牌法團及證監會的實戰經驗，Tommy對《證券及期貨事務監察委員會持牌人或註冊人操守準則》、《適當人選的指引》、《證券及期貨條例》、《打擊洗錢及恐怖融資條例》、《基金經理操守準則》以及證監會的其他指引和守則等有著深入的理解。

Tommy特別擅長為持牌金融機構設計組織架構和制定運營流程，設定審查程式，評估政策和檔，並針對漏洞或不當作業方式提供改進措施，以優化管理和運營流程，對持牌法團的合規認知非常深厚。

至今，Tommy已帶領自己的合規團隊為數百名客戶提供合規支援，其中包括國企、央企、券商、資產管理公司和上市公司等。

他與團隊每天持續協助數十間持牌法團處理合規及運營上的日常事務，常與證監會溝通，參與證監會現場審查，並跟進證監會審查後要求的獨立協力廠商審查、牌照申請及其他金融牌照相關事項。

團隊介紹



Sam Huang 副董事總經理

從業經驗

Sam Huang於2008年完成北京大學法學課程畢業。20多年來從事各類型的企業，處理各類型金融服務，包括：私募股權投資、融資、管理及退出。

同時Sam亦有管理公司的經驗，曾經管理過100人的團隊，主要負責公司的總體規劃、架構設計、人員安排、公司日常行政及市場推廣。

Sam擁有中港兩地的背景，對中國內地及香港的金融業的發展有著深厚的瞭解和認識。



Edwin Chu 高級合規顧問（交易）

從業經驗

於香港大學經濟學碩士畢業後，Edwin Chu自1995年開始從事金融行業。他曾在多家持牌機構擔任高級管理人員的職務，並在運營、合規和風險管理方面積累了豐富的經驗。憑藉25年的實踐經驗，Edwin特別擅長運用其合規和營運知識於實際應用範疇。



Bobo Tang 高級顧問

從業經驗

2016年畢業於英格蘭赫爾大學，Bobo Tang在2020年加入天匯合規協助處理金錢服務經營者（MSO）及以其他牌照（包括放貸人牌照）的工作。Bobo現時亦同時主理向牌照申請人及其合規主任提供以《打擊洗錢及恐怖分子資金籌集條例》為題材的全面培訓及講解工作。

團隊介紹



Divina Yam 聯合合伙人及項目經理（信託公司及持牌保險經紀公司）

從業經驗

自澳洲麥格理大學MBA畢業後，Divina Yam投身於一家投資銀行作為IT團隊成員開始她的職業生涯，後來被提拔加入其公司的財務團隊擔任AVP一職，主要負責合規和內部監控；Divina在財務範疇上有多元化的發展，擅於創新改造地產和保險業務的整體營運模式，協助公司發展信託業務及私募基金的成立；並且特別精通企業融資的諮詢業務，例如存款證和債券等。同時多年來，她亦一直在證監會監管下的持牌法團擔任1、4、9號牌照的負責人員及核心職能主管（MIC）。從2018年開始，Divina亦同時擔任持牌保險經紀公司的首席法律及合規主管。



Ivan Lo 資深顧問（放貸人牌照）

從業經驗

Ivan Lo畢業於香港大學，早年從事測量專業工作，在2017-2021年間於註冊合規師公會（Institute of Compliance Officers）擔任執行幹事工作，協助公會拓展會務及協助持牌金融機構遵守合規要求；Ivan曾舉辦過50多次線上線下專業講座，及開發和舉辦了四屆各36小時的金融合規培訓課程，學生數目超過200人。

於2020年，Ivan成功與香港城市大學專業進修學院（SCOPE）合辦三個金融合規課程，獲香港資歷架構（HKQF）承認兩個課程為五級（大學程度）及一個課程為四級（副學士程度）。

除教育事業之外，Ivan現專注於向持牌放債人提供打擊洗錢制度的顧問及獨立審計服務，並已為數十家持牌放債人建立了打擊洗錢的內部制度，深受業界的認可。

團隊介紹

Franklin Lee 首席顧問

從業經驗

中國商業研究碩士畢業後，Franklin Lee自2003年起加入金融業，2011年起開始擔任數間持牌法團的負責人員。Franklin Lee於2017年與Tao Wong共同創辦天匯合規。從事了超過18年的金融業工作，Franklin對於持牌法團的實際營運積累了豐富的合規知識及管理經驗。

Juno Mak 資深顧問（會計及財政資源規則）

從業經驗

Juno Mak於2009年從香港中文大學獲得商業會計學位並於2014年從倫敦大學獲得法律學位。

Juno在過去的職業生涯當中，曾經在大型金融機構包括摩根大通以及在四大會計師行的安永會計師事務所擔任會計及稅務的專業人士。他亦曾發展了一套專為持牌法團而設的會計及財務申報系統。

作為香港會計師公會（HKICPA）會員，Juno現時協助數十間持牌法團處理會計及財政資源規則的事務工作。

Bosco Ho 資深顧問（虛擬資產部）

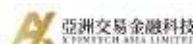
從業經驗

Bosco Ho畢業於香港城市大學並獲取金融工程的碩士學位。從2007年至2015年期間，他成功替匯豐銀行發展及管理俗稱黑池的場外交易平台，當中他更負責設計交易流向及開發交易指令執行邏輯。

從2020年開始，Bosco開始接觸不同國家地區對虛擬資產服務供應商（VASPs）發牌的監管要求，當中參與包括新加坡、加拿大、澳大利亞、巴哈馬、土耳其、以及英屬處女群島的發牌工作。

現時，Bosco亦同時在協助客戶向香港證監會申請第一類及第七類受規管活動並申請成為持牌虛擬貨幣交易所當中。

合作夥伴





主要客戶

我們的客戶 (持牌法團)

服務內容	第一類	第二類	第三類	第四類	第五類	第六類	第七類	第八類	第九類	第十類
法團牌照	12	4	0	14	3	0	0	0	14	1
持續合規	27	9	0	35	6	3	1	1	32	0
其他	10	1	0	9	2	1	0	0	7	0
總數	49	14	0	58	11	4	1	1	53	1

其他包括打擊洗錢審核, 證監會視察, 港交所視察, 視察後跟進, 內部監控檢討, 及合規評估。
(截至2024年6月30日)

星級客戶

感謝您成為我們的星級客戶，
 您的支援與信賴是我們前進的動力，期待為您
 持續提供超越期待的服務。

40⁺



主要客戶

成功申請證監會牌照的案例 (2019 年 1 月 1 日至今)

公司名稱	所獲取的牌照	背景	中央編號	成功申請時間
三泰富金融投資有限公司	1、4 及 9 號牌; 聯交所交易權	私募基金 (中資背景)	BNG583	八個月
承以信資產管理有限公司	4 及 9 號牌	家族辦公室 (中資背景)	BOD273	六個月
紫杉樹有限公司	1 及 2 號牌; 聯交所交易權; 期交所交易權	民營企業 (港資背景)	BHQ297	十個月
滙凱資產管理有限公司	4、5 及 9 號牌	民營企業 (港資背景)	BOP187	六個月
鼎鑫(證券)有限公司	1及 4 號牌; 聯交所交易權	民營企業 (中資背景)	BOS734	九個月
嘉謨證券有限公司	9 號牌	民營企業 (中資背景)	BLY061	五個月
北港資產管理有限公司	4 號牌	國有企業	BDD356	五個月
川國投資本有限公司	4 及 9 號牌	國有企業	BPG760	九個月
中國國際期貨(香港) 有限公司	2 號牌: 新大股東的申請	民營企業 (中資背景)	ALZ260	四個月

公司名稱	所獲取的牌照	背景	中央編號	成功申請時間
北港證券(香港)有限公司	1 號牌: 新大股東的申請	國有企業	BJG158	六個月
中一期貨有限公司	1、4 及 5 號牌; 聯交所交易權	民營企業 (中資背景)	BBH027	六個月
Orient Capital Asset Management Limited	4 及 9 號牌: 新大股東的申請	民營企業 (港資背景)	BIH410	一個月
中誠國際證券有限公司	1、4 及 9 號牌: 新大股東的申請	民營企業 (中資背景)	BHG531	四個月
益方資產管理有限公司	4 及 9 號牌	家族辦公室 (中資背景)	BPB952	六個月
中金匯理資產管理 (香港)有限公司	2 號牌	民營企業 (新加坡背景)	BOS872	八個月
加多利資產管理有限公司	9 號牌	民營企業 (港資背景)	BRH966]	七個月
長發資產管理有限公司	1 號牌 (介紹經紀)	民營企業 (中資背景)	BQA514	七個月
銀信資產管理有限公司	1 及 2 號牌 (執行經紀)	民營企業 (中資背景)	BFJ113	六個月
昇世資產管理有限公司	1、4 及 9 號牌	民營企業 (新加坡)	BRZ740	八個月

公司名稱	所獲取的牌照	背景	中央編號	成功申請時間
中富證券有限公司	9 號牌	民營企業 (中資背景)	BHF761	四個半月
匯知合創資產管理有限公司	4 及 9 號牌	民營企業 (中資背景)	BSF944	六個月
思源國際資產管理有限公司	9 號牌	民營企業 (港資背景)	BZ010	四個月
金奧證券有限公司	9 號牌	民營企業	BQW089	四個月
千興資本有限公司	1、4 及 9 號牌	民營企業 (中資背景)	BSS641	七個月
金裕富證券有限公司	4 號牌	民營企業 (港資背景)	BGQ899	六個月
中國國際期貨(香港)有限公司	新大股東的申請	民營企業 (中資背景)	ALZ260	四個月
香港匯尚證券國際有限公司	4 號牌	民營企業 (港資背景)	BSW160	四個月
中金匯理國際期貨有限公司	新大股東的申請	民營企業 (新加坡背景)	BOS872	四個月

公司名稱	所獲取的牌照	背景	中央編號	成功申請時間
環一資產管理有限公司	1、4 及 9 號牌 修改發牌規定	民營企業 (港資背景)	AFQ784	七個月
盈寶證券國際(香港)有限公司	1、4 及 9 號牌 修改發牌規定	民營企業 (中資背景)	BRG131	八個月
昇世資產管理有限公司	1、4 及 9 號牌 新大股東的申請	民營企業 (新加坡)	BRZ740	五個月
文笙國際資產管理有限公司	4 及 9 號牌	民營企業 (台灣)	BTU173	六個月
水木資產管理有限公司	4 及 9 號牌	民營企業 (香港)	BTX926	六個月
綠科科技資產管理有限公司	1 號牌	上市公司	ADD273	五個月
金母雞投資管理有限公司	4 及 9 號牌	民營企業	ARQ095	八個月
中輝國際期貨有限公司	1 號牌	民營企業 (中資背景)	BHC645	五個月
大公國際香港有限公司	10 號牌	國有企業	BUK036	六個月



持續合規支援服務 - 客戶名單 (截止2024年7月31日)

序號	公司名稱	牌照類型	背景	中央編號
1	直達國際金融服務有限公司	1, 2	民營企業 (中資背景)	AXH777
2	直達國際資產管理有限公司	4, 9	民營企業 (中資背景)	BLF245
3	嘉謨證券有限公司	1, 4, 9	民營企業 (中資背景)	BLY061
4	北港證券(香港)有限公司	1	國有企業	BJG158
5	北港資產管理有限公司	4, 9	國有企業	BDD356
6	紫杉樹有限公司	1, 2	民營企業 (港資背景)	BHQ297
7	滙凱資產管理有限公司	4, 5, 9	民營企業 (港資背景)	BOP187
8	益方資產管理有限公司	4, 9	家族辦公室 (中資背景)	BPB952
9	世傳證券有限公司	1, 4	民營企業 (港資背景)	BOU462
10	世傳資產管理有限公司	9	民營企業 (港資背景)	BOU465
11	中金匯理資產管理(香港)有限公司	2, 4, 9	民營企業 (新加坡背景)	BOS872
12	金裕富證券有限公司	1, 4	民營企業 (港資背景)	BGQ899
13	中誠國際證券有限公司	1, 4, 9	民營企業 (中資背景)	BHG531
14	中國國際期貨(香港)有限公司	2	民營企業 (中資背景)	ALZ260
15	中國中期證券有限公司	1, 4	民營企業 (中資背景)	BEX660

序號	公司名稱	牌照類型	背景	中央編號
16	長復證券有限公司	1	民營企業 (中資背景)	BGH334B
17	長復資產管理有限公司	4, 9	民營企業 (中資背景)	HY229
18	長橋證券 (香港) 有限公司	1, 4, 9	民營企業 (新加坡背景)	BPX066
19	飛凡資產管理有限公司	4, 9	民營企業 (中資背景)	BOP601
20	梧桐證券有限公司	1, 7	上市公司 附屬公司	AED194
21	梧桐期貨有限公司	2	上市公司 附屬公司	AFB863
22	Planetree Discount Lending Limited	8	上市公司 附屬公司	BPJ458
23	梧桐資產管理有限公司	9	上市公司 附屬公司	AZR318
24	三泰富金融投資有限公司	1,4,9	民營企業 (中資背景)	BNG583
25	昇悅證券有限公司	1	中資背景	BEG494
26	昇悅資產管理有限公司	4, 9	中資背景	BDR227
27	先機金融集團有限公司	4, 5, 6, 9	上市公司 附屬公司	AYB898
28	軟庫中華金融服務有限公司	1, 4, 9	民營企業	ABD523
29	軟庫中華金融資產管理有限公司	4, 9	民營企業	AOH442
30	軟庫中華香港證券有限公司	6	民營企業	BOJ011
31	安泰證券有限公司	1, 4, 9	民營企業	BIX420



序號	公司名稱	牌照類型	背景	中央編號
32	淳大金融有限公司	6	民營企業	BQB884
33	博石資本有限公司	4, 9	民營企業	BHP449
34	中源國際資本有限公司	1, 4, 9	民營企業	BNI045
35	Xharbour Limited	4, 9	民營企業 港資	N/A
36	護信國際（香港）有限公司	1, 4	民營企業	BRV500
37	昇世資產管理有限公司	1, 4, 9	民營企業	BRZ740
38	華豐資產管理有限公司	1, 4, 9	民營企業	AWJ391
39	潤晟家族辦公室有限公司	4, 9	民營企業	BPC443
40	合河投資有限公司	4, 9	民營企業	BQN240
41	青石證券(香港)有限公司	1	民營企業	BER545
42	中一期貨有限公司	1, 2, 4, 5	民營企業	BBH027
43	中一投資管理有限公司	9	民營企業	BNJ579
44	高裕證券有限公司	1, 9	上市公司 附屬公司	AAE696
45	綠科科技資產管理有限公司	4, 9	上市公司 附屬公司	ADD273
46	雙城國際資產管理有限公司	4, 9	民營企業	BML393
47	橫華國際期貨有限公司	2, 5	上市公司 附屬公司	AOU118
48	橫華國際証券有限公司	1, 4	上市公司 附屬公司	BBT518
49	橫華國際資產管理有限公司	4, 9	上市公司 附屬公司	AXY831

序號	公司名稱	牌照類型	背景	中央編號
50	昇世匯盈證券有限公司	1	民營企業	BSJ229
51	昇世匯盈金融資產管理有限公司	4, 9	民營企業	BSJ232
52	中達證券投資有限公司	1, 4	民營企業	AVE583
53	中達資產管理有限公司	4, 9	民營企業	BJL164
54	華信期貨有限公司	2, 5	民營企業	BFX384
55	五礦金融服務有限公司	2, 5	民營企業	BMV692
56	雋一資產管理有限公司	4, 9	民營企業	BHT907
57	雋一期貨有限公司	2	民營企業	AEO166
58	RaffAello Capital Limited	6	民營企業	AZG924
59	RaffAello Securities (HK) Limited	1,4	民營企業	ALS046
60	RaffAello Investment Management (HK) Limited	9	民營企業	BQG355
61	聯勝網上證券有限公司	1	民營企業	AHF149
62	佑聯證券有限公司	1, 4, 9	民營企業	BPK959
63	南方匯發證券有限公司	1, 4, 9	民營企業 (中資背景)	BJF033
64	晉商證券有限公司	1, 4	民營企業	AFK563
65	萬利豐證券有限公司	1	民營企業	AAB291
66	霽海國際證券(香港)有限公司	1, 4, 9	民營企業	BTO330
67	華金國際投資管理有限公司	9	國有企業	BMX919

主要客戶

持續合規支援服務 – 保險中介人公司 (節錄)

公司名稱	牌照類型	業務範圍	牌照號碼
天勤國際財富顧問有限公司	保險經紀公司	一般及長期業務	FB1855
北港財富管理有限公司	保險經紀公司	長期業務	FB1313
Yotei Advisors (HK) Limited	保險經紀公司	一般及長期業務	FB1262
文笙國際保險經紀有限公司	保險經紀公司	長期業務	FB1515
昇世理財服務有限公司	保險經紀公司	一般及長期業務	FB1770
香港鑫泰國際財富管理有限公司	保險經紀公司	長期業務	GB1078

客戶名單 - 放貸人牌照 (節錄)

公司名稱	放貸人牌照號碼
矩陣港科技有限公司	2192/2023
飛天豬有限公司	0428/2024
Odeer Limited	0846/2024
冠軍(亞洲)信貸有限公司	0125/2024
香港物業按揭有限公司	0347/2024
泰和盛金融有限公司	1093/2023
環世金融有限公司	1920/2023
阿里過橋貸款有限公司	N/A
恆實投資有限公司	0755/2024
恆信物業諮詢有限公司	0328/2024
財通商業有限公司	0605/2024
Cash Back Limited	1111/2023
資產按揭有限公司	1259/2023
Harbour Front Assets Investments Limited	1717/2023
維太智庫有限公司	0080/2024
奇跡信貸有限公司	1808/2023
永富財務有限公司	1696/2023
DLO International Credit Limited	0331/2024
昇悅信貸有限公司	0352/2024

未来展望

*Make it Right today,
Better tomorrow*



掃描微信二維碼



天匯合規顧問有限公司

地址：香港上環干諾道中168-200號信德中心西座16樓1605室

網頁：<https://www.complianceone.hk/>

電話 / WhatsApp：(852) 3955 0277

電郵：info@complianceone.hk

Linkedin: www.linkedin.com/company/complianceone-consulting-limited/



COMPLIANCEONE CONSULTING LIMITED

Corporate profile

License Application

Ongoing Compliance Support Services

Internal Audit

Recruitment Agency

Introduction

| Rooted in Hong Kong, Connect the World

ComplianceOne Consulting Limited (“ComplianceOne”) offers various range of compliance consulting services to financial institutions, include guiding and assisting clients through the license application process, ensuring their operations comply with applicable regulatory requirements, and more.

No matter what, we remain dedicated to deliver outstanding value to our clients.



BRINGING THE WORLD
TO HONG KONG

Content

01 Company
Background

04 Our
Team

02 Our
Advantages

05 Business
Partner

03 Business
Activities

06 Client
List

- I. SFC License Applications
- II. Money Service Operators (MSO) Licensing
- III. Other Financial Licenses Application
- IV. Ongoing Compliance Support Services (Licensed Corporations)
- V. Ongoing Compliance Support Service (Licensed Insurance Agency/Broker Companies)
- VI. Acquiring and Selling Financial Institution Licenses
- VII. Online Training Courses (CPT)
- VIII. Adoption of Technologies in Compliance
- IX. Other Professional Services

Company Background

2017
Founded

ComplianceOne provides comprehensive consulting services in regulatory compliance to various financial institutions.

In the past eight years, we have accumulated numerous successful cases of the Securities and Futures Commission (“SFC”) license applications

Type 1 (Dealing in securities)

Type 2 (Dealing in futures contracts)

Type 4 (Advising on securities)

Type 5 (Advising on futures contracts)

Type 7 (Providing automated trading services)

Type 9 (Asset Management)

Type 10 (Providing credit rating services) regulated activities; and

Applications for trading rights of SEHK and HKFE



100+

Completed Cases

- Routine Compliance Inspections
- Compliance Health Check
- Anti-Money Laundering Audit and Control Establishment

ComplianceOne utilizes practical operations experiences and extensive compliance knowledge from licensed institutions to provide concrete compliance advice and operation solutions. Our goal is to ensure our clients in fulfilling local regulatory compliance while enhancing operation efficiency.

We strive to deliver the most appropriate and comprehensive services to help clients effectively obtain their licenses from the SFC and other regulatory authorities. Our client include individual investors and financial institutions from Mainland China and Hong Kong. Since the launch of Shanghai-Hong Kong Stock Connect, and Shenzhen-Hong Kong Stock Connect, the demands for licensed corporations and compliance advisory services has significantly increased. Our team takes pride in deeply in understanding and meeting the diverse needs of our valued clients through our profound compliance knowledge and practical experience.



Our Advantages

SOLUTIONS

We aim to provide ONE-STOP COMPLIANCE SOLUTIONS to our clients with years of experiences.

CORE ADVANTAGE

We deeply understand the actual practices, operations and management of licensed corporations and financial institutions, **due to our extensive hands-on experience in the financial industry**. Trust is built on our deep understanding of clients' needs.

SERVICE ADVANTAGE

To meet our clients' diverse needs, we offer comprehensive support beyond license consulting, including company registration, talent recruitment, accounting services, working visa applications, and compliance consulting. Our team, along with external professionals, ensures we handle all tasks efficiently. **If problems arise, ComplianceOne is your solution.**

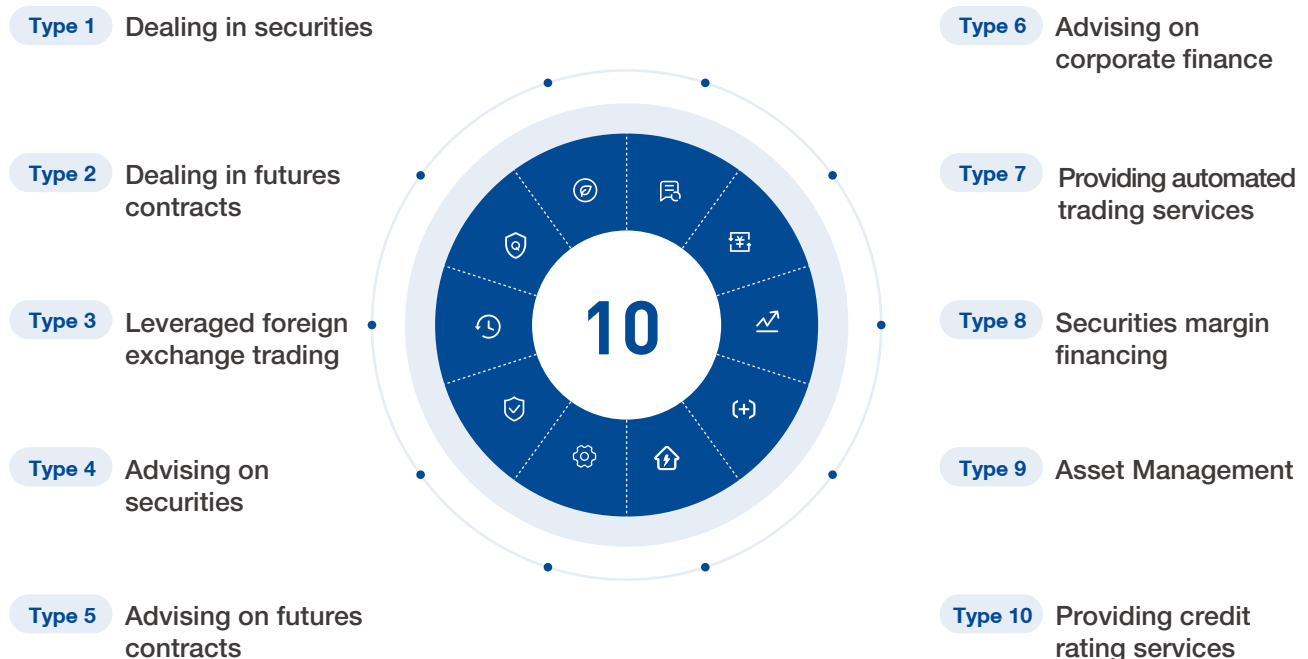
Business Activities

I. SFC License Applications

ComplianceOne specializes in providing comprehensive consulting services to financial institutions. We assist Licensed Corporation (“LC”), Licensed Representative (“LR”) and Responsible Officer (“RO”) with license applications to carry on regulated activities. To streamline the application process, we provide free initial consultation and ongoing support services after approval, ensuring our clients receive the most thorough compliance protection.

Our professional team comprises ROs and Compliance Officers (“COs”) from licensed institutions, former manager from the licensing department of the SFC, non-practicing barrister of the High Court of Hong Kong, and former inspector of Independent Commission Against Corruption (“ICAC”).

■ Through our expertise and practical experiences, we are dedicated in providing licensing consultancy services on the following regulated activities under the SFC:





II. Money Service Operators (MSOs) Licensing



Since 2019, the Customs and Excise Department of Hong Kong (the “**Customs**”) has been increasingly tightening the licensing requirements for Money Service Operators (“**MSOs**”). As a result, the number of licensees has decreased dramatically from over **2500** in the first quarter of 2020 to just over **1000** today, with a loss of 50% licensees within just a few years. Most of them failed to comply with the licensing requirements and Anti-money laundering (“**AML**”) regulations set by the Customs.



Leveraging our extensive experience and professional knowledge in the financial services industry, we extended our advisory services to MSOs. We assist industry practitioners in enhancing their compliance standards amidst a stringent regulatory environment. In many occasions, **ComplianceOne** has been highly appreciated by officers of the Customs and earned their recognition. Merely in the last three years, we have successfully assisted in **over 200** cases of license renewal and new licensing application for MSOs.



Currently, we are the leading consultancy firm for MSO licensing in the Hong Kong market.

Business Activities

III. Other Financial License Applications



Comprehensive License Application Services

With years of experience in professional compliance services, we have built a solid reputation in the industry. In recent years, we have expanded our services to include applications for Insurance Broker licences, Dealers in Precious Metals and Stones Registration (“DPMS”), and Money Lender licences, among other areas. We offer comprehensive license application services to our clients.

Full Application Process Follow-Up

During the application process, we initially conduct in-depth reviews and assessments for our clients, offering professional and effective advice. We shall manage the entire process, maintaining close communication and coordination with regulatory bodies to ensure a smoother application process.



Diverse Client Expansion

We are committed to extending our compliance consulting services to various financial industries, assisting clients in operate their businesses legally and compliantly.

IV. Ongoing Compliance Support Service (Licensed Corporations)

In addition to our license applications consulting services, we also provide all-around External Compliance Consultancy Services with professionalism and flexibility tailor-made to accommodate clients' demands in all facets during the daily operation routines.

■ Advantages of using our External services are:

- | | |
|--|---|
|  Access to services provided by our Professional Team |  Flexible Service Terms |
|  Cost-effective Solutions |  Independent External Review and Monitoring Functions |

■ Our Scope of Services include:

- | | |
|--|--|
| 01. Real-Time Advisory Services | 06. Review of Financial Resources Rules ("FRR") |
| 02. Know Your Customers ("KYC") Services | 07. SFC Inspection / Mock Inspection |
| 03. Review of Internal Documents/Procedures/Policies | 08. SFC Licensing matters / inquiries |
| 04. Periodical Regulatory Updates | 09. Provide online Continuous Training courses ("CPT") |
| 05. AML Screening
(powered by Screen-X AML/CRM Solutions) | 10. Compliance Impact Reminders |



Business Activities

V. Ongoing Compliance Support Service (Licensed Insurance Agency/Broker Companies)

Effective from 23 September 2019, the **Insurance Authority** (“IA”) became the sole regulator responsible for licensing and supervising all insurance intermediaries in Hong Kong and handling related licensing matters. The IA ensures that insurance intermediaries comply with the provisions of **Insurance Ordinance (Cap.41)** (“IO”), and the relevant regulations, rules, codes and guidelines issued by the IA. Additionally, the IA promotes and encourage appropriate standards of conduct

among insurance intermediaries and holds supervisory powers for licensing, inspections, investigation, and disciplinary actions.

Commencing in 2022, we expanded our business scope to include regulatory compliance services for the insurance industry. Since then, insurance intermediary companies in Hong Kong have been able to benefit from the professional compliance services offered by ComplianceOne.

■ Our Scope of Services include:

- 
01. Real-Time Advisory Services
 02. AML Screening (powered by Screen-X AML/CRM Solutions)
 03. Review of Internal Documents/Procedures /Policies
 04. Periodic Regulatory Updates
 05. Compliance Impact Analysis
 06. IA Inspection / Mock Inspection
 07. Compliance Impact Reminders
 08. Comprehensive Compliance Review
 09. IA Licensing matters / inquiries
 10. And More...

VI. Acquiring and Selling Financial Institution Licenses

We offer services for the acquisition and sale of Licensed Financial Companies, assisting clients who intend to operate and manage the business under its existing operational and management model.

We begin by conduct in-depth assessment of the needs of both the buyer and seller, coordinating all acquisition details, the background of the new shareholders. We also provide compliance recommendations on equity structure and acquisition processes, offering end-to-end assistance with the regulatory applications and document preparation to ensure the smooth completion of the license acquisition.

Business Activities

VII. Online Training Courses (CPT)

Effective from 2022, the SFC updated the “Guideline on Continuous Professional Training (CPT)” and requiring LRs to attend at least 10 hours of CPT while ROs are required to fulfil 12 CPT hours per calendar year, which includes:

01. 5 CPT hours on Regulated Activities (5 out of the 10/12 CPT hours)
02. 2 CPT hours on Ethics / Compliance (2 out of the 10/12 CPT hours)
03. 2 CPT hours on Regulatory Compliance (2 out of the 12 CPT hours for ROs)
04. Additional 2.5 CPT hours for Sponsor-related (If applicable)
05. Additional 2.5 CPT hours for Takeovers-related (If applicable)

■ You can access CPT trainings courses via our Online Training Platform (“Thinkific”), anytime, anywhere. The training contents are regularly updated and revised, covering a variety of topics, including:



Ongoing Obligations of Licensed Corporations



Client Onboarding – Customer Due Diligence (“CDD”) & AML



Regulatory Requirements of Anti-Money Laundering and Counter-Terrorist Financing (“AML-CTF”)



FRR Guideline



Code of Conduct



Environmental, Social and Governance (“ESG”) and Sustainable Finance overview

For further information, please visit: <https://complianceone.thinkific.com/>

VIII. Adoption of Technologies in Compliance



ComplianceOne established its subsidiary, **MoneyOne Compliance Technology Limited** (“MoneyOne”) back in 2018. The Company was founded to provide technology compliance solutions tailored to specific financial institutions. **MoneyOne Exchange System** connects to **Acuris Risk Intelligence** data base via Application Programming Interface (“API”) technology, integrating transaction monitoring, record-keeping, and screening into one system.



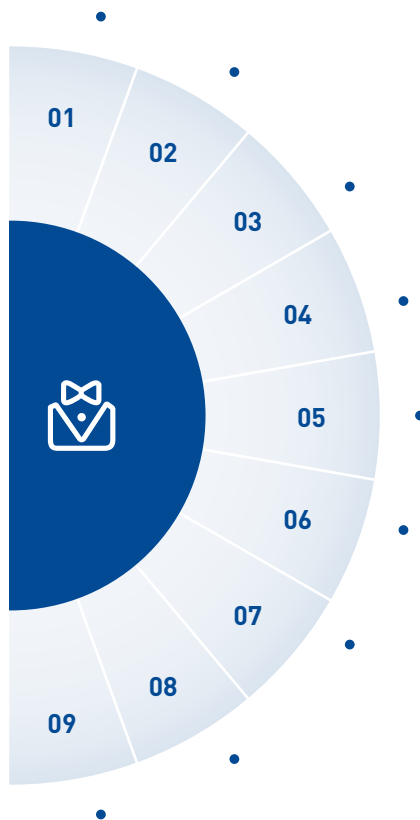
In 2023, a fintech company, **eDon Fin-tech Limited** (“eDon”) was established. The Company developed **Screen-X AML/CRM Solutions** (“Screen-X”) to offer a fully automated AML system which fulfilled the latest regulatory requirements, assisting financial institutions locally and globally reducing risks and improve operational efficiency. End-users can use Screen-X for effective AML screening and Customer Relationship Management (“CRM”), providing an effective and reliable compliance solutions.

Financial institutions can use these fintech solutions to conduct AML screening against Political-Exposed Persons (“PEPs”), Sanction, Reputational Risk Exposure, Regulatory Enforcement List, and other datasets, as required by the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (Cap. 615).

Business Activities

IX. Other Professional Services

■ In order to uphold our service commitment of ONE-STOP COMPLIANCE SOLUTION, we extend our professional services to a more comprehensive scale for our clients, including the followings:



Company Registration (Hong Kong or overseas)

Company Secretary services

Accounting services

Recruitment of Responsible Officers ("RO") and other professionals

Bank accounts opening (for individuals, corporates, and financial institutions)

IT and Cybersecurity Risk Management frameworks audit and assessment

Application of Trust or Corporate Service Provider ("TCSP")

Registration of Trustee (Cap.29)

Application of Working Visa

Our Licenses / Registrations

Reference Number

Employment Agency Administration (“EAA”)

72817

Trust or Company Service Provider (“TCSP”)

TC007463



Team Members



Team Head: Mr. Tao WONG (Partner)

Professional Bio

A seasoned leader with nearly 20 years of experience in the financial and compliance industry, as well as the co-founder of ComplianceOne.

In 2007, Tao joined Haitong International (was known as “Tai Fook Securities”), where he gained extensive operational and management experience across various departments. He holds a BSc in Business Administration and Finance from University of Kansas.

With a deep understanding of compliance requirement set by regulatory bodies such as the SFC, IA, Customs, and other government agencies. Tao excels in designing strategic plans, providing tailored compliance advice, and offering operational solutions for FIs.

Under Tao’s leadership, ComplianceOne has served nearly 1,000 FIs from diverse backgrounds, including SOEs, Securities Firms, AMCs, Listed Companies, Insurance Companies, Money Lenders, MSOs and DPMS.

Tao has also been instrumental in developing compliance technology solutions such as MoneyOne Exchange System and Screen-X AML/CRM Solutions, providing innovative services to meet the needs of FIs.



Team Head: Tommy CHUNG (Partner & Compliance Manager)

Professional Bio

An experienced compliance professional with a strong focus on the SFC-related compliance sector. Tommy possesses extensive expertise in managing large-scale projects in the financial industry.

After graduating from the University of Dublin in Business Studies, Tommy joined ComplianceOne in 2018. With years of hands-on experience working with licensed corporations and the SFC, he has an in-depth understanding of SFC guidelines & codes, Fit and Proper Guidelines, SFO, AMLO, Fund Manager Code of Conduct and other relevant regulations.

Tommy excels in structuring organizational frameworks and streamlining operational processes for license FIs. He is adept at establishing review protocols, assessing policies and documentation, implementing controls and providing corrective measures to rectify deficiencies or non-compliant practices. His deep expertise in regulatory compliance for licensed corporations is highly regarded.

Tommy has led his team in providing consultancy services to hundreds of clients, assisting dozens of licensed corporations with ongoing compliance support and operational matters such as independent reviews, dealing with on-site inspections, license applications and other FIs license-related matters as required by the SFC.

Team Members



Team Head: Mr. Sam Huang (Deputy Managing Director)

Professional Bio

Sam Huang graduated from Peking University's Law program in 2008. Over the past 20 years, he has been involved in various types of enterprises, handling various types of financial services, including private equity investments, financing, management, and exits.

At the same time, Sam also has experience in managing companies and has previously managed a team of 100 people.

He was primarily responsible for overall planning, architectural design, personnel arrangements, daily administrative tasks, and marketing for the company.

Sam has a background in both mainland China and Hong Kong, and has a deep understanding and knowledge of the development of the financial industry in both regions.



Team Head: Mr. Edwin CHU Senior Compliance Consultant (Brokerage)

Professional Bio

Graduated with a Master of Economics, Edwin Chu began his career in the finance industry back in 1995. He had taken roles in senior management in several licensed corporations, and had acquired extensive experience in operation, compliance and risk management. With 25 years of hands-on experience, Edwin is particular specialized in applying the compliance and operation knowledge to practical uses.



Team Head: Ms. Bobo Tang (Senior Consultant)

Professional Bio

Graduated with a degree of sociology in the University of Hull in 2016, Bobo now has co-handled dozens of MSO Licensing cases since she joined the company. Her focus lies on applying Anti-Money Laundering and Counter-Terrorist Financing Ordinance (AMLO) to provide consultancy services to clients.

Team Members



Team Head: Ms. Divina Yam

Co-Partner & Project Manager
(Trust Company, Insurance
Broker, Corporate Finance)

Professional Bio

Graduated with a MBA from University of Macquarie, Divina Yam started her career in an IT team of an investment bank, and was later promoted to join the finance team as AVP specialized in compliance and internal; Divina is versatile in revamping overall operation in property and insurance business, establishing new business in trusting service, private funds; and is specifically well-versed in advising and developing corporate finance activities such as CDs, bonds, due diligence and compliance field.

She has also been Responsible Officer for RA1, 4, 9 licensed corporation, Head of Legal and Compliance department for RA6 licensed corporation for years. Divina has also been the Head of Legal and Compliance for a licensed Insurance Broker company.

Projects that led by Divina includes setup insurance brokers from scratch and apply appropriate licenses, conduct mock inspections, uplift licenses, establish compliance scheme of performing dual licenses, and re-organize and amend customers' manuals and compliance policies.



Team Head: Ms. Ivan Lo Senior Consultant (Money Lender Licensing)

Professional Bio

Graduated from the University of Hong Kong, Ivan Lo began his career as a surveying professional. He served as the Executive Director of the Institute of Compliance Officers (ICO) from 2017–2021, assisting ICO in its efforts to expand its business development and assist licensed corporations in complying with the regulatory compliance requirements. He has conducted over 50 online and offline seminars and organized four 36-hour financial compliance training courses for over 200 students. In 2020, Ivan successfully co-organized three financial compliance courses with the School of Continuing and Professional Education (SCOPE) of the City University of Hong Kong. Two courses were recognized by the Hong Kong Qualifications Framework (HKQF) at Level 5 (university level) and one course at Level 4 (associate degree level).

Ivan is now concentrating his efforts on providing anti-money laundering consulting and independent external audit to licensed money lenders. He is well-recognized by the industry for having established anti-money laundering internal procedures.

Team Members

Team Head: Mr. Franklin LEE (Chief Consultant)

Professional Bio

Graduated with a MSc in China Business Studies, Franklin Lee began his career in the finance industry since 2003 in brokerage firms. Having worked as Responsible Officer in different licensed corporations since 2011, he then co-founded ComplianceOne with Tao Wong in 2017. Over the past 18 years of his career, Franklin has accumulated a great deal of compliance knowledge and management experience of running a licensed corporation.

Team Head: Mr. Juno MAK Senior Consultant (Accounting and FRR)

Professional Bio

Juno Mak obtained a bachelor degree in Business and Accountancy from the Chinese University of Hong Kong in 2009 and a Bachelor of Law from University of London in 2014.

Juno had worked as a professional accounting and taxation expert both in-house at JP Morgan and externally at Ernest & Young. He also had helped set-up the accounting and reporting system for licensed corporations.

As a member of HKICPA, he is now helping dozens on licensed corporations on accounting and FRR matters.

Team Head: Bosco HO Senior Consultant (Virtual Asset Department)

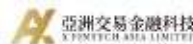
Professional Bio

Graduated from the City University of Hong Kong with a master degree in Financial Engineering, Bosco Ho then successfully developed and managed the Dark-Pool trading platform at HSBC back in 2007 to 2015. He was also responsible for designing the order flow and developing the execution logic for the Dark-Pool.

Since 2020, Bosco has obtained international exposure of the regulatory requirements of Virtual Assets in different jurisdictions including handling Virtual Asset Service Providers (VASPs) qualifications in Singapore, Canada, and Australia, Bahamas, Turkey, and British Virgin Islands (BVI).

Currently, Bosco is also assisting VASPs to apply to carry on Type 1 and Type 7 regulated activities as a licensed virtual asset trading platform from the SFC.

Business Partners





Major Clients

Our Clientele (licensed corporations)

Type of services	RA1	RA2	RA3	RA4	RA5	RA6	RA7	RA8	RA9	RA10
Corporate Licensing	12	4	0	14	3	0	0	0	14	1
Ongoing Support	27	9	0	35	6	3	1	1	32	0
Others	10	1	0	9	2	1	0	0	7	0
Total	49	14	0	58	11	4	1	1	53	1
Others include AML Audit, SFC Inspection, HKEX Inspection, Post-inspection Follow-up, Internal Control Review, Compliance Health-checks. (Last Updated: 30 June 2024)										

Star Customers

Thank you for being our star-level customer.

Your support and trust are the driving forces that keep us moving forward. We are looking forward to continuously providing you with services that go beyond your expectations.

40⁺



Major Clients

Successful cases of SFC licensing applications 1 (1st January 2019 to present)

Name of Corporatio	Licence obtained	Background	CE Ref.	Application Time
Suntek Financial Investment Company Limited	Type 1, 4, and 9; SEHK Trading Right	Private Equity (China-based)	BNG583	8 Months
Inheliance Asset Management Limited	Type 4 and 9	Multi-Family Office (China-based)	BOD273	6 Months
Yew Tree Limited	Type 1 and 2; SEHK Trading Right; HKFE Trading Right	Private Enterprise (Hong Kong-based)	BHQ297	10 Months
On Excel Asset Management Limited	Type 4, 5 and 9	Private Enterprise (Hong Kong-based)	BOP187	6 Months
Dingxin (Securities) Limited	Type 1 and 4; SEHK Trading Right	Private Enterprise (China-based)	BOS734	9 Months
Gamma Securities Limited	Type 9	Private Enterprise (China-based)	BLY061	5 Months
BG Asset Management Limited	Type 4	State-Owned Enterprise (SOE)	BDD356	5 Months
CSII Capital Limited	Type 4 and 9	State-Owned Enterprise (SOE)	BPG760	9 Months

Name of Corporatio	Licence obtained	Background	CE Ref.	Application Time
China International Futures (Hong Kong) Company Limited	Change of Substantial Shareholders	Private Enterprise (China-based)	ALZ260	4 Months
BG Securities (HK) Co., Limited	Change of Substantial Shareholders	State-Owned Enterprise (SOE)	BJG158	6 Months
CN First International Futures Limited	Type 1, 4, and 5; SEHK Trading Rights	Private Enterprise (China-based)	BBH027	6 Months
Orient Capital Asset Management Limited	Change of Substantial Shareholder	Private Enterprise (Hong Kong-based)	BIH410	1 Month
China Credit International Securities Co., Limited	Change of Substantial Shareholders	Private Enterprise (China-based)	BHG531	4 Months
Yifang Assets Management Limited	Type 4 and 9	Multi-Family Office (China-based)	BPB952	6 Months
SINOIF Asset Management (Hong Kong) Co. Limited	Type 2	Private Enterprise (Singapore-based)	BOS872	8 Months
GCG Asset Management Limited	Type 9	Private Enterprise (Hong Kong-based)	BRH966	7 Months
Eternity Growth Asset Management Limited	Type 1 (Introducing Brokerage)	Private Enterprise (China-based)	BQA514	7 Months
BTL Asset Management Company Limited	Type 1 and 2 (Execution Broker)	Private Enterprise (China-based)	BFJ113	6 Months

Name of Corporatio	Licence obtained	Background	CE Ref.	Application Time
WRISE Wealth Management (Hong Kong) Limited	Type 1, 4, and 9	Private Enterprise (Singapore-based)	BRZ740	8 Months
SR Wealth Securities Limited	Addition of Type 9	Private Enterprise (China-based)	BHF761	4.5 Months
U&I Asset Management Limited	Type 4 and 9	Private Enterprise (China-based)	BSF944	6 Months
Seeds International Asset Management Limited	Type 9 (Uplift Condition)	Private Enterprise (Hong Kong-based)	BNZ010	4 Month
JA Securities Limited	Type 9	Private Enterprise	BQW089	4 Months
Qianxing Capital Limited	Type 1, 4, and 9	Private Enterprise (China-based)	BSS641	7 Months
Golden Rich Securities Limited	Type 4	Private Enterprise (Hong Kong-based)	BGQ899	6 Months
China International Futures (Hong Kong) Company Limited	Substantial Shareholder	Private Enterprise (China-based)	ALZ260	4 Months
Hongkong Huisun Securities International Limited	Type 4	Private Enterprise (Hong Kong-based)	BSW160	4 Months

Name of Corporatio	Licence obtained	Background	CE Ref.	Application Time
SINOIF International Futures Limited	Substantial Shareholder	Private Enterprise (Singapore-based)	BOS872	4 Months
OnePlatform Asset Management Limited	Uplift of licensing conditions for Type 1	Private Enterprise (Hong Kong-based)	AFQ784	7 months
Winbull Securities International (Hong Kong) Limited	Uplift of licensing conditions for Type 9	Private Enterprise (China-based)	BRG131	8 months
WRISE Wealth Management (Hong Kong) Limited	Type 1, 4 and 9; Substantial Shareholder	Private Enterprise (Singapore-based)	BRZ740	5 months
WSI Asset Management Limited	Type 4 and 9	Private Enterprise (Taiwan-based)	BTU173	6 months
Waterwood Asset Management Limited	Type 4 and 9	Private Enterprise (Hong Kong-based)	BTX926	6 months
Greentech Technology Asset Management Company Limited	Type 1	LISTCO	ADD273	5 months
Golden Hen Investment Management Limited	Type 4 and 9	Private Enterprise	ARQ095	8 months
Zhonghui International Futures Company Limited	Type 1	Private Enterprise (China-based)	BHC645	5 months
Dagong Global Hong Kong Limited	Type 10	State-Owned Enterprise (SOE)	BUK036	6 months



Ongoing Compliance Support Service - Client List

Serial No.	Name of Corporation	Type of Regulated Activities	Background	CE Ref.
1	DA International Financial Service Limited	1, 2	Private Enterprise (China-based)	AXH777
2	DA International Asset Management Limited	4, 9	Private Enterprise (China-based)	BLF245
3	Gamma Securities Limited	1, 4, 9	Private Enterprise (China-based)	BLY061
4	BG Securities (HK) Co., Limited	1	State-Owned Enterprise (SOE)	BJG158
5	BG Asset Management Limited	4, 9	State-Owned Enterprise (SOE)	BDD356
6	Yew Tree Limited	1, 2	Private Enterprise (Hong Kong-based)	BHQ297
7	On Excel Asset Management Limited	4, 5, 9	Private Enterprise (Hong Kong-based)	BOP187
8	Yifang Assets Management Limited	4, 9	Multi-Family Office (China-based)	BPB952
9	Lumineux Securities Limited	1, 4	Private Enterprise (Hong Kong-based)	BOU462
10	Lumineux Asset Management Limited	9	Private Enterprise (Hong Kong-based)	BOU465
11	SINOIF Asset Management (Hong Kong) Co. Limited	2, 4, 9	Private Enterprise (Singapore-based)	BOS872
12	Golden Rich Securities Limited	1, 4	Private Enterprise (Hong Kong-based)	BGQ899
13	China Credit International Securities Co., Limited	1, 4, 9	Private Enterprise (China-based)	BHG531
14	China International Futures (Hong Kong) Company Limited	2	Private Enterprise (China-based)	ALZ260
15	China CIFCO Securities Co., Limited	1, 4	Private Enterprise (China-based)	BEX66



Serial No.	Name of Corporation	Type of Regulated Activities	Background	CE Ref.
16	CF Securities Limited	1	Private Enterprise (China-based)	BGH334
17	CF Asset Management Limited	4, 9	Private Enterprise (China-based)	BHY229
18	Long Bridge HK Limited	1, 4, 9	Private Enterprise (Singapore-based)	BPX066
19	Feifan Asset Management Co., Limited	4, 9	Private Enterprise (China-based)	BOP601
20	Planetree Securities Limited	1, 7	Subsidiary of LISTCO	AED194
21	Planetree Futures Limited	2	Subsidiary of LISTCO	AFB863
22	Planetree Discount Lending Limited	8	Subsidiary of LISTCO	BPJ458
23	Planetree Asset Management Limited	9	Subsidiary of LISTCO	AZR318
24	Suntek Financial Investment Company Limited	1, 4, 9	Private Enterprise (China-based)	BNG583
25	Prior Securities Limited	1	Private Enterprise (China-based)	BEG494
26	Prior Asset Management Limited	4, 9	Private Enterprise (China-based)	BDR227
27	Superactive Financial Group Company Limited	4, 5, 6, 9	Subsidiary of LISTCO	AYB898
28	SBI China Capital Financial Services Limited	1, 4, 9	Private Enterprise	ABD523
29	SBI China Capital Asset Management Limited	4, 9	Private Enterprise	AOH442
30	SBI China Capital Hong Kong Securities Limited	6	Private Enterprise	BOJ011
31	Antai Securities Limited	1, 4, 9	Private Enterprise	BIX420



Serial No.	Name of Corporation	Type of Regulated Activities	Background	CE Ref.
32	Trenda Corporate Finance Limited	6	Private Enterprise	BQB884
33	Bestone Capital Limited	4, 9	Private Enterprise	BHP449
34	Alpha Win Capital Limited	1, 4, 9	Private Enterprise	BNI045
35	Xharbour Limited	4, 9	Private Enterprise	N/A
36	Fiduciary International (Hong Kong) Limited	1, 4	Private Enterprise (China-based)	BRV500
37	WRISE Wealth Management (Hong Kong) Limited	1, 4, 9	Private Enterprise (Singapore-based)	BRZ740
38	Cornucopiae Asset Management Limited	1, 4, 9	Private Enterprise	AWJ391
39	Risen Family Office Limited	4, 9	Private Enterprise	BPC443
40	RiverCircle Investments Limited	4, 9	Private Enterprise	BQN240
41	Bluestone Securities (HK) Co., Limited	1	Private Enterprise (China-based)	BER545
42	CN First International Futures Limited	1, 2, 4, 5	Private Enterprise (China-based)	BBH027
43	CN First Investment Management Limited	9	Private Enterprise (China-based)	BNJ579
44	Gaoyu Securities Limited	1, 9	Subsidiary of LISTCO	AAE696
45	Greentech Technology Asset Management Company Limited	4, 9	Subsidiary of LISTCO	ADD273
46	Two Cities Global Asset Management Limited	4, 9	Private Enterprise	BML393
47	HGNH International Futures Co., Limited	2, 5	Subsidiary of LISTCO	AOU118
48	HGNH International Securities Co., Limited	1, 4	Subsidiary of LISTCO	BBT518
49	HGNH International Asset Management Co., Limited	4, 9	Subsidiary of LISTCO	AXY831



Serial No.	Name of Corporation	Type of Regulated Activities	Background	CE Ref.
50	WRise Prestige Securities Limited	1	Private Enterprise	BSJ229
51	WRise Prestige Asset Management Limited	4, 9	Private Enterprise	BSJ232
52	Central Wealth Securities Investment Limited	1, 4	Private Enterprise	AVE583
53	Central Wealth Asset Management Limited	4, 9	Private Enterprise	BJL164
54	Huaxin Futures Limited	2, 5	Private Enterprise	BFX384
55	Minmetals Financial Services Limited	2, 5	State-Owned Enterprise (SOE)	BMV692
56	Vantum Asset Management Limited	4, 9	Private Enterprise	BHT907
57	Vantum Futures Limited	2	Private Enterprise	AEO166
58	RaffAello Capital Limited	6	Private Enterprise	AZG924
59	RaffAello Securities (HK) Limited	1, 4	Private Enterprise	ALS046
60	RaffAello Investment Management (HK) Limited	9	Private Enterprise	BQG355
61	COL Securities (HK) Limited	1	Private Enterprise	AHF149
62	UCAP Securities (HK) Limited	1, 4, 9	Private Enterprise	BPK959
63	China Southern Securities Limited	1, 4, 9	Private Enterprise	BJF033
64	JS Securities Limited	1, 4	Private Enterprise	AFK563
65	Malahon Securities Limited	1	Private Enterprise	AAB291
66	Gee Hi International Securities (Hong Kong) Limited	1, 4, 9	Private Enterprise	BTO330
67	HUAJIN International Investment Management Limited	9	State-Owned Enterprise (SOE)	BMX919

Major Customers

Ongoing Compliance Support Service - Insurance Agency/Broker (Excerpt)

Name of Companies	License Type	Line(s) of Business	License No.
Tianqin International Fortune Consultant Company Limited	Insurance Broker Company	General & Long Term Business (excluding Linked Long Term Business)	FB1855
BG Wealth Management Co., Limited	Insurance Broker Company	General & Long Term Business (excluding Linked Long Term Business)	FB1313
Yotei Advisors (HK) Limited	Insurance Broker Company	General & Long Term Business (excluding Linked Long Term Business)	FB1262
Wen Sheng International Insurance Brokers Limited	Insurance Broker Company	General & Long Term Business (excluding Linked Long Term Business)	FB1515
WRISE Financial Services Limited	Insurance Broker Company	General & Long Term Business (excluding Linked Long Term Business)	FB1770
Ever Glow International Wealth Management Limited	Insurance Broker Company	General & Long Term Business (excluding Linked Long Term Business)	GB1078

Client List - Money Lenders (Excerpt)

Name of Companies	License No.
Matrix Port Technologies (Hong Kong) Limited	2192/2023
Piggy Limited	0428/2024
Odeer Limited	0846/2024
Champion (Asia) Credit Limited	0125/2024
Hong Kong Property Mortgage Limited	0347/2024
Ali Bridge Loan Limited	N/A
HS Equities (HK) Limited	0755/2024
Long-Lasting Properties Advisors Limited	0328/2024
Fortunate Commerce Company Limited	0605/2024
Cash Back Limited	1111/2023
Asset Mortgage Limited	1259/2023
Harbour Front Assets Investments Limited	1717/2023
YTL Consultants Limited	0080/2024
WonderLend Limited	1808/2023
Keep Gain Finance Limited	1696/2023
DLO International Credit Limited	0331/2024
Prior Credit Limited	0352/2024

Future Outlook

*Make it Right today,
Better tomorrow*



Scan Our WeChat



ComplianceOne Consulting Limited

Address : Unit 1605, 16/F West Tower, Shun Tak Centre,
168-200 Connaught Road, Central, Sheung Wan, Hong Kong

Website : <https://www.complianceone.hk/>

Tel / WhatsApp : (852) 3955 0277

Email : info@complianceone.hk

Linkedin: www.linkedin.com/company/complianceone-consulting-limited/