

**Item 1: Cover Page**

***HMOUNT Asset Management (HK) Limited***

***合山資產管理（香港）有限公司***

**Form ADV Part 2B**  
**Brochure Supplement**

Mar 20, 2023

This brochure supplement provides information about Yan TONG that supplements HMOUNT Asset Management (HK) Limited ("HMOUNT") brochure ("brochure") (Form ADV, Part 2A). You should have received a copy of HMOUNT's brochure. Please contact HMOUNT at (852) 2293 2215 / (852) 2293 2216 or at [service@mountaincapitalchina.com](mailto:service@mountaincapitalchina.com) if you did not receive HMOUNT's brochure or if you have any questions about the contents of this supplement.

**Yan TONG**

HMOUNT Asset Management (HK) Limited

合山資產管理（香港）有限公司

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## **Item 2: Educational Background and Business Experience**

Yan TONG was born in May 1975. She graduated from Nanjing University of Posts and Telecommunications with a bachelor's degree in Computer Science in 1997, and obtained a master's degree in Information Systems Management from Carnegie Mellon University in 2001 and a master of Business Administration (MBA) majoring in Finance from the Wharton School at University of Pennsylvania in 2008.

Ms. Tong has over 10 years of asset management experiences. She has been the Type 9 Licensed Responsible Officer under Hong Kong Securities and Futures Commission ("HKSF") at HMOUNT Asset Management (HK) Limited (CE No.: BKU365) since March 2018. Before that, she joined Guotai Jun'an Securities ("GTJA") in 2009 and was a managing director in the Proprietary Equity Investment Department till May 2016. Prior to GTJA, Ms. Tong worked in the United States for over 6 years, first at the Financial Advisory Services of PricewaterhouseCoopers and then in the Investment Banking Department of Credit Suisse in New York.

## **Item 3: Disciplinary Information**

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that may affect your decision to do business with Yan TONG. Ms. Tong does not currently have any disclosures that are applicable to this requirement.

## **Item 4: Other Business Activities**

Yan TONG (CE No.: BLB683) is the Type 9 Responsible Officer of HMOUNT to conduct asset management business since 22 March 2018.

Ms. Tong is responsible for providing trading and research services for Asia Series 8, a series of ABS Direct Equity Fund LLC, to advise and recommend the investment, divestment and re-investment of all assets held in Asia Series 8 from time to time as measured in USD, execute transactions in connection with the management of the assets of Asia Series 8, and to recommend and give general advice assistance to the Investment Manager on an ongoing basis concerning the investment, realisation and re-investment of the assets of Asia Series 8 and the placing of the assets of Asia Series 8 on deposit, in accordance with and subject to the provisions of the Trading Manager Agreement and the investment objectives, policies and restrictions of the Series.

It is confirmed that Ms. Tong does not conduct any business activities other than investment advisory and management activities.

#### **Item 5: Additional Compensation**

Ms. Tong may receive additional compensation in connection with her attendance at conferences, seminars, sales or training programs, and other trips (such as reimbursement for travel, lodging and meal expenses) and/or in the form of entertainment, merchandise and other benefits for providing advisory services.

#### **Item 6: Supervision**

HMOUNT has adopted, and periodically updates, a compliance manual that outlines for each employee the various rules and regulations they are required to adhere to. HMOUNT has appointed a Chief Compliance Officer who reviews and monitors employee activity with respect to the rules and regulations. In addition, HMOUNT has adopted a Code of Ethics that requires each employee to act in the client's best interest at all times. Should you have questions related to these activities, please contact Dan SHAN, CCO at (852) 2293 2215 / (852) 2293 2216.

#### **Item 7: Requirements for State-Registered Advisers**

HMOUNT is a SEC Registered Investment Adviser; therefore, this section is not applicable.

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