



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
345 Holdings Limited	BIH055	Licensed Corporation	4, 9
A.C Asset Management Limited	BHS283	Licensed Corporation	1, 4, 9
All Nations Asset Management Limited	BIA241	Licensed Corporation	9
Asia-Pac Asset Management (Asia) Limited	BGX384	Licensed Corporation	9
AsiaVest Partners Limited	BID966	Licensed Corporation	9
CEB International Asset Management Corporation Limited	BIC461	Licensed Corporation	4, 9
China International Securities Limited	BHY490	Licensed Corporation	1
Constance Capital Limited	BIH639	Licensed Corporation	1
Elevation Investment Management Limited	BIE666	Licensed Corporation	9
EMP Capital Limited	BHU248	Licensed Corporation	9
FT Securities and Futures Limited	BHT550	Licensed Corporation	1, 4
Gear Securities Investment Limited	BHM175	Licensed Corporation	1, 4
Global Vision Capital Limited	BHX543	Licensed Corporation	4, 9
Grand Partners Securities Limited	BIC291	Licensed Corporation	1
Grand View Securities Limited	BIG377	Licensed Corporation	1
Griffin Asset Management Limited	BIB414	Licensed Corporation	9
Hong Kong Bridge Investments Limited	BGV260	Licensed Corporation	4, 9
iBest Investment Services Limited	BHH273	Licensed Corporation	3
King International Asset Management Limited	BHP076	Licensed Corporation	9
KVB Capital Markets Limited	BHR931	Licensed Corporation	3
Lion Futures Limited	BID234	Licensed Corporation	2, 5
Lion International Securities Group Limited	BHY491	Licensed Corporation	1, 4
Longmega Asset Investment Management Limited	BHZ809	Licensed Corporation	4, 9
Ottoman Holdings Limited	BHN745	Licensed Corporation	1, 4, 9
OX Financial Securities Limited	BIG959	Licensed Corporation	1
PEI GING FINANCIAL ASSET MANAGEMENT LIMITED	BIG473	Licensed Corporation	4, 9
Run Investment Services Limited	BHL021	Licensed Corporation	1
Tap Capital Limited	BHM585	Licensed Corporation	9
Topfund Capital Management (Hong Kong) Limited	BHU700	Licensed Corporation	4, 9
UBS Securities Hong Kong Limited - UBS Derivatives Hong Kong Limited (AAY107) and UBS Securities Hong Kong Limited (AAD270) amalgamated on 19 December 2016, pursuant to the relevant provisions of the Companies Ordinance (Chapter 622). The amalgamated company is UBS Securities Hong Kong Limited (BIN466).	BIN466	Licensed Corporation	1, 2, 6, 7
Vanhau Asset Management Limited	BIC884	Licensed Corporation	9
ZACD Financial Group Limited	BHZ446	Licensed Corporation	1, 4, 6
AU Ho Lun	ATS067	Licensed Representative	1
BENNISON Joshua Gary	BIN565	Licensed Representative	4
BERGER-BIT Gregory Daniel	BIO076	Licensed Representative	9
BEVACQUA Alberto Lucio Felice	BIN833	Licensed Representative	1, 4, 9
BOONTHAVEEPAT Watcharida	BIN847	Licensed Representative	1, 2, 4, 5
BREWSTER Trevor	BIJ685	Licensed Representative	1
BUBERE Ayesha	BIN745	Licensed Representative	1
CARTWRIGHT Olivia Lucy	APA549	Licensed Representative	2, 5



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHAK Chee Weng	BIN991	Licensed Representative	6
CHAN Afonso Juno	BIN301	Licensed Representative	4, 9
CHAN Cheuk Nam, Stanley	ATN846	Licensed Representative	4, 9
CHAN Choo Tee	APG893	Licensed Representative	1, 4
CHAN Chun Hung	BIO511	Licensed Representative	1, 4
CHAN Fai Pang	BIR188	Licensed Representative	1
CHAN Ka Fai	AEA181	Licensed Representative	1
CHAN Kam Kuen	BIQ316	Licensed Representative	1
CHAN Kam On Joe	BIN074	Licensed Representative	1, 4
CHAN Kim Fai	ACZ550	Licensed Representative	1, 2
CHAN Kim Fung	BIP993	Licensed Representative	1
CHAN Kin Kwan	AUN432	Licensed Representative	1
CHAN Kin Yan	BIJ852	Licensed Representative	1, 4, 6
CHAN Mei Yee	BIR483	Licensed Representative	1
CHAN San Fai	BIM097	Licensed Representative	1
CHAN Shing Hiu	ATX909	Licensed Representative	1
CHAN Sing Ho	BGP291	Licensed Representative	1, 2
CHAN Siu Ho	BIM672	Licensed Representative	1, 6
CHAN Sui Kam	BIN155	Licensed Representative	1
CHAN Tat Chung	BIQ532	Licensed Representative	1, 4
CHAN Timothy	BIM023	Licensed Representative	1, 2
CHAN Tin Shun	BIN234	Licensed Representative	1
CHAN Tsui Ling	BIQ870	Licensed Representative	9
CHAN Viviann	BIQ831	Licensed Representative	9
CHAN Wai Nga, Julia	AMU107	Licensed Representative	1, 4
CHAN Wai Sze	BIN990	Licensed Representative	1
CHAN Yan Yu	BIO054	Licensed Representative	1
CHAU Wallace Tin Lun	BIO890	Licensed Representative	1, 6
CHEN Han	BIK403	Licensed Representative	1, 6
CHEN Hsin Yu	BIO223	Licensed Representative	1, 4, 9
CHEN Liu Shan	BIN722	Licensed Representative	1, 6
CHEN Mingxia	BIO065	Licensed Representative	1
CHEN Weijia	BIN469	Licensed Representative	1, 4, 9
CHEN Yanqing	BIO886	Licensed Representative	1, 2, 9
CHENG Cheuk Yin	BIO891	Licensed Representative	1, 6
CHENG Chiu Hung, William	AFK755	Licensed Representative	9
CHENG Fong Ying, Eva	BIQ139	Licensed Representative	2
CHENG Pui Ling	BIM381	Licensed Representative	1
CHENG Yee Chun	AQR829	Licensed Representative	1
CHENG Yujia	BIQ365	Licensed Representative	4, 9
CHEUNG Hei Man	BIR346	Licensed Representative	4, 9
CHEUNG Hiu Yan	BIN463	Licensed Representative	4, 9



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHEUNG Wa Ching	BIQ610	Licensed Representative	1
CHIANG Kam Wah	BFL529	Licensed Representative	2
CHIN Wai Hung, Jack	AOS683	Licensed Representative	1
CHIN Yuan, Sef	BIN543	Licensed Representative	1, 4
CHING Ho Yin, Derek	BIN461	Licensed Representative	1, 4
CHO Kin Keung, Keith	BDO181	Licensed Representative	6
CHOI Man Ching	BIO285	Licensed Representative	1, 4
CHONG Kok Yeow	BIO688	Licensed Representative	1
CHONG Ting	BIQ727	Licensed Representative	4
CHOU Hiu Ching	BIS057	Licensed Representative	6
CHOW Chui Shan, Cecilia	AMF112	Licensed Representative	1, 9
CHOW Chun Yue Louis	BIQ704	Licensed Representative	1, 2
CHOW Douglas	BIM410	Licensed Representative	1, 6
CHOW Franki	BIQ606	Licensed Representative	3
CHOW Kai Sing	AMP342	Licensed Representative	1
CHU Cheuk Yin	BIO192	Licensed Representative	1, 4
CHU Man Ki	BIT644	Licensed Representative	4
CHU Mei Fong	BCZ103	Licensed Representative	1
CHU Wai Yan Yanny	BIQ626	Licensed Representative	1
CHUEN Tin Chun, Andrew	BIN687	Licensed Representative	1, 4
CHUI Tak Mong Jodie	BIQ703	Licensed Representative	1
CHUNG Po Wah, Emily	ANY049	Licensed Representative	1
CUI Jingyi	BIM301	Licensed Representative	4
DAN Yucui	BIQ312	Licensed Representative	4
DENG Qi	BIH039	Licensed Representative	1
DESHMUKH Aniruddha Ravindra	ANG434	Licensed Representative	4, 9
DIU Dave	BIN437	Licensed Representative	1, 6
DOONG Keng Ming, David	AAF397	Licensed Representative	4, 9
D'SILVA Anthony Hogest	BIQ706	Licensed Representative	9
DSOUZA Dylan Rafael	BIN993	Licensed Representative	6
DU Yiwei	BFV970	Licensed Representative	1
EME Philippe Jean	AEX901	Licensed Representative	1, 2
FAN Rui	BIP081	Licensed Representative	1, 4, 9
FAN Yajun	BIJ140	Licensed Representative	4, 9
FANG Qiuyan	BIO887	Licensed Representative	1, 4, 9
FENG Yang	BIO492	Licensed Representative	1
FISHER Hugo Robert Heathcote	BIO854	Licensed Representative	1, 4
FONG Sin Ho	BIS357	Licensed Representative	1, 6
FOO Kin Chung	AQJ492	Licensed Representative	1, 4
FU Chengfei	BIN392	Licensed Representative	1, 6
FU Yiu Man, Peter	AAC370	Licensed Representative	6, 9
FUNG Chun Ho	AVV720	Licensed Representative	4, 9



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
FUNG Po Yuk	BIN045	Licensed Representative	1
GAO Duohuai	BIM697	Licensed Representative	1, 6
GAO Jingwen	BIO281	Licensed Representative	4, 9
GAO Ruoran	BIM689	Licensed Representative	1, 6
GAO Ya	AZJ498	Licensed Representative	1, 4, 6
GAO Yuan	BIN422	Licensed Representative	1, 4, 9
GEARY Nathan James	BIQ213	Licensed Representative	1
GOEL Maneesh	BIQ203	Licensed Representative	1, 4, 6
GONG Zhikai	BIQ827	Licensed Representative	2, 5
GOULET Martin	AZK191	Licensed Representative	9
GRIFFIN Robert R	BIR006	Licensed Representative	1, 4
GU Hanyu	BIR327	Licensed Representative	1, 6
GUAN Xinyue	BAQ906	Licensed Representative	1
GUAN Yating	BHD239	Licensed Representative	1, 4, 6
GUILLAS Gregory Michel	BIQ634	Licensed Representative	1, 2
GUPTA Siddharth	BIQ330	Licensed Representative	1, 2, 9
HALLAM Nicholas	BIM618	Licensed Representative	1
HAN Yao Guang	BIQ629	Licensed Representative	1, 6
HANNAN David James	AMS327	Licensed Representative	1, 2
HARADA Kodai	BIN714	Licensed Representative	1, 4, 9
HARIHARAN Narayan Iyer	BIO463	Licensed Representative	1, 4, 6
HE Eda Yee Yee	BAF816	Licensed Representative	9
HE Hao	BIO510	Licensed Representative	1
HE Jingjia	BIM420	Licensed Representative	1
HE Yucheng	BIQ230	Licensed Representative	1, 4, 9
HEUNG Wai Lun	BIP966	Licensed Representative	1, 2
HILL Kimberly Nina	BIR175	Licensed Representative	1
HO Felix Tsz Kam	AZQ788	Licensed Representative	1
HO Ka Lun	BIN776	Licensed Representative	1, 4, 5, 9
HO Kwok Cheong	ARO129	Licensed Representative	1
HO Sau Yee	AQN523	Licensed Representative	1, 4
HO Wai Yu	BIO618	Licensed Representative	1, 6
HOLFORD Jeffrey	BIM503	Licensed Representative	4
HOMSCHEID Conor Soren	BIO893	Licensed Representative	6
HONG Yong Wha	BIL915	Licensed Representative	1, 4
HU Zhidong	BIL713	Licensed Representative	1, 6
HUA Siyang	BIM947	Licensed Representative	4
HUANG Junwei	AVM453	Licensed Representative	9
HUANG Kai-yu Kenneth	BIO892	Licensed Representative	9
HUANG Qiqi	BIO245	Licensed Representative	1, 2, 4
HUANG Shengran	BIQ229	Licensed Representative	1, 4, 9
HUANG Shiting	BIM189	Licensed Representative	2



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
HUANG Wei	BIO265	Licensed Representative	4, 9
HUANG Yiran	AWS789	Licensed Representative	1, 4
HUI Kai Man	BIR911	Licensed Representative	1, 2
HUI Mei Ki	ANV019	Licensed Representative	1, 4, 9
HUI On Ki	AVS799	Licensed Representative	1, 4
HUNG Shui Lun, Clarence	AEE169	Licensed Representative	1
IP Wing Tuen, Joyce	BIN861	Licensed Representative	1, 6
IP Yung Ping	AQH547	Licensed Representative	4, 9
IRWIN Matthew James	BIK613	Licensed Representative	2
ISHIGAMI Daniel Akio	BIO183	Licensed Representative	1, 4
JANG Minhyeok	BIQ771	Licensed Representative	1, 4
JIA Weimian	BIK043	Licensed Representative	4, 9
JUNG Insuk	BIN964	Licensed Representative	1
JUNG Sojin	BIM945	Licensed Representative	1, 2
KAM Kit	BIN997	Licensed Representative	1
KAN Chi Kit	BIN210	Licensed Representative	1, 2
KANG Ning	BIO599	Licensed Representative	1, 4, 6
KAO Chien-hsiu	BIN849	Licensed Representative	1, 4, 9
KAUSHIK Raghav	BIR362	Licensed Representative	1
KO Liang-wei Richard	AFP185	Licensed Representative	4
KO Vanessa	BIQ200	Licensed Representative	1
KRONBORG Martin Ulrich	BGN047	Licensed Representative	9
KUO Chien Liang	BIN828	Licensed Representative	1, 2, 4, 5
KUSAKA Daisuke	BIO467	Licensed Representative	1
KWAN Chun Wing	BAU913	Licensed Representative	4, 9
KWOK Alex Yiu Chung	BIR488	Licensed Representative	9
KWOK Chi Wai, Will	BIS591	Licensed Representative	1, 2
KWOK Pak Kuen	BIM405	Licensed Representative	1
LAI Chong Soan	BIQ627	Licensed Representative	1
LAI Chun Kit	BGH428	Licensed Representative	9
LAI Hiu Tung	BEU887	Licensed Representative	2
Lai Kar Kei	AJX013	Licensed Representative	1, 4
LAI Wai Heng	BIO868	Licensed Representative	1
LAM Ah Wai, Ammy	BIL712	Licensed Representative	1, 4, 9
LAM Cheuk Fung	BIN848	Licensed Representative	6
LAM Ho Yan	BIK484	Licensed Representative	9
LAM Jason Chee-hin	BIR280	Licensed Representative	4
LAM Ka Wai	BIM551	Licensed Representative	1, 6, 9
LAM Kuen	ANJ657	Licensed Representative	1, 9
LAM Kwong Fung	ANS191	Licensed Representative	3
LAM Kwun On, Carolina	AYM431	Licensed Representative	1
LAM Sui Fan	AFS495	Licensed Representative	1



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
LANDAIS Francois Michel Florent	BIN527	Licensed Representative	1, 2, 4
LAU Ka Ki	BIJ843	Licensed Representative	4, 5, 6, 9
LAU Ka Yan	BIN606	Licensed Representative	10
LAU Kai Yam	BBA472	Licensed Representative	1
LAU Sin Sam, Samson	BIQ779	Licensed Representative	1, 2
LAU Suk Tung	AFD150	Licensed Representative	1, 2, 4, 9
LAU Tsz Him	BIR342	Licensed Representative	9
LAU Wai Man	BIQ232	Licensed Representative	1, 2
LAUNGANI Gautam Sukhdev	ANQ013	Licensed Representative	1, 2
LAW Long Hei Adrian	BIQ843	Licensed Representative	1, 2, 4, 5
LAW Tsz Kwan Iris	BIL950	Licensed Representative	1, 4
LEE Juwan Ju Hoon	ADT663	Licensed Representative	9
LEE Kin Tak	BIN970	Licensed Representative	1
LEE Kwok Yan	BIO431	Licensed Representative	1, 4, 6
LEE Mei Wan Irene	AST031	Licensed Representative	1
LEE Woojin	AQI793	Licensed Representative	4, 9
LEE Yee Pui, Alison	BIR182	Licensed Representative	4
LEE Ying Kin	AUO103	Licensed Representative	1
LEE Yu Sang Edison	ADI291	Licensed Representative	4
LEIGH Britton S	BIQ763	Licensed Representative	1, 9
LEO Peck Chao	AJE093	Licensed Representative	9
LEUNG Hang Fung	BIQ318	Licensed Representative	1, 2
LEUNG Kok Ip	BIR011	Licensed Representative	2
LEUNG Kong Wa	ASN978	Licensed Representative	1
LEUNG Kwai Ki	BIN994	Licensed Representative	9
LEUNG Kwok Fai	BIQ782	Licensed Representative	1
LEUNG Mei Wai	BBZ659	Licensed Representative	1, 4
LEUNG Pui Shan	AEC084	Licensed Representative	1, 4
LEUNG Tze Shing, Vincent	AMC618	Licensed Representative	1
LEUNG Yin Ho	ARU109	Licensed Representative	1, 2
LI Chi Fai	BIS066	Licensed Representative	6
LI Chun Kit	BIP940	Licensed Representative	1
LI Da	BIO662	Licensed Representative	1, 6
LI Guowei	BIG462	Licensed Representative	1, 2
LI Ho Yin	BIQ834	Licensed Representative	6
LI Kai Wang	BFY153	Licensed Representative	2
LI Licong	BIQ846	Licensed Representative	9
LI Lok Hing	BIQ838	Licensed Representative	1, 4, 9
LI Michael Man Toa	BAH857	Licensed Representative	9
LI Pengnan	BIR379	Licensed Representative	1, 4, 9
LI Siyu	BIQ773	Licensed Representative	9
LI Tsz Wing	BIN427	Licensed Representative	1, 2



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
LI Ying	AWP050	Licensed Representative	9
LI Yong	BEV817	Licensed Representative	4, 9
LI Yuan Hong	BII903	Licensed Representative	1, 9
LI Yue	BIN442	Licensed Representative	1, 4
LI Yunyi	BIR345	Licensed Representative	4
LI Yuqing	BIO498	Licensed Representative	1, 4
LIANG Jijian	BIN264	Licensed Representative	4, 9
LIANG Jinxin	BIG101	Licensed Representative	4
LIANG Jun	BIN429	Licensed Representative	1, 4, 6
LIANG Yue	BIL738	Licensed Representative	1, 4, 6
LIN Hsin Ya	BIM440	Licensed Representative	1, 2, 4, 5
LIN Na	BBR324	Licensed Representative	4
LIN Wei Yu	BIQ705	Licensed Representative	2
LIN Yuanyuan	BIJ850	Licensed Representative	4
LIU Bing	BIK705	Licensed Representative	4
LIU Chun Wah	BIN603	Licensed Representative	9
LIU Hanqing	BIQ854	Licensed Representative	1, 4, 6
LIU Mengying	BIN851	Licensed Representative	4, 9
LIU Weiwei	BIQ631	Licensed Representative	1
LIU Weiyue	BIR050	Licensed Representative	1
LIU Xiqian	BIN443	Licensed Representative	1
LIU Yihan	BIQ173	Licensed Representative	1
LO Chiu-jung	BIM504	Licensed Representative	1, 4, 9
LO Chun Wai	BIQ628	Licensed Representative	1
LO Ki Cheung	BIN969	Licensed Representative	6
LO Pan Lam	BIQ323	Licensed Representative	1, 2
LO Pui Ki	BAN230	Licensed Representative	1, 4, 9
LO Shih-hung	ALR980	Licensed Representative	1, 2
LO Wing Kin, Kenneth	AFA296	Licensed Representative	1
LOH Qiuli	BIO294	Licensed Representative	1, 9
LOK Ka Man	BIO703	Licensed Representative	6
LU Chengfang	BIO470	Licensed Representative	1
LUI Chi Hang	AYW027	Licensed Representative	1
LUI Wing Yin	APY795	Licensed Representative	1, 4
LUK Kin Man John	BIQ747	Licensed Representative	1, 4
LUO Lan	BIN423	Licensed Representative	4
LUO Ran	BIO497	Licensed Representative	1, 4
LUO Wen	BIJ012	Licensed Representative	1, 4
LYU Xiaoyan	BIN439	Licensed Representative	6
MA Miaoyin	BIR682	Licensed Representative	1
MAFFRE Patrice Christophe Benoit	BIQ591	Licensed Representative	1, 4, 6
MAK Mei Kuen	BBZ805	Licensed Representative	6



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
MAK Shing Sum	BIL593	Licensed Representative	6
MAN Ho Chuen	BDO203	Licensed Representative	1
MCDADE Richard William	AXC311	Licensed Representative	9
MILLER Magdalene Ka Hung Nancy	AYF299	Licensed Representative	1
MOK Ho Kiu, Olivia	BIM846	Licensed Representative	6
MOK Suk Yee	AVS044	Licensed Representative	1
MONTET Lucas	BIQ389	Licensed Representative	1, 2, 7
MUI Ho Hay, Alex	BIR012	Licensed Representative	2
MURRAY Lesley Ann	ADC028	Licensed Representative	9
NAMBIAR Kuniyil Sasidharan	BIQ137	Licensed Representative	1, 4
NG Chan Man	AWC045	Licensed Representative	1, 4, 9
NG Chi Cheng	ALK588	Licensed Representative	1
NG Chun Kit	BIN827	Licensed Representative	6
NG Chun Man, Michael	AQQ196	Licensed Representative	1, 6
NG Hoi Ching	BIS121	Licensed Representative	1
NG Kin Wai	BIM923	Licensed Representative	1, 4, 9
NG Lok Man, Rose	BIQ518	Licensed Representative	4, 5, 9
NG Man Wai, Rachel	BIQ722	Licensed Representative	1
NG Siu Chun	APU792	Licensed Representative	1, 2
NG Siu Wai	AYD102	Licensed Representative	4, 9
ORBUCH Steven Edward	BIR159	Licensed Representative	1, 9
OSHIKAWA Yoshiharu	BHN851	Licensed Representative	1
OU Qiuyan	BIO916	Licensed Representative	1
OUYANG Shirui	BIN775	Licensed Representative	4
PARK Hyung Jin	APB995	Licensed Representative	1
PARMET Andrew Charles	ABY125	Licensed Representative	9
PAVRI Tina Koryn	BIO508	Licensed Representative	4
PEARSON James	ABN229	Licensed Representative	1, 4, 6
PEARSON Stanley Douglas	BFU454	Licensed Representative	1
PERON Christophe Stanislas Pierre	BIO001	Licensed Representative	6
PONG Kwok Hung, Patrick	AEL747	Licensed Representative	4
PONG Wing Yi	BIR085	Licensed Representative	1, 2
POON Chi Ho	AGO382	Licensed Representative	1, 4
POWELL Stuart Baden	BDO331	Licensed Representative	1, 7
PURANDARE Rajshekhar	BIO884	Licensed Representative	2, 5
PURI Moneesh	BIR081	Licensed Representative	1, 4
QI Haiying	BFB179	Licensed Representative	1, 4, 9
QIAN Jiayun	BIR846	Licensed Representative	4, 9
QIAN Manman	BIO290	Licensed Representative	1
QU Hong	BIN732	Licensed Representative	4
RAO Weinan	BDQ796	Licensed Representative	1, 2
RHEE Samuel Gene	AFE900	Licensed Representative	1



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
SALAROLI Martin	BIN989	Licensed Representative	1, 4, 5
SANTHA Daniel	BHK899	Licensed Representative	1, 2
SESHADRI Srihari Dinesh	BIQ864	Licensed Representative	1, 2
SHANG Quanxi	BIQ844	Licensed Representative	6
SHANG Xiaodi	BIS051	Licensed Representative	1, 2
SHEK Kai Wing	BIR860	Licensed Representative	1, 4, 9
SHEN Yang	BAX620	Licensed Representative	1
SHI Qian	AYQ637	Licensed Representative	1, 6
SHIN Steven Sung Ho	BIP978	Licensed Representative	1
SHIU Man Yee	BIO883	Licensed Representative	2, 5
SIE Yan, Alison	AJD400	Licensed Representative	1, 4
SIEW Jhun Quyn	BIN590	Licensed Representative	1, 6
SIT Hau Yi	BEE951	Licensed Representative	2
SONG Wenzhi	BDV263	Licensed Representative	9
SUI Nan Xu	BIQ781	Licensed Representative	1, 4
SUN Steve Donald	ABX349	Licensed Representative	1
SUNG Poh Hong	BIN519	Licensed Representative	1, 2
SUWANAPRUTI Udom	BIO103	Licensed Representative	1, 4
TAM Ka Hong	BIQ325	Licensed Representative	1
TAM Koon Wing	AVF814	Licensed Representative	1
TAM Li Hon	BIL825	Licensed Representative	4, 9
TAN Yu Sian	BIM915	Licensed Representative	4, 6
TANG Cheuk Wai	BIN225	Licensed Representative	1, 4, 9
TANG Chung Hei	BIN853	Licensed Representative	4, 9
TANG Dapeng	BIG551	Licensed Representative	1
TANG Wing Wo, Stanley	AEE789	Licensed Representative	1
TANTLEFF Jacob William	BIO896	Licensed Representative	1, 7
TAO Liyuan	AWK183	Licensed Representative	1
TIAN Jue	BIN450	Licensed Representative	4, 9
TIN Wai Man	ARG334	Licensed Representative	1, 4, 5
TONG Tao	AYA343	Licensed Representative	1, 4, 6, 9
TOPPANI Daniel Simon	BBZ367	Licensed Representative	9
TSANG Kenneth Ky Sung	AZH816	Licensed Representative	4
TSANG Ki Lok Kenneth	ANM956	Licensed Representative	1, 2
TSE Lok Sang	BIR021	Licensed Representative	1, 2
TSE Yue Hong	ANQ294	Licensed Representative	1, 4
TSO Ka Chai, Eric	BIQ210	Licensed Representative	9
TSUI Ho Yin	BIN084	Licensed Representative	1, 4, 9
VERHELST Stephane Paul Jean	BIR490	Licensed Representative	1, 4
WISEUX Martin, Patrick, Marie, Guillaume	BIM648	Licensed Representative	1, 2, 4, 5, 9
WAKIZAKI Emi	ANH732	Licensed Representative	1, 6
WANG Bo	AMN889	Licensed Representative	4, 9



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
WANG Borui	BIO299	Licensed Representative	1, 4
WANG Donglei	BIR748	Licensed Representative	1, 6
WANG Fan	BIM260	Licensed Representative	4
WANG Haonan	BIM693	Licensed Representative	1, 6
WANG Lijuan	BIN154	Licensed Representative	1, 4, 6, 9
WANG Mengkai	BIR351	Licensed Representative	4
WANG Mingquan	AXM418	Licensed Representative	9
WANG Qin	BAV747	Licensed Representative	4
WANG Sichen	BIM096	Licensed Representative	4
WANG Xi	BBZ660	Licensed Representative	1, 4, 6, 9
WANG Xiaoyue	BIO184	Licensed Representative	9
WANG Xuan	BIN334	Licensed Representative	1
WANG Yu	BIC278	Licensed Representative	1
WANG Zhongda	BIN331	Licensed Representative	1
WEI Like	AWC816	Licensed Representative	1, 4
WEN Yongwen	BIR692	Licensed Representative	1, 4, 9
WEN Zhigang	BIM633	Licensed Representative	4, 9
WONG Chin Lun	BIQ867	Licensed Representative	1
WONG Chor Kwan	AVS145	Licensed Representative	1, 4
WONG Chun Chin	ACY907	Licensed Representative	1, 4
WONG Ka Chun	BIM268	Licensed Representative	1, 2
WONG Ki Cheong	BIO248	Licensed Representative	1, 4
WONG Kin Fung	BIN571	Licensed Representative	1
WONG Ling Chi	BIP062	Licensed Representative	1, 4
WONG Long Chun	BIO909	Licensed Representative	2
WONG Sau Fun	AJB428	Licensed Representative	2
WONG Suet Ying	BIM582	Licensed Representative	1, 6
WONG Tin Chun	BIN699	Licensed Representative	1
WONG Wai Ip Matthew	BIQ756	Licensed Representative	9
WONG Yau Cheong	BIL665	Licensed Representative	1
WONG Ying	AET700	Licensed Representative	1
WONG Ying	BIR275	Licensed Representative	4
WONG Yuk Yee Rachel	BIO923	Licensed Representative	9
WOO Ki Ki	BIO655	Licensed Representative	1, 4
WU Tingli	BIH711	Licensed Representative	1, 4, 9
WU Tong Fai	BIO602	Licensed Representative	1, 9
WU Wan Ru	BIQ110	Licensed Representative	1, 9
WU Yi Chen	BIN766	Licensed Representative	4, 9
WU Zeming	BIR277	Licensed Representative	2
XIA Yang	BIR052	Licensed Representative	1, 6
XIAO Yanyan	BIL686	Licensed Representative	4
XIE Bo	BIN468	Licensed Representative	9



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
XING Xing	BIO683	Licensed Representative	1, 4, 9
XIONG Jiani	BIM607	Licensed Representative	1, 4
XU Shan	BIR248	Licensed Representative	1
XU Shengjie	BIQ715	Licensed Representative	10
XU Shigang	BIH840	Licensed Representative	4
XU Wentao	BIO043	Licensed Representative	6
XU Zhiheng	AYK932	Licensed Representative	9
YAN Lin	BHT623	Licensed Representative	9
YANG Bowen	BIN706	Licensed Representative	1, 4
YANG Shuo	BHZ281	Licensed Representative	1, 4
YANG Xu	BIN075	Licensed Representative	1, 2, 9
YANG Yang	AZF235	Licensed Representative	4, 9
YAO Kuo Yi, Patterson	AAH645	Licensed Representative	4, 9
YAO Zeyu	BIJ003	Licensed Representative	1, 4
YAU Gary Tsz Kit	BIQ776	Licensed Representative	4
YEE Teck Huat	BGZ316	Licensed Representative	4
YEUNG Chi Hong	BIQ873	Licensed Representative	9
YEUNG Chun Kit Eric	BIM422	Licensed Representative	1
YEUNG Fai	BEO592	Licensed Representative	1
YEUNG Ham	ANU667	Licensed Representative	1, 4
YEUNG Wing Yan Horace	BIR335	Licensed Representative	1
YIM Yeuk King, Claire	AIB370	Licensed Representative	1
YIN Sze Long	BIL982	Licensed Representative	9
YING Lianzheng	BIM793	Licensed Representative	1, 6
YOUNG Peter Vincent	BIE651	Licensed Representative	1
YU Lu	BIP992	Licensed Representative	6
YU Mujun	BIO227	Licensed Representative	9
YU Robert Leo Alfaro	BEU882	Licensed Representative	1, 6
YU Tianbo	BIO480	Licensed Representative	1, 4
YU Yilu	BIM687	Licensed Representative	1
YU Yu	BIL765	Licensed Representative	1
YUAN Zhongyu	BIQ601	Licensed Representative	4
YUEN Caroline	BIN528	Licensed Representative	1, 2
YUEN Pui Kei	BIR019	Licensed Representative	1, 6
ZENG Mengya	BIL757	Licensed Representative	1, 4
ZHAN Yi	BIG057	Licensed Representative	1, 2, 7
ZHANG Changan	BIS323	Licensed Representative	1
ZHANG Jiajun	BIQ404	Licensed Representative	1
ZHANG Jingkun	BGG673	Licensed Representative	2
ZHANG Junxiong	BIK397	Licensed Representative	1, 6
ZHANG Mengyi	BIO476	Licensed Representative	1, 2
ZHANG Shang	BIO049	Licensed Representative	6



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
ZHANG Shaobo	BIM865	Licensed Representative	9
ZHANG Xiaobin	BIR046	Licensed Representative	1, 6
ZHANG Xinjue	BIR063	Licensed Representative	1
ZHANG Yiang	BIJ330	Licensed Representative	1, 4, 9
ZHANG Zhaoan	BIO066	Licensed Representative	6
ZHAO Bingyu	BIQ760	Licensed Representative	2
ZHAO Yi	BIQ192	Licensed Representative	1
ZHENG Hongda	BIH547	Licensed Representative	4
ZHENG Kai	BIO280	Licensed Representative	4, 9
ZHENG Li	BIN037	Licensed Representative	1
ZHENG Zuer	BIN860	Licensed Representative	1, 6
ZHONG Ming	BIH896	Licensed Representative	1, 4
ZHONG Yi Ming	BIK195	Licensed Representative	1
ZHOU Jifangfang	BIN823	Licensed Representative	1, 4
ZHU Di	BIR664	Licensed Representative	1, 4, 6
ZHU Qi	BIH729	Licensed Representative	1, 4, 9
ZONG Dong	BIM216	Licensed Representative	1, 9
ZOU Yu Feng	BIN729	Licensed Representative	9
BAUR Darin Daniel	AQO190	Licensed Representative - Responsible Officer	1, 4, 6
BIRLA Nitin	ACD537	Licensed Representative - Responsible Officer	9
BYGGE Claes Johan	BAU933	Licensed Representative - Responsible Officer	1
CAI Jinyong	ACQ358	Licensed Representative - Responsible Officer	1, 4
CHAN Chun Kit	AVC347	Licensed Representative - Responsible Officer	1
CHIU Ka Leung	AYK457	Licensed Representative - Responsible Officer	1
CHOI Wai Lam, Jerry	ACP667	Licensed Representative - Responsible Officer	1, 4
CHU To, Jonathan	AAB571	Licensed Representative - Responsible Officer	1, 4, 9
FU Yiu Man, Peter	AAC370	Licensed Representative - Responsible Officer	1
FUNG Chi Hang	AMK097	Licensed Representative - Responsible Officer	1, 9
FUNG Yiu Fai	AAB976	Licensed Representative - Responsible Officer	9
IP Pak Cheong	AQA094	Licensed Representative - Responsible Officer	4, 9
KAM Yun Fai	ASF221	Licensed Representative - Responsible Officer	4, 9
KEIDA Shunichi	BIM447	Licensed Representative - Responsible Officer	1
LI Lifang	BHV035	Licensed Representative - Responsible Officer	4, 9
LIN John Sian-Zu	AED623	Licensed Representative - Responsible Officer	4, 9
LINGARD Stephen Russel	BHQ067	Licensed Representative - Responsible Officer	9
LUI Chi Hang	AYW027	Licensed Representative - Responsible Officer	4, 9
MATSUO Takuma	BIN572	Licensed Representative - Responsible Officer	4
NG Tsz Kin	BBF141	Licensed Representative - Responsible Officer	1
POON Tak Ching	BIG475	Licensed Representative - Responsible Officer	1, 4, 9
QI Dazheng	BHV036	Licensed Representative - Responsible Officer	4, 9
REN Yonggang, Frank	ALF631	Licensed Representative - Responsible Officer	9
SIEW Chen Yei	AUL981	Licensed Representative - Responsible Officer	1, 4, 6



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
TAN Tien Kok	BEY895	Licensed Representative - Responsible Officer	1
TANEJA Ambar	BAO584	Licensed Representative - Responsible Officer	9
TENG Wei	AMC295	Licensed Representative - Responsible Officer	4, 9
TSAI Richard	ALW309	Licensed Representative - Responsible Officer	4, 9
TSE Tak Li, Terry	AGW560	Licensed Representative - Responsible Officer	2
VANDENVEN Filip Joris J.	BGK384	Licensed Representative - Responsible Officer	4, 9
WANG Xiao	ANS162	Licensed Representative - Responsible Officer	9
WONG Mang, Peggy	AIU173	Licensed Representative - Responsible Officer	1, 4, 9
WU Chi Keung, Walter	AAZ514	Licensed Representative - Responsible Officer	9
YANG Jin	AXQ560	Licensed Representative - Responsible Officer	9
ZHANG Quan	BIH671	Licensed Representative - Responsible Officer	9
ZHANG Zhe	BBE448	Licensed Representative - Responsible Officer	9
ALAVI Arash	BIS583	Licensed Representative (Provisional Licence)	1, 6
ASKALANY Nermin	BIS597	Licensed Representative (Provisional Licence)	1, 4
AU Hoi Lam	BIS875	Licensed Representative (Provisional Licence)	1, 4
AU Lawrence	BIS389	Licensed Representative (Provisional Licence)	4, 9
BANNISTER Richard John	BIS920	Licensed Representative (Provisional Licence)	9
BETSALEL Steven Michael	BIT466	Licensed Representative (Provisional Licence)	9
CAI Cheng	BIT444	Licensed Representative (Provisional Licence)	1, 4, 9
CHAN Cho Wai, Jo-jo	AEM930	Licensed Representative (Provisional Licence)	1
CHAN Lap Ming Castor	BIV286	Licensed Representative (Provisional Licence)	1, 4
CHAN Leong Hei	BIV626	Licensed Representative (Provisional Licence)	1
CHAN Mei Yee	BIR483	Licensed Representative (Provisional Licence)	1
CHAN Shek Hong, Raymond	AEP119	Licensed Representative (Provisional Licence)	1
CHAN Tat Chung	BIQ532	Licensed Representative (Provisional Licence)	1, 4
CHAN Wai Nga, Julia	AMU107	Licensed Representative (Provisional Licence)	1, 4
CHAN Yat Wai	BIS579	Licensed Representative (Provisional Licence)	1, 6
CHAPLIN Vera	BIR904	Licensed Representative (Provisional Licence)	10
CHAU Tak-hei Timothy	BIR376	Licensed Representative (Provisional Licence)	4
CHEN Erqian	BIV451	Licensed Representative (Provisional Licence)	6
CHEN Jiasi	BIT259	Licensed Representative (Provisional Licence)	1, 4
CHEN Lan	BAC304	Licensed Representative (Provisional Licence)	1, 4, 9
CHEN Si	BIS449	Licensed Representative (Provisional Licence)	6
CHEN Tzu-ming, Daphne	BIR629	Licensed Representative (Provisional Licence)	1, 4
CHEN Yaoqiang	BIR928	Licensed Representative (Provisional Licence)	1, 2, 7
CHEN Yi Jung	BIS899	Licensed Representative (Provisional Licence)	1, 2, 9
CHEN Yifei	BIU909	Licensed Representative (Provisional Licence)	1, 4, 6
CHENG Daming	BIV236	Licensed Representative (Provisional Licence)	1, 4, 6
CHEUNG Cheuk Wing, Michael	ADU701	Licensed Representative (Provisional Licence)	6
CHEUNG Hei Man	BIR346	Licensed Representative (Provisional Licence)	4, 9
CHEUNG Hoi Ting	BIR755	Licensed Representative (Provisional Licence)	1, 4, 6, 9
CHEUNG Wa Ching	BIQ610	Licensed Representative (Provisional Licence)	1



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHIA Mei Teng	BIT290	Licensed Representative (Provisional Licence)	1, 2
CHIA Pock Yuen, Eddie	AYT667	Licensed Representative (Provisional Licence)	4, 9
CHOI Janice Su Yun	AMN768	Licensed Representative (Provisional Licence)	1
CHOW Chun Yue Louis	BIQ704	Licensed Representative (Provisional Licence)	1, 2
CHOW Kai Sing	AMP342	Licensed Representative (Provisional Licence)	1
CHU Henry	BIR496	Licensed Representative (Provisional Licence)	4
CHU Wai Yan Yanny	BIQ626	Licensed Representative (Provisional Licence)	1
DE DIONISIO Kyle Joseph	BIV145	Licensed Representative (Provisional Licence)	1, 4, 9
DE SANTIS JR Joseph Frank	BIS913	Licensed Representative (Provisional Licence)	9
DENG Xie	BIT809	Licensed Representative (Provisional Licence)	4
DENG Yongzhi	BIV293	Licensed Representative (Provisional Licence)	1, 4
DOWDEN Clare	BIT489	Licensed Representative (Provisional Licence)	1, 2, 6
D'SILVA Anthony Hogest	BIQ706	Licensed Representative (Provisional Licence)	9
EFSTATHOPOULOS Georgios	BIR869	Licensed Representative (Provisional Licence)	4, 9
FOK Kwan Yu	BIR851	Licensed Representative (Provisional Licence)	1, 4, 5, 9
FU Ruowei	BIS660	Licensed Representative (Provisional Licence)	1, 4, 6
FU Yiu Man, Peter	AAC370	Licensed Representative (Provisional Licence)	1, 6, 9
FUNG Man Yat	BHG940	Licensed Representative (Provisional Licence)	1
GEARY Nathan James	BIQ213	Licensed Representative (Provisional Licence)	1
GOEL Maneesh	BIQ203	Licensed Representative (Provisional Licence)	1, 4, 6
GU Hanyu	BIR327	Licensed Representative (Provisional Licence)	1, 6
GUO Chenggang	BIV430	Licensed Representative (Provisional Licence)	9
GUO Yiting	BIQ865	Licensed Representative (Provisional Licence)	1, 4, 9
HAN Chin Tang	AVH609	Licensed Representative (Provisional Licence)	1
HARIHARAN Narayan Iyer	BIO463	Licensed Representative (Provisional Licence)	1, 4, 6
HATTORI Shoichi	BIR907	Licensed Representative (Provisional Licence)	1
HE Eda Yee Yee	BAF816	Licensed Representative (Provisional Licence)	9
HE Xin	BDA090	Licensed Representative (Provisional Licence)	1, 4
HINTERKOERNER Roland	BBE977	Licensed Representative (Provisional Licence)	4, 9
HO Sze Long	BAQ979	Licensed Representative (Provisional Licence)	1, 4
HO Wai Tung Nellie	BIT010	Licensed Representative (Provisional Licence)	1, 6
HONG Yancheng	AVS886	Licensed Representative (Provisional Licence)	1
HOU Yiyun	BIU737	Licensed Representative (Provisional Licence)	1
HUANG Bo	BIS266	Licensed Representative (Provisional Licence)	4
HUANG Hailong	BIV168	Licensed Representative (Provisional Licence)	1
HUANG Junwei	AVM453	Licensed Representative (Provisional Licence)	9
HUI Wan Yi Winnie	BIR702	Licensed Representative (Provisional Licence)	1
HUXLEY Richard Stuart	BIR819	Licensed Representative (Provisional Licence)	1, 2
ILDERTON Howard Graydon Rodney	AVZ288	Licensed Representative (Provisional Licence)	1, 2
JIANG Chenyao	BIU554	Licensed Representative (Provisional Licence)	1
JIANG Jiali	BAE843	Licensed Representative (Provisional Licence)	1, 6
JIANG Ting	BFL046	Licensed Representative (Provisional Licence)	4, 9



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
KARAS Bernhard	ASW620	Licensed Representative (Provisional Licence)	1, 4
KONG Brian	BDZ945	Licensed Representative (Provisional Licence)	1, 2
KONG Chun Mui	BIV198	Licensed Representative (Provisional Licence)	1, 4
KWONG Jonas Seth	BIT210	Licensed Representative (Provisional Licence)	6
KWONG Lee Ngar	BIT625	Licensed Representative (Provisional Licence)	1, 2
LAI Kai Po	BIS734	Licensed Representative (Provisional Licence)	1
LAI Ming Wai	BIV244	Licensed Representative (Provisional Licence)	9
LAM Hoi Ying	BIT747	Licensed Representative (Provisional Licence)	1, 4
LAM Jason Chee-hin	BIR280	Licensed Representative (Provisional Licence)	4
LAM Shing Pong	BIT299	Licensed Representative (Provisional Licence)	1, 4, 9
LAU Cheung Ka, Daniel	AIB406	Licensed Representative (Provisional Licence)	4, 9
LAU Chi Yue, Tony	BIT150	Licensed Representative (Provisional Licence)	1, 6
LAU Ka Keung	BIT629	Licensed Representative (Provisional Licence)	1
LAU Kai Fung, Edward	AUW118	Licensed Representative (Provisional Licence)	1, 4
LAU Kai Yam	BBA472	Licensed Representative (Provisional Licence)	1
LAU Kam Tim	ABY921	Licensed Representative (Provisional Licence)	1, 2, 4, 9
LAU Shuk Ting	BIT843	Licensed Representative (Provisional Licence)	1, 4
LAUNGANI Gautam Sukhdev	ANQ013	Licensed Representative (Provisional Licence)	1, 2
LAW Long Hei Adrian	BIQ843	Licensed Representative (Provisional Licence)	1, 2, 4, 5
LEE Ching	BIS552	Licensed Representative (Provisional Licence)	1
LEE Eric Joon Ho	BIV170	Licensed Representative (Provisional Licence)	1
LEE Kai Chung	BIV157	Licensed Representative (Provisional Licence)	3
LEE Lina	BIR821	Licensed Representative (Provisional Licence)	1
LEE Mei Wan Irene	AST031	Licensed Representative (Provisional Licence)	1
LEE Siu San Rocky	AWC885	Licensed Representative (Provisional Licence)	1, 4, 6
LEE Yee Pui, Alison	BIR182	Licensed Representative (Provisional Licence)	4
LEE Yik Lun	BIR519	Licensed Representative (Provisional Licence)	1, 2
LEE Ying Kin	AUO103	Licensed Representative (Provisional Licence)	1
LEGER Christian	BIQ600	Licensed Representative (Provisional Licence)	1
LEO Peck Chao	AJE093	Licensed Representative (Provisional Licence)	9
LEUNG Kai Hin	BIT839	Licensed Representative (Provisional Licence)	1, 2
LEUNG Kelvin Yiu Chung	ASD279	Licensed Representative (Provisional Licence)	4
LI Chin	BIS577	Licensed Representative (Provisional Licence)	1, 2
LI Kam Yu	BCS770	Licensed Representative (Provisional Licence)	1, 4, 9
LI Li	BIR520	Licensed Representative (Provisional Licence)	1, 4, 6
LI Lok Hing	BIQ838	Licensed Representative (Provisional Licence)	1, 4, 9
LI Lucy Wen	BIR041	Licensed Representative (Provisional Licence)	1, 4
LI Pengnan	BIR379	Licensed Representative (Provisional Licence)	1, 4, 9
LI Wenwen	BIS237	Licensed Representative (Provisional Licence)	1, 4
LI Xiang	BIR374	Licensed Representative (Provisional Licence)	4
LI Xingzhe	BIT236	Licensed Representative (Provisional Licence)	6
LI Yun	BIT463	Licensed Representative (Provisional Licence)	4



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
LI Yunyi	BIR345	Licensed Representative (Provisional Licence)	4
LIM Huijing Charlene	BIS127	Licensed Representative (Provisional Licence)	1, 4, 6
LIN Wei Yu	BIQ705	Licensed Representative (Provisional Licence)	2
LIN Ye	BIT314	Licensed Representative (Provisional Licence)	1, 9
LIU Guofei	BIS744	Licensed Representative (Provisional Licence)	9
LIU Hanqing	BIQ854	Licensed Representative (Provisional Licence)	1, 4, 6
LIU Ka Lun, Alan	BIT462	Licensed Representative (Provisional Licence)	1, 4
LIU liu	BIV300	Licensed Representative (Provisional Licence)	1, 4, 6
LIU Weiyue	BIR050	Licensed Representative (Provisional Licence)	1
LIU Wenqi	BIU684	Licensed Representative (Provisional Licence)	1, 4
LIU Yaping	AUX497	Licensed Representative (Provisional Licence)	1, 4, 6
LIU Yuxin	BIS265	Licensed Representative (Provisional Licence)	1, 4
LO Chia-wei	BIR666	Licensed Representative (Provisional Licence)	2
LU Xuefei	BIT148	Licensed Representative (Provisional Licence)	1, 6
LUK Ka Chi	BIT796	Licensed Representative (Provisional Licence)	1, 4, 9
LUO Weiqing	BIT510	Licensed Representative (Provisional Licence)	1, 4
MA Wenchang	BIT237	Licensed Representative (Provisional Licence)	1, 4, 9
MAFFRE Patrice Christophe Benoit	BIQ591	Licensed Representative (Provisional Licence)	1, 4, 6
MAK Mei Kuen	BBZ805	Licensed Representative (Provisional Licence)	6
MC NICHOLAS Daniel Patrick	ANQ141	Licensed Representative (Provisional Licence)	1, 2
MEI Weiyi	BIR750	Licensed Representative (Provisional Licence)	4, 9
MICHELI Marjorie Estelle	BIS401	Licensed Representative (Provisional Licence)	1
MOK Nga Woon Shirley	AVF163	Licensed Representative (Provisional Licence)	1
MONTET Lucas	BIQ389	Licensed Representative (Provisional Licence)	1, 2, 7
MU Qiang	BIR245	Licensed Representative (Provisional Licence)	4, 9
NG Chi Chung	AXV289	Licensed Representative (Provisional Licence)	4, 9
NG Chun Kit	BIN827	Licensed Representative (Provisional Licence)	6
NG Hon Kei	BIT798	Licensed Representative (Provisional Licence)	4, 9
NGAN Ying Kit Angus	AOL505	Licensed Representative (Provisional Licence)	1, 4
NISHIZAWA Kiyotada	AAF914	Licensed Representative (Provisional Licence)	1
OOI Boon Sing	BBY029	Licensed Representative (Provisional Licence)	1, 6
PAN Chenyue	AWE766	Licensed Representative (Provisional Licence)	4
PANG Kai Fung	BIT662	Licensed Representative (Provisional Licence)	1, 2, 7
PENG Han	BIS046	Licensed Representative (Provisional Licence)	1
POON Mei Ho	BIV309	Licensed Representative (Provisional Licence)	1, 4
POON Chok Kei	BIR704	Licensed Representative (Provisional Licence)	1, 2
PRITCHARD Logan James	BIR395	Licensed Representative (Provisional Licence)	9
PUN Chun Tung	BIT810	Licensed Representative (Provisional Licence)	1, 2, 4
PURI Moneesh	BIR081	Licensed Representative (Provisional Licence)	1, 4
RHEE Samuel Gene	AFE900	Licensed Representative (Provisional Licence)	1
SANTHA Daniel	BHK899	Licensed Representative (Provisional Licence)	1, 2
SERVAIS Gautier J.D.	BFO128	Licensed Representative (Provisional Licence)	2



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
SHAH Jennifer Sarah Clark	AUR660	Licensed Representative (Provisional Licence)	1, 4
SHENOI Padubidri Pramod	BIO472	Licensed Representative (Provisional Licence)	1, 4, 6
SHIN Steven Sung Ho	BIP978	Licensed Representative (Provisional Licence)	1
SHUM Hiu Tung	BIT011	Licensed Representative (Provisional Licence)	9
SHUM Kit	AJD416	Licensed Representative (Provisional Licence)	1, 4
SHUM Yu Keung, Harris	BIR552	Licensed Representative (Provisional Licence)	10
SO Wai Yee, Betty	AQC501	Licensed Representative (Provisional Licence)	1, 4, 6, 9
SONG Zhengwei	BIR545	Licensed Representative (Provisional Licence)	4
STALEY Todd Alan	BIV621	Licensed Representative (Provisional Licence)	1, 4
SUH Soobene	BIT671	Licensed Representative (Provisional Licence)	9
SUN Fangjie	BIV204	Licensed Representative (Provisional Licence)	1, 4, 6
SUN Steve Donald	ABX349	Licensed Representative (Provisional Licence)	1
SUN Xiaoguang	AIC355	Licensed Representative (Provisional Licence)	1, 4, 9
SUN Yuen Han	AGN808	Licensed Representative (Provisional Licence)	1, 2, 4, 9
SZE Ka Wo	BIV051	Licensed Representative (Provisional Licence)	1, 4, 9
TAM Ka Chun	BIS737	Licensed Representative (Provisional Licence)	1
TANG Chit Yuen	BIT022	Licensed Representative (Provisional Licence)	1, 6
TANG Choe Mui	AGE488	Licensed Representative (Provisional Licence)	1
TANG Wai Ling, Ada	AVL310	Licensed Representative (Provisional Licence)	1
TANUJAYA TJIOENG Johny	AWN206	Licensed Representative (Provisional Licence)	1
TIAN Lijun	BIV622	Licensed Representative (Provisional Licence)	6
TSANG Hoi Lam Anne	BIT411	Licensed Representative (Provisional Licence)	1, 2
TSANG Ki Lok Kenneth	ANM956	Licensed Representative (Provisional Licence)	1, 2
TSE Ho Fai	BIT531	Licensed Representative (Provisional Licence)	9
VIJ Arjun	BIT015	Licensed Representative (Provisional Licence)	4, 5, 9
WANG Donglei	BIR748	Licensed Representative (Provisional Licence)	1, 6
WANG Jue	BIS260	Licensed Representative (Provisional Licence)	1, 6
WANG Mengkai	BIR351	Licensed Representative (Provisional Licence)	4
WANG Vanessa	BIS581	Licensed Representative (Provisional Licence)	1, 4, 9
WANG Yao	BAE170	Licensed Representative (Provisional Licence)	1, 4, 6
WANG Yu	BIR339	Licensed Representative (Provisional Licence)	4
WANG Yuchan	BIT774	Licensed Representative (Provisional Licence)	6
WANG Yu-chu	BIT506	Licensed Representative (Provisional Licence)	1
WEN Yongwen	BIR692	Licensed Representative (Provisional Licence)	1, 4, 9
WONG Chin Lun	BIQ867	Licensed Representative (Provisional Licence)	1
WONG Chor Kwan	AVS145	Licensed Representative (Provisional Licence)	1, 4
WONG Ho Keung	BIV025	Licensed Representative (Provisional Licence)	1
WONG Pearl	BIV625	Licensed Representative (Provisional Licence)	1
WONG Shing Kit	BIU959	Licensed Representative (Provisional Licence)	4
WONG Tsz Ping, Barbara	AFF229	Licensed Representative (Provisional Licence)	1, 4, 9
WONG Wesley Tze-ho	BIQ523	Licensed Representative (Provisional Licence)	1
WU Yifeng	BIR524	Licensed Representative (Provisional Licence)	1, 2, 4



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
WU Yijun	BDA182	Licensed Representative (Provisional Licence)	1, 4
XIA Yang	BIR052	Licensed Representative (Provisional Licence)	1, 6
XIAO Bin	BFD309	Licensed Representative (Provisional Licence)	1, 4
XIAO Han	BIV459	Licensed Representative (Provisional Licence)	1, 2, 4, 9
XIE Jinchi	BIR549	Licensed Representative (Provisional Licence)	1
XIE Rudong	BIQ227	Licensed Representative (Provisional Licence)	4, 9
XU Shan	BIR248	Licensed Representative (Provisional Licence)	1
XU Shengjie	BIQ715	Licensed Representative (Provisional Licence)	10
XU Wei	AZN499	Licensed Representative (Provisional Licence)	1
XU Yani	BIR465	Licensed Representative (Provisional Licence)	1
YAM Chung Wai	BIV276	Licensed Representative (Provisional Licence)	1, 2, 3
YANG Yang	BIV557	Licensed Representative (Provisional Licence)	1, 6
YANG Yue	BGW794	Licensed Representative (Provisional Licence)	1
YEE Jun Jie Mervyn	BIS559	Licensed Representative (Provisional Licence)	4
YEE Kar Seng	AVJ477	Licensed Representative (Provisional Licence)	1, 2
YEUNG Ching Ching	BIT555	Licensed Representative (Provisional Licence)	1
YIP Ming Wong	BIS729	Licensed Representative (Provisional Licence)	1, 4
YU An Li	BIT643	Licensed Representative (Provisional Licence)	1, 4
YU Chun Kit	BIV597	Licensed Representative (Provisional Licence)	6
YU Claudia	BIR241	Licensed Representative (Provisional Licence)	1, 2
YU Robert Leo Alfaro	BEU882	Licensed Representative (Provisional Licence)	1, 6
YUAN Hao	AUD136	Licensed Representative (Provisional Licence)	1, 4, 6
YUAN Ye	BIT667	Licensed Representative (Provisional Licence)	4, 9
YUAN Zhongyu	BIQ601	Licensed Representative (Provisional Licence)	4
YUEN Ming Fai	ABR709	Licensed Representative (Provisional Licence)	1, 4
ZHAI Jia	APH926	Licensed Representative (Provisional Licence)	1, 6
ZHANG Jing	BIT286	Licensed Representative (Provisional Licence)	1
ZHANG Philippe Jianhong	BIS079	Licensed Representative (Provisional Licence)	9
ZHANG Tianze	BIR938	Licensed Representative (Provisional Licence)	2, 5
ZHANG Xiaobin	BIR046	Licensed Representative (Provisional Licence)	1, 6
ZHANG Xiaoge	BIS768	Licensed Representative (Provisional Licence)	1
ZHANG Yidong	BIS749	Licensed Representative (Provisional Licence)	4
ZHANG Yifan	BIR398	Licensed Representative (Provisional Licence)	4, 9
ZHOU Xi	BIR892	Licensed Representative (Provisional Licence)	3
ZHU Di	BIR664	Licensed Representative (Provisional Licence)	1, 4, 6
ZHU Jiayuan	BIU924	Licensed Representative (Provisional Licence)	1, 4
ZHUANG Hanxiang	BIS015	Licensed Representative (Provisional Licence)	1, 4, 9
BOYD Benjamin John	BIS576	Licensed Representative (Temporary Licence)	1, 4, 6
CHAN Dennis	BEE283	Licensed Representative (Temporary Licence)	4
CHANDRAKUMARAN Maiuran	BIM852	Licensed Representative (Temporary Licence)	1, 2
CHEN Lan	BIQ901	Licensed Representative (Temporary Licence)	4
CHENG Robin Shiang	ATD727	Licensed Representative (Temporary Licence)	1, 4



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHIA Jackie Shu Min	BIG318	Licensed Representative (Temporary Licence)	1, 2
CHONG Jingle	BFF394	Licensed Representative (Temporary Licence)	1, 2
CHOPRA Raashi	BEE682	Licensed Representative (Temporary Licence)	4
CHOPRA Sameer	BAU420	Licensed Representative (Temporary Licence)	1, 4
CLINT Oswald Conan	AVH615	Licensed Representative (Temporary Licence)	4
DARK Adrian John	BFA326	Licensed Representative (Temporary Licence)	4
DE NOON Paul Joseph	ALY371	Licensed Representative (Temporary Licence)	1
ELLIOTT Roger John	BEN554	Licensed Representative (Temporary Licence)	4
FOODEY David Nicholas	AQS670	Licensed Representative (Temporary Licence)	1
GONZALEZ HERES Jose Francisco	AQS673	Licensed Representative (Temporary Licence)	1
GREENBERGER Kimberly Conroy	BBK170	Licensed Representative (Temporary Licence)	1
HARTING Morgan Clothier	AXT012	Licensed Representative (Temporary Licence)	1
HESSE Oliver Marc	BGK627	Licensed Representative (Temporary Licence)	1
HOH Pai Sen, Fredy	BIQ748	Licensed Representative (Temporary Licence)	1, 4
KIM Sang Soo	BDR263	Licensed Representative (Temporary Licence)	4
KUBOTA Masashi	BBA891	Licensed Representative (Temporary Licence)	1, 4
LEE Chung-Han	BET671	Licensed Representative (Temporary Licence)	1, 2
LEE KyoungJu	BGT421	Licensed Representative (Temporary Licence)	4
LEE Ming-Hsun	BAO744	Licensed Representative (Temporary Licence)	1, 4
LEE Ming-Hsun	BAO744	Licensed Representative (Temporary Licence)	1, 4
LIGHT Andrew James	BEN573	Licensed Representative (Temporary Licence)	4
LIN Maximillian George	BHY284	Licensed Representative (Temporary Licence)	4
LONDON Eric Ronald	BIR382	Licensed Representative (Temporary Licence)	1, 4
MIYAMOTO Go	BIN850	Licensed Representative (Temporary Licence)	4
MORRIS Robert Scott	BGL227	Licensed Representative (Temporary Licence)	4
NA Eun Chae	BGC163	Licensed Representative (Temporary Licence)	4
NARAIN Manik	BIQ875	Licensed Representative (Temporary Licence)	4
NIETSCH Eric Clark	BIA055	Licensed Representative (Temporary Licence)	10
NIHONYANAGI Kei	BBP472	Licensed Representative (Temporary Licence)	1, 4
OMURO Tomoyoshi	APP829	Licensed Representative (Temporary Licence)	4
PODRUG Frane	BDH801	Licensed Representative (Temporary Licence)	1, 4
POLOVY Charles Michel Guillaume Edouard	BHO026	Licensed Representative (Temporary Licence)	1, 2
PRAKASH Sharad	BIR484	Licensed Representative (Temporary Licence)	1
REEMER Jeffrey Ross	BIR381	Licensed Representative (Temporary Licence)	1, 4
RESTOUT Thomas Jean	BIB315	Licensed Representative (Temporary Licence)	1, 2
SAKAI Rie	BGN378	Licensed Representative (Temporary Licence)	1, 4
SAMBOR Jean-Charles Pierre	BIQ355	Licensed Representative (Temporary Licence)	4
SENGOKU Makoto	BIR029	Licensed Representative (Temporary Licence)	4
SHANKER Ravi	BFM570	Licensed Representative (Temporary Licence)	1
SHINGLER Alexander Miles	BIO194	Licensed Representative (Temporary Licence)	1, 4
SUISSA Daniel	BAH960	Licensed Representative (Temporary Licence)	1, 2
TAYAL Kunal	BBL045	Licensed Representative (Temporary Licence)	1, 4

**ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2016**

CE Name	CE No.	Licence Type	Types of Regulated Activity
UPADHYAY Nishant	BIS763	Licensed Representative (Temporary Licence)	1
WANE Christopher John	BIR999	Licensed Representative (Temporary Licence)	1, 4
WANG Shiyan	BDP424	Licensed Representative (Temporary Licence)	4
XIE Jiaoyue	BHU354	Licensed Representative (Temporary Licence)	1, 4
ZHONG Hui	BIR274	Licensed Representative (Temporary Licence)	4