



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2017

CE Name	CE No.	Licence Type	Types of Regulated Activity
Abundia Capital Management (HK) Limited	BIN669	Licensed Corporation	4, 9
Acer King Securities International Limited	BIX208	Licensed Corporation	1
Afflux Securities Limited	BIO838	Licensed Corporation	1
Asia Investment Fund Management Limited	BJB358	Licensed Corporation	9
Auroville Investment Management (HK) Limited	BIW257	Licensed Corporation	9
Canfield Securities Company Limited	BIH478	Licensed Corporation	1
ChaoShang Asset Management Limited	BIY456	Licensed Corporation	4, 9
Dantai Capital Limited	BCZ158	Licensed Corporation	9
Duo Asset Management Limited	BIR942	Licensed Corporation	9
Fair Securities Limited	BJG158	Licensed Corporation	1
GLOBAL MASTERMIND SECURITIES LIMITED	BIO067	Licensed Corporation	1, 4
GREATER CHINA FINANCIAL SERVICE LIMITED	BIX975	Licensed Corporation	4, 9
Green Court Capital Management Limited	BIC862	Licensed Corporation	4, 9
Hai Tian International Securities Limited	BJB683	Licensed Corporation	1, 4, 9
Hon Yen Securities Limited	BIU637	Licensed Corporation	1
Hong Kong Wealthy Trade Limited	BIQ778	Licensed Corporation	1
Innovax Asset Management Limited	BIB970	Licensed Corporation	9
Innovax Securities Limited	BHV052	Licensed Corporation	1, 4
Joy Rich Securities Investment Limited	BIH924	Licensed Corporation	1
Lapland Securities Limited	BJD139	Licensed Corporation	1, 4, 9
Minter Capital Management Limited	BIM490	Licensed Corporation	4, 9
MYM Capital Partners Limited	BIH878	Licensed Corporation	4, 9
Powership Capital Management Limited	BIV461	Licensed Corporation	4, 9
Richland Asset Management (HK) Limited	BIM546	Licensed Corporation	9
Value Partners Technology Systems Limited	BAW926	Licensed Corporation	1, 4, 9
Venture Partners Securities Limited	BIZ103	Licensed Corporation	1
Winfor Capital Management Limited	BHW985	Licensed Corporation	9
AEPLI Kevin Holliday	BJG432	Licensed Representative	1
AU Chun Tung	BJE569	Licensed Representative	6
BAI Peishan	BJA013	Licensed Representative	1, 4, 9
BHANDARI Vishal	BJG129	Licensed Representative	1, 4, 9
BLAKE Anthony Peter	AFK724	Licensed Representative	9
BURNS Leonard Carter	AOX199	Licensed Representative	1
CAI Jingyan	BJG895	Licensed Representative	4
CAI Zhipeng	BJF184	Licensed Representative	1, 4
CAO Hui	AVM093	Licensed Representative	4, 9
CAO Jingmu	AYW195	Licensed Representative	1, 4
CHAN Bonnie Chiao Nien	AOQ884	Licensed Representative	4, 9
CHAN Cheuk Yin	AXG304	Licensed Representative	1, 4, 9
CHAN Jacqueline Bernabe	BJH123	Licensed Representative	1
CHAN Ka Fung	BJG131	Licensed Representative	1, 4, 9
CHAN Kwun Yin	BJH176	Licensed Representative	1, 4



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2017

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHAN Mei Mei	AHX196	Licensed Representative	1, 2
CHAN Micky Conita	BJH452	Licensed Representative	6
CHAN Ngar Ling	BJH318	Licensed Representative	1, 6
CHAN Pak Kwong	BAC231	Licensed Representative	1, 4
CHAN Pui Yin	BJG225	Licensed Representative	9
CHAN Rocky Yu	BJE573	Licensed Representative	1
CHAN Sin Tung	BJE768	Licensed Representative	1
CHAN Siu Ling, Ascar	AVC082	Licensed Representative	1, 2
CHAN Wing Hong	BGL241	Licensed Representative	1
CHAN Yuk Kwan	BJD810	Licensed Representative	1
CHANG Ta-chi, Cathy	ACH584	Licensed Representative	1, 4
CHAU Hoi Ting	BJI240	Licensed Representative	4, 9
CHEN Hsing-Yu	BJH672	Licensed Representative	1, 4
CHEN Ji	BJI734	Licensed Representative	1
CHEN Sijia	BBU918	Licensed Representative	9
CHEN Xulin	BJD412	Licensed Representative	1, 4, 9
CHEUNG Hui Yin	BEY797	Licensed Representative	1
CHEUNG Kwok Kuen	AWS605	Licensed Representative	1
CHEONG Hok Wai, Benny	AMJ568	Licensed Representative	1
CHEUNG Ka Chun	BJF078	Licensed Representative	4, 9
CHEUNG Kenneth Kai-hoi	AVA660	Licensed Representative	1
CHEUNG Lok Ming, Lawrence	BJE306	Licensed Representative	1, 4
CHIEN Cheng Hao	BJC191	Licensed Representative	1, 9
CHOI Ching Wan, Janet	AUZ165	Licensed Representative	1
CHONG Ngai Man	AZY195	Licensed Representative	1
CHOW Gwen Heng	BJI785	Licensed Representative	1, 2
CHOW Tsun Ho, Anson	AQG809	Licensed Representative	1, 4
CHOW Yuen Ting	BEW968	Licensed Representative	9
CHUNG Ho Wai, Alan	ARE721	Licensed Representative	1, 9
CHUNG Po King	BJG433	Licensed Representative	1
CO Chun Wai	ADU467	Licensed Representative	1
DICKGIESSER Sophie Ying	BJE540	Licensed Representative	1, 6
DONG Chang	AXN155	Licensed Representative	1, 4, 6
DONG Xuan	BJG736	Licensed Representative	1, 4, 6
DU Jingjing	BJE166	Licensed Representative	1, 4
ELLIOT Graham	BJG894	Licensed Representative	1, 4
FALLON Shaun Patrick	BJG675	Licensed Representative	1
FAN Yingjie	BJE201	Licensed Representative	1, 6
FENG Changli	BJI357	Licensed Representative	1, 4
FENG Xiao	BJG437	Licensed Representative	1, 6
FENG Yanjun	BJE704	Licensed Representative	1, 4
FONG Ka Man	ARW392	Licensed Representative	1, 2



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2017

CE Name	CE No.	Licence Type	Types of Regulated Activity
FOSTER Duncan John	BCN540	Licensed Representative	1, 2
FU Tianzi	BJC691	Licensed Representative	4
FUNG Ka Yan	BHO409	Licensed Representative	1
FUNG Kai Hang, John	BJE909	Licensed Representative	1
FUNG Kin Leung	APP362	Licensed Representative	1, 2
GAMHARTER Benedikt	BJH395	Licensed Representative	1, 2
GOH Kah Peng	AFY707	Licensed Representative	1, 4, 9
HAK Stephanie Chung Man	BJH420	Licensed Representative	1, 4, 9
HARRIS John Patrick	BJH243	Licensed Representative	1
HARRIS Jonathan Howe	ACA158	Licensed Representative	1
HINDMARSH George Edward	BJE013	Licensed Representative	1
HO Ho Ling	BJD641	Licensed Representative	1, 4, 9
HO Lai Man	BJF252	Licensed Representative	1
HO Oi Yee, Margaret	ALP937	Licensed Representative	1, 2, 4
HO Purdy Pin Pin	ASI353	Licensed Representative	4
HO Sau Ping	BJH020	Licensed Representative	6
HO Sung Chau	BJE605	Licensed Representative	1
HSIEH Tsung-Yu	BHQ123	Licensed Representative	1, 2
HU Jingan	BIV840	Licensed Representative	4, 9
HUANG Gan	BJI675	Licensed Representative	1
HUANG Jiamin	BJG182	Licensed Representative	9
HUANG Rui Lai	BJG655	Licensed Representative	1, 6
HUANG Weijie	BJG287	Licensed Representative	1, 4
HUANG Xikun	BIU917	Licensed Representative	1, 2
HUI Lap Yin	AVW181	Licensed Representative	4
HUMPLEBY Charles David	BHS486	Licensed Representative	1
IP Yee Ching	BJG875	Licensed Representative	1
ITO Yuka	BJC229	Licensed Representative	1, 4
JHA Harshwardhan	BGR022	Licensed Representative	1
JIANG Jihao	BJG860	Licensed Representative	4
JOHNSON Christopher Lind	AGA971	Licensed Representative	9
KAM Hei Wai	BJG152	Licensed Representative	1
KAWASAKI Satsuki	BJE606	Licensed Representative	4
KIM Byung Joo	BJE661	Licensed Representative	1
KIM Hae Ryong	ANE830	Licensed Representative	1
KIM So Yeon	AMM348	Licensed Representative	1, 4
KIM Yoon Ki	BJC341	Licensed Representative	4
KLAUS Marco	BJD373	Licensed Representative	1, 4, 9
KO Bryan Kar-Hung	AGJ203	Licensed Representative	1, 2
KO Siu Fai	BJD954	Licensed Representative	1
KOH Boon Wee	BJD909	Licensed Representative	1, 2
KONG Ching Hong, Alan	BJE159	Licensed Representative	1, 4, 9



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2017

CE Name	CE No.	Licence Type	Types of Regulated Activity
KWAN Chung Ping	BJE769	Licensed Representative	1
KWOK Denise Jocelyn	AEG896	Licensed Representative	1, 4, 9
KWOK Ka Yi, Emily	ADY821	Licensed Representative	1
KWOK Wing Hon	BJG633	Licensed Representative	1, 4
KWONG Chi Hang	BEF242	Licensed Representative	1, 2
KWONG Ho Pang	BJF035	Licensed Representative	1, 2
KWONG Tsz Ting	BJG798	Licensed Representative	1, 4, 9
LAI Hoi Lee	AYQ271	Licensed Representative	1, 9
LAI Hoi Shan Elsa	BJE207	Licensed Representative	1, 4
LAI Nga Kwan	BJI019	Licensed Representative	1
LAI Tsun Kit	AYJ279	Licensed Representative	1
LAM Chui Fan	BJE216	Licensed Representative	4
LAM Chun Shing	BJE610	Licensed Representative	1, 4, 9
LAM Ka Chi, Samuel	AMU812	Licensed Representative	4, 9
LAM Kam Ho	BJG132	Licensed Representative	1
LAM Lai Chun	AFJ754	Licensed Representative	1, 4
LAM Sze Wai	BJG780	Licensed Representative	1
LAM Tsz Kit	BJE766	Licensed Representative	6
LARSEN Michael Jeremy	BJG677	Licensed Representative	1, 4, 9
LAU Ci Ci	BJG877	Licensed Representative	1
LAU Man Tat	BJE753	Licensed Representative	6
LAU Pak Tak	BJE603	Licensed Representative	3
LAU Wai Lee Willey	BJH784	Licensed Representative	4, 9
LAU Wing Yip, Thomas	AFY003	Licensed Representative	1
LAW Yuk Yin	BJF032	Licensed Representative	1, 2
LEE Aleen Li Fei	AVS019	Licensed Representative	4
LEE Chung Wing Alfred	ATT542	Licensed Representative	1
LEE Hee Won	AYV602	Licensed Representative	1
LEE Ho Kit	BBP201	Licensed Representative	2
LEE Hoan Soo	BJG438	Licensed Representative	4, 9
LEE Ka Kit	BEW197	Licensed Representative	6
LEE Kam Kuen	BJD608	Licensed Representative	1
LEE Kyung Jik	BJH185	Licensed Representative	1, 4
LEE Pin Ching	BJG863	Licensed Representative	4
LEE Ting Wang Raymond	BJH328	Licensed Representative	1
LEE Tsi Bun, Benjamin	AQM594	Licensed Representative	1, 2
LEI Huiting	BJE538	Licensed Representative	6
LEI I Na, Ella	BJH776	Licensed Representative	1, 4
LENG Xiaomao	BJA623	Licensed Representative	1, 6
LEONG Wai Ip	AFV784	Licensed Representative	1
LEUNG Chau Ying Marlica	BJF047	Licensed Representative	1, 4
LEUNG Wing Tak	BJG649	Licensed Representative	1



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CE Name	CE No.	Licence Type	Types of Regulated Activity
LEUNG Yvonne Tsang Yin	BJG375	Licensed Representative	1
LI Jing	AOV618	Licensed Representative	1, 2
LI Jun	BJG656	Licensed Representative	1, 4, 9
LI Kaiyan	BJE837	Licensed Representative	1, 4, 9
LI Ngai Shing	BJH999	Licensed Representative	1, 2
LI Shanshan	BJG360	Licensed Representative	1
LI Wai Kwok, Solomon	ARS049	Licensed Representative	1
LI Wang Fung Raymond	ALD642	Licensed Representative	1, 4, 9
LI Xiao	BEH577	Licensed Representative	1, 6
LI Xiyun	BJB382	Licensed Representative	1
LI Yi	BJF133	Licensed Representative	4, 9
LI Yi	BJF245	Licensed Representative	1
LI Yuen Fung, Gary	BEC909	Licensed Representative	1, 4
LI Yuming	BJD568	Licensed Representative	4
LI Yun	BIT463	Licensed Representative	4
LIANG Shuang	BJG128	Licensed Representative	4, 9
LIANG Zhen Yu	BJG450	Licensed Representative	1
LIN Fong Ki	BJH331	Licensed Representative	2
LIN Ka Man	BJE651	Licensed Representative	1, 6
LIN Peiyuan	BJD780	Licensed Representative	1
LIN Sen	BJB730	Licensed Representative	1, 4, 9
LIU Lingming	BDO989	Licensed Representative	2, 5
LIU Po Fan	BJE596	Licensed Representative	1
LIU Pui Yee Pearl	BJE599	Licensed Representative	1, 4
LIU Qunmin	BJG608	Licensed Representative	1, 6
LIU Suyang	BJH292	Licensed Representative	9
LIU Wenjiao	BJE604	Licensed Representative	1
LIU Wenqi	BIU684	Licensed Representative	1, 4
LIU Xinshu	BJG634	Licensed Representative	1, 4
LIU Yat Sin	BJG879	Licensed Representative	1
LIU Yihui	BJD794	Licensed Representative	6
LIU Yiqun	BJG291	Licensed Representative	1, 4, 9
LIU Yixing	BIG093	Licensed Representative	1, 4, 9
LIXIE Yunan	BBK352	Licensed Representative	1, 6
LU Fengqing	BJC209	Licensed Representative	9
LU Junyi	BJA751	Licensed Representative	1, 6
LU Manyi	BJH113	Licensed Representative	4
LU Rui	BEB344	Licensed Representative	9
LUK Ching Chung	ARW219	Licensed Representative	1, 4
LUK Ho Lam	BJG130	Licensed Representative	9
MA Cheng	BGT831	Licensed Representative	1, 4, 9
MA Jiaxin	BJD660	Licensed Representative	1, 2, 7



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2017

CE Name	CE No.	Licence Type	Types of Regulated Activity
MA Junyi	BJG302	Licensed Representative	4, 9
MA Xinyu	BJG363	Licensed Representative	1
MA Xiyuan	BIU614	Licensed Representative	2
MAI Jiaming	BJE910	Licensed Representative	1
MAI Siwei	AUJ127	Licensed Representative	1, 4, 9
MAK Kam Fung	BJD419	Licensed Representative	1
MALTER Hannah Rebecca	AYQ635	Licensed Representative	6
MAN Hon Sang	BJG630	Licensed Representative	1, 4
MAN Kin Fun	AWN380	Licensed Representative	1
MARTYR Andrew Dudley Pentland	BJE202	Licensed Representative	2
MASEK Scott Axel Alan	BJE193	Licensed Representative	9
MEI Di	BIG357	Licensed Representative	6
MEI Weiyi	BIR750	Licensed Representative	4, 9
MIAO Shulin	BJH269	Licensed Representative	4, 9
MIU Pepita Yinki	AEN898	Licensed Representative	9
MIYAGI HIROKAZU	BJE607	Licensed Representative	4
MO Zhiyu	BJE373	Licensed Representative	4, 9
MOK Chi Kuan	BJE134	Licensed Representative	10
MOK King Lun, Philip	AWF599	Licensed Representative	1, 4
MORIYAMA Keisuke	AQP609	Licensed Representative	4
NG Ho Wah	BBE969	Licensed Representative	1, 4, 9
NG Hung Leung	BJH317	Licensed Representative	1
NG Jasmine Claire	BJG725	Licensed Representative	1, 4
NG Jun Jie	BJG157	Licensed Representative	2, 5
NG Kim Wai	BJD610	Licensed Representative	1, 4
NG Li Sheng Jason	BGG975	Licensed Representative	9
NG Pui Yan	BJB479	Licensed Representative	1
NG Sek Yin	BJE681	Licensed Representative	1, 2, 7
NG Wai Kei	AQQ261	Licensed Representative	1
NG Wai Kwong	AWP695	Licensed Representative	1, 9
NGAN Che Fung	BJH248	Licensed Representative	1, 2
NIU Qianru	BJE845	Licensed Representative	1
OR Alicia She Ying	BJE929	Licensed Representative	1, 4
PAGE Guillaume Boris	BJB179	Licensed Representative	1, 4, 9
PAMPAPATHI Vinay Kumar	BJG449	Licensed Representative	1
PANDE CHANCHANI GAURI	BJG431	Licensed Representative	1
PANG Ho Chuen	BJE558	Licensed Representative	1
PARK Ji Eun	BJG148	Licensed Representative	4
PENG Jian	BJH329	Licensed Representative	1, 2, 7
PHUA Si Hui Nicole Faith	BJH534	Licensed Representative	4
PINTEAUX ADRIEN PIERRE ANDRE	BJF084	Licensed Representative	2
POTTS Robert James	BJG312	Licensed Representative	4



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CE Name	CE No.	Licence Type	Types of Regulated Activity
PU Xiaoxi	BJG185	Licensed Representative	1, 4, 6
QI Zhengtao	BCP497	Licensed Representative	1, 4
QIN Yunshan	BJG589	Licensed Representative	1, 4
QIU Xiaole	BJG442	Licensed Representative	1, 4, 9
RAINEY William Martin	BJC051	Licensed Representative	4
RAN Linwan	BJE120	Licensed Representative	6
RATLIFF David Talmadge	AHG576	Licensed Representative	1, 2
REEDER Benjamin Lee	BJE418	Licensed Representative	1
RHOADES Wing Man, Vivien	AIR404	Licensed Representative	1, 7
RYBINSKI III Francis Paul	BJF040	Licensed Representative	1, 4
SAKAIDA Kunio	BJH321	Licensed Representative	4
SATO KOKI	BJC095	Licensed Representative	4
SEOW Derek Yong Way	BJE602	Licensed Representative	1, 7
SHE Cheuk Man	BJE739	Licensed Representative	6
SHEN Shirley Xiaoying	BJH252	Licensed Representative	4
SHEN Yin	BIZ777	Licensed Representative	1, 6
SHENG Shiwei	BJE927	Licensed Representative	1, 6
SHI Luyao	BJG851	Licensed Representative	1, 9
SHI Yu	AOX368	Licensed Representative	1, 4
SHIM WOO SEOK	BJE379	Licensed Representative	9
SHU Hoi Ming, Karman	AQB106	Licensed Representative	1, 2
SIN Yip Fung	BJG745	Licensed Representative	9
SO Hoi Yan	BJB934	Licensed Representative	1, 4, 9
SO Leung Yee, Sabrina	ACI077	Licensed Representative	1
SONG Chen	BJE539	Licensed Representative	1
SONG Ting	BIV964	Licensed Representative	1, 4
SOON Shu-Min Amanda	AY1983	Licensed Representative	1, 6
SUM Lik Hang, Alex	AXF998	Licensed Representative	1
SUN Huang	BJB920	Licensed Representative	1
SUN Gilbert Ken Bon	AZB607	Licensed Representative	1, 2
SUN Yat Chun Andy	BJH204	Licensed Representative	1, 4
SUN Yutong	BJE520	Licensed Representative	1, 9
SZE YING YING	BJI404	Licensed Representative	1
TAI Kit Ying, Agnes	ABD514	Licensed Representative	1, 2, 4, 5, 9
TAI Yuen Fai, Patricia	BJE911	Licensed Representative	1
TAM Cheuk Kiu	BJH021	Licensed Representative	1, 6
TAM Chris Sze On	BJD946	Licensed Representative	1, 6
TAM Kin Kei	AZW907	Licensed Representative	1
TAM Wing Yee	AEC589	Licensed Representative	1, 4
TAMAKI Yasuhiro	BJF254	Licensed Representative	9
TANG Hon Wing	BJE956	Licensed Representative	1, 4, 6
TANG Kai Wing	BAB779	Licensed Representative	4



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CE Name	CE No.	Licence Type	Types of Regulated Activity
TANG Mo Wai Raymond	BJG784	Licensed Representative	1
TANG Tsun Kit George	ASW346	Licensed Representative	1, 2
TIAN Jinyu	BCD350	Licensed Representative	9
TIAN Qianyi	BJD584	Licensed Representative	10
TOM Edward	ANF158	Licensed Representative	2, 5
TOMIMURA Yu	BAL542	Licensed Representative	4, 9
TSAI Wan Chun	BJG465	Licensed Representative	1, 2, 4, 5
TSANG Kwok Kit	BJE494	Licensed Representative	1
TSANG SIU YU	BJG901	Licensed Representative	1, 4
TSE Ka Yan	BJG606	Licensed Representative	1
Tsui Man Wai	AKV041	Licensed Representative	1
TSUKAMOTO Terumasa	BJF249	Licensed Representative	9
VAN VLIET NICOLAS RUDOLF	BJH418	Licensed Representative	1
WAN Chung Yuen	AXF966	Licensed Representative	1
WAN Tze Bun Gilbert	BJE734	Licensed Representative	1
WANG Chen	BJC199	Licensed Representative	6
WANG Diming	BIZ246	Licensed Representative	1, 6
WANG Shaohua	BJE214	Licensed Representative	1, 4, 9
WANG Tengteng	BJD824	Licensed Representative	1
WANG Yuchao	BJI224	Licensed Representative	1, 4
WANG Yunying	BJG612	Licensed Representative	1, 2
WEATHERILL Scott James	BJH173	Licensed Representative	1, 2
WEHN Michael Travis	BJE208	Licensed Representative	1, 9
WELCH Peter Joseph	AEU528	Licensed Representative	1, 4, 6
WENGER Stephan Patrick	AXC823	Licensed Representative	9
WISEMAN Mark Andrew	BJE311	Licensed Representative	1, 4
WONG Cliff Gordon	BJG893	Licensed Representative	4
WONG Ho Ching	AQJ842	Licensed Representative	1, 4, 9
WONG Hui Yun	AUZ064	Licensed Representative	1, 6
WONG Jee Chung	BIW480	Licensed Representative	4
WONG Ka Ho	BJG194	Licensed Representative	1, 2
WONG Kenneth Sze-ho	AWT852	Licensed Representative	1, 7
WONG Kit Yu	BJG874	Licensed Representative	1
WONG Ngan, Jacqueline	ADX528	Licensed Representative	1, 4
WONG Pak Yui, Maffee	ASF405	Licensed Representative	1
WONG Si Si Connie	BIZ557	Licensed Representative	1
WONG Tak Shing	BJD728	Licensed Representative	1
WONG TSZ SING	BJH135	Licensed Representative	6
WONG Wai Kin	BJF046	Licensed Representative	1, 4
WONG Wai Yin	BJF034	Licensed Representative	1, 2
WONG Yan	AMG970	Licensed Representative	1
WU Hoi Kit	BJH727	Licensed Representative	4, 9



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2017

CE Name	CE No.	Licence Type	Types of Regulated Activity
WU Hon Hei Henry	BJH273	Licensed Representative	1, 4
WU Ruihong	BIZ546	Licensed Representative	1, 2, 3
XIANG Jingwen	BEJ869	Licensed Representative	1, 6
XIE Che	BJC693	Licensed Representative	1, 9
XIONG Wei	BJC489	Licensed Representative	4
XU Dan	BJC231	Licensed Representative	2
XU Huihui	BIY213	Licensed Representative	1, 4
XU Wen	BJA056	Licensed Representative	1, 6
XU Zhe	BJH714	Licensed Representative	9
YAM Chin Pang	ANL963	Licensed Representative	1, 4
YAMASHITA Tamisuke	BJF117	Licensed Representative	9
YAN Yonglin	BJF250	Licensed Representative	4, 9
YANG Jiaying	BJE212	Licensed Representative	1, 6
YANG Shu Hui	BJG892	Licensed Representative	1, 2
YAO Xue	AWK470	Licensed Representative	4
YAU Yuen Wah	BJH336	Licensed Representative	1, 2
YEH MAN HSUAN	BJD212	Licensed Representative	1
YEUNG Chun Pui	BJE036	Licensed Representative	1
YEUNG HEY WAI	BJG207	Licensed Representative	1, 4
YEUNG Man Lok	AUZ880	Licensed Representative	2
YIM KUI SING	BJG604	Licensed Representative	1, 4, 9
YOU Chenyun	BJD771	Licensed Representative	1, 4, 9
YOU Luya	BJG607	Licensed Representative	4
YOU Yang	BJB904	Licensed Representative	4
YU Shuyao	BJH798	Licensed Representative	1, 6
YUE RACHEL ANNE SZE MING	BJG220	Licensed Representative	1, 4
YUE Yi	BJI225	Licensed Representative	1
YUEN Ka Chi	ANG307	Licensed Representative	1, 2
YUEN Kin Long	BJH245	Licensed Representative	1
ZHANG Bin	BJF189	Licensed Representative	1, 2
ZHANG Jeff Wei	AKV344	Licensed Representative	4, 5, 9
ZHANG Shengqiao	BDM737	Licensed Representative	4, 9
ZHANG Siyu	BJB844	Licensed Representative	2
ZHANG Xiaoge	BIS768	Licensed Representative	1
ZHANG Xiaoying	BJH315	Licensed Representative	1, 4, 9
ZHANG Yueyi	BJC230	Licensed Representative	2
ZHANG Zhaoxi	BCI871	Licensed Representative	9
ZHANG Zhuowei	BJF190	Licensed Representative	1, 2
ZHAO Chen	BJG454	Licensed Representative	4
ZHENG Heyuan	BJE227	Licensed Representative	1, 4
ZHENG Lizi	BJG616	Licensed Representative	4, 9
ZHOU Allen	BJA650	Licensed Representative	1, 2



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2017

CE Name	CE No.	Licence Type	Types of Regulated Activity
ZHOU Ji	BJE003	Licensed Representative	6
ZHOU LIYANG	BJG897	Licensed Representative	1
ZHOU Xiaohan	BJE946	Licensed Representative	1, 6
ZHOU ZHOU	BJD160	Licensed Representative	1, 4, 6
ZHU Biqi	BJI374	Licensed Representative	4
ZHU Qianlan	BJH270	Licensed Representative	4
ZHU Yahui	AYO940	Licensed Representative	1, 4
ZOU Xinru	BJC787	Licensed Representative	9
ANAND Amarjyot Singh	BIW617	Licensed Representative - Responsible Officer	9
CHAK Chi Man	ANG125	Licensed Representative - Responsible Officer	1, 4, 9
CHAN Benson Lin-Fong	AHC184	Licensed Representative - Responsible Officer	4, 9
CHAN Chung Leung	AEF867	Licensed Representative - Responsible Officer	5
CHAN Henry	AMR204	Licensed Representative - Responsible Officer	1
CHAN Kwok Chiu	AOY089	Licensed Representative - Responsible Officer	9
CHANG Jung-Hua	BJC178	Licensed Representative - Responsible Officer	4, 9
CHEUNG Hung Tai	BGB572	Licensed Representative - Responsible Officer	4, 9
CHEUNG Ming Tak, Rickael	ACZ049	Licensed Representative - Responsible Officer	1, 2
CHONG Yu Keung	ANL954	Licensed Representative - Responsible Officer	1, 4, 9
CHUEN Wan Nang, Ken	APC269	Licensed Representative - Responsible Officer	4, 9
FUNG Ka Lok, Adams	AHN337	Licensed Representative - Responsible Officer	9
HUANG Liang	AXH215	Licensed Representative - Responsible Officer	9
HUANG Wei	AQE086	Licensed Representative - Responsible Officer	4, 9
KANG Kai	AYJ298	Licensed Representative - Responsible Officer	4, 9
LAMOTTE Mattias Ivan	AIY481	Licensed Representative - Responsible Officer	9
LAU Ning Fung, Roland	ASZ252	Licensed Representative - Responsible Officer	1
LEE Ho Cheung	ADP881	Licensed Representative - Responsible Officer	4, 9
LI Meng	BIX319	Licensed Representative - Responsible Officer	4, 9
LIANG Xiao	AKW724	Licensed Representative - Responsible Officer	9
LIU Erh Fei	ABY869	Licensed Representative - Responsible Officer	9
LUO Xuan	BIZ381	Licensed Representative - Responsible Officer	1, 4, 9
MAK Ka Bo, Alex	AEH886	Licensed Representative - Responsible Officer	1, 4
MORTON Peter Douglas	ADO886	Licensed Representative - Responsible Officer	1, 6
SUNG Wai Man, Eileen	APA343	Licensed Representative - Responsible Officer	4, 9
TAI Wai Man	AQD347	Licensed Representative - Responsible Officer	1
TING Tao I	AXF223	Licensed Representative - Responsible Officer	9
WANG Xionghui	ARE183	Licensed Representative - Responsible Officer	9
WANG Yuan	BAD323	Licensed Representative - Responsible Officer	9
WONG Chun	ATS895	Licensed Representative - Responsible Officer	9
WONG Elvin Yiu-wai	AIJ339	Licensed Representative - Responsible Officer	4, 9
XIE Min	ADK688	Licensed Representative - Responsible Officer	9
YE Yuedong	BGU322	Licensed Representative - Responsible Officer	1, 4
ZHANG Hao	BHY917	Licensed Representative - Responsible Officer	9



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2017

CE Name	CE No.	Licence Type	Types of Regulated Activity
ZHANG Yeshuang	BHD212	Licensed Representative - Responsible Officer	4, 5, 9
AMAR Cindy	BJI766	Licensed Representative (Provisional Licence)	1, 4
ARDON Jean-Denis Etienne	AZY381	Licensed Representative (Provisional Licence)	1, 4
AU YEUNG Yen Tung	BJJ511	Licensed Representative (Provisional Licence)	1, 4
BAKOUK Salma	BJJ389	Licensed Representative (Provisional Licence)	1, 2
BENSAID Meryem	BJI510	Licensed Representative (Provisional Licence)	1, 4
CARTER Peter Charles Quentin	BJI639	Licensed Representative (Provisional Licence)	4, 9
CHAN Chi Fung	BJK233	Licensed Representative (Provisional Licence)	1, 2
CHAN Chung Yee Joanna	BJG294	Licensed Representative (Provisional Licence)	1, 6
CHAN Ivan Zheng Hao	BJK838	Licensed Representative (Provisional Licence)	1, 2, 7
CHAN Ken Man	BJI679	Licensed Representative (Provisional Licence)	6
CHAN Lucas Leung-bong	BJE106	Licensed Representative (Provisional Licence)	1, 6
CHAN Nga Man	BJL069	Licensed Representative (Provisional Licence)	1, 2
CHAN Pak Ka	BJL689	Licensed Representative (Provisional Licence)	9
CHAN Wai Ching Walton	ATX679	Licensed Representative (Provisional Licence)	1, 2
CHAN Yuan Lin	BJL707	Licensed Representative (Provisional Licence)	1
CHAN Yuen On Alice	BJL319	Licensed Representative (Provisional Licence)	1, 4, 9
CHAY Sipa	AQX339	Licensed Representative (Provisional Licence)	1
CHEN Enshi	BJK920	Licensed Representative (Provisional Licence)	1, 2
CHEN Hsiang-Ju	AQY429	Licensed Representative (Provisional Licence)	1, 2
CHEN Huilin	BJL084	Licensed Representative (Provisional Licence)	1, 4, 6
CHEN Ji	BJI734	Licensed Representative (Provisional Licence)	1
CHEN Le	BJI827	Licensed Representative (Provisional Licence)	1
CHEN Zhizhong	BAV692	Licensed Representative (Provisional Licence)	4
CHENG Man Shun, Mansion	ACO978	Licensed Representative (Provisional Licence)	4, 9
CHENG Tien Yum Timothy	BHR348	Licensed Representative (Provisional Licence)	1, 4
CHENG Xi	BJK874	Licensed Representative (Provisional Licence)	1, 4
CHOW Gwen Heng	BJI785	Licensed Representative (Provisional Licence)	1, 2
CHOW Wan Leung	ATM643	Licensed Representative (Provisional Licence)	1, 4
CHU Brian	BJI350	Licensed Representative (Provisional Licence)	6
CHU YUET NA	BJK226	Licensed Representative (Provisional Licence)	1
CHUANG Ching Lan	BJJ533	Licensed Representative (Provisional Licence)	1, 2, 4, 5
CHUEH Yen-Lan	BJI976	Licensed Representative (Provisional Licence)	1, 4
CHUNG Eunie	BJI252	Licensed Representative (Provisional Licence)	1, 4, 9
CHUNG Tin Yu	BJL076	Licensed Representative (Provisional Licence)	1, 2
DAI Wen	BF1915	Licensed Representative (Provisional Licence)	4
DEI Derek	BJI872	Licensed Representative (Provisional Licence)	1, 4, 9
DONG Chang	AXN155	Licensed Representative (Provisional Licence)	1, 4, 6
DONG Chaojing	BJI628	Licensed Representative (Provisional Licence)	6
DONG Xuan	BJG736	Licensed Representative (Provisional Licence)	1, 4, 6
ELLIOT Graham	BJG894	Licensed Representative (Provisional Licence)	1, 4
FAN Tsun Wai	BJM251	Licensed Representative (Provisional Licence)	1, 4, 6



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2017

CE Name	CE No.	Licence Type	Types of Regulated Activity
FENG Changli	BJI357	Licensed Representative (Provisional Licence)	1, 4
FENG Yi	BJK176	Licensed Representative (Provisional Licence)	9
FIORENTINO Fabrizia	BJJ495	Licensed Representative (Provisional Licence)	1, 4, 6
FOSTER Duncan John	BCN540	Licensed Representative (Provisional Licence)	1, 2
FU Chak	BJL314	Licensed Representative (Provisional Licence)	4
FU Huifang	BJK796	Licensed Representative (Provisional Licence)	4
FUNG Kin Leung	APP362	Licensed Representative (Provisional Licence)	1, 2
FUNG Wai Man	BJI817	Licensed Representative (Provisional Licence)	1, 2
GAMHARTER Benedikt	BJH395	Licensed Representative (Provisional Licence)	1, 2
GAO Song	BJK932	Licensed Representative (Provisional Licence)	1, 6
GELBER Randy Scott	ACR602	Licensed Representative (Provisional Licence)	6
GENG Yanjun	BJL658	Licensed Representative (Provisional Licence)	1, 2, 4, 9
GUAN Yiwei	BJI811	Licensed Representative (Provisional Licence)	1
GUO Anson Haokun	BJK407	Licensed Representative (Provisional Licence)	9
GUPTA KARAN	BJK234	Licensed Representative (Provisional Licence)	4
HAMAZAKI TERUFUMI	BJI820	Licensed Representative (Provisional Licence)	1, 9
HAN Bruce Wook	ACO279	Licensed Representative (Provisional Licence)	1, 4
HAN Joo Yeon	BJI007	Licensed Representative (Provisional Licence)	4, 6
HAR Wilson Wai Shun	BBT689	Licensed Representative (Provisional Licence)	1
HE Li	BJK530	Licensed Representative (Provisional Licence)	1
HE Xuanlai	BJI746	Licensed Representative (Provisional Licence)	4, 9
HO Chun Yan	AVS082	Licensed Representative (Provisional Licence)	1
HO Lok Kan	BJJ548	Licensed Representative (Provisional Licence)	1, 2
HO Tsz Yin	BJI351	Licensed Representative (Provisional Licence)	1, 2
HO Wai Hoong, Sebastian	BJJ383	Licensed Representative (Provisional Licence)	1, 4
HO Ying, Noelle	AQT287	Licensed Representative (Provisional Licence)	1
HOU Haiqi	BJL554	Licensed Representative (Provisional Licence)	1
HU Wen	BBQ345	Licensed Representative (Provisional Licence)	1, 4, 9
HU Xiaofan	BJI421	Licensed Representative (Provisional Licence)	1, 2
HUANG Ching-Feng	BJL041	Licensed Representative (Provisional Licence)	4
HUANG Chun Pang	BJL381	Licensed Representative (Provisional Licence)	1
HUANG Gan	BJI675	Licensed Representative (Provisional Licence)	1
HUANG Qun	AJD330	Licensed Representative (Provisional Licence)	1, 4, 6
HUANG Tiantian	BJD389	Licensed Representative (Provisional Licence)	1, 6
HUANG ZI JUE	BJI823	Licensed Representative (Provisional Licence)	1, 2, 4, 5
HUH Jun Nyeong	BJK597	Licensed Representative (Provisional Licence)	6
HUI Fung	BJK855	Licensed Representative (Provisional Licence)	1
HUI Jeremiah Tsz Hon	BJH664	Licensed Representative (Provisional Licence)	4, 9
HUI Stanely	BJH981	Licensed Representative (Provisional Licence)	4, 9
HUNG Hua Chih	BJE265	Licensed Representative (Provisional Licence)	1, 4, 9
HUNG King Chun	BJK405	Licensed Representative (Provisional Licence)	4, 9
JALAN Nikhil Pradeep	BJK998	Licensed Representative (Provisional Licence)	1, 4



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2017

CE Name	CE No.	Licence Type	Types of Regulated Activity
JHA Harshwardhan	BGR022	Licensed Representative (Provisional Licence)	1
JI Zhe	BJK888	Licensed Representative (Provisional Licence)	1, 4, 9
JOHN Rohit	BJI748	Licensed Representative (Provisional Licence)	1
KIM Jundeok	BJI184	Licensed Representative (Provisional Licence)	1, 4
KO Fei Fan Tommy	BJL363	Licensed Representative (Provisional Licence)	1, 6
KONG Ching Man Yvonne	BJK871	Licensed Representative (Provisional Licence)	1
KORODI-SZASZ Attila	BJH967	Licensed Representative (Provisional Licence)	9
KWAN Wai Shan	BJL010	Licensed Representative (Provisional Licence)	1, 2
KWOK Matthew Chirathivat	BJI978	Licensed Representative (Provisional Licence)	1
KWOK Wai Yin Circle	BJL685	Licensed Representative (Provisional Licence)	1
KWOK Yao Kein	BJH110	Licensed Representative (Provisional Licence)	1, 4
KWON Woo Jae	BJK636	Licensed Representative (Provisional Licence)	1
LANDGRAFF Erik Wilson	BJJ279	Licensed Representative (Provisional Licence)	9
LEE James	BJH960	Licensed Representative (Provisional Licence)	1
LEE Man Kit	APM126	Licensed Representative (Provisional Licence)	1, 2, 7
LEE Wing Lam	BJL676	Licensed Representative (Provisional Licence)	9
LEE Wu Han	BJJ201	Licensed Representative (Provisional Licence)	4, 9
LEUNG Hei Tung, Hitomi	BJK540	Licensed Representative (Provisional Licence)	1, 6
LI DAN	BJJ371	Licensed Representative (Provisional Licence)	4, 9
LI Haohuan	BJI767	Licensed Representative (Provisional Licence)	9
LI Haopeng	BJJ555	Licensed Representative (Provisional Licence)	1, 6
LI Hong	BJD743	Licensed Representative (Provisional Licence)	1, 4, 9
LI Jian	BJG355	Licensed Representative (Provisional Licence)	1
LI Junzhou	BFE782	Licensed Representative (Provisional Licence)	4
LI Ka Fai	BJK446	Licensed Representative (Provisional Licence)	1
LI Kun-Chih	ARM569	Licensed Representative (Provisional Licence)	1, 4
LI Li	BJI670	Licensed Representative (Provisional Licence)	1
LI Ningti	BJL083	Licensed Representative (Provisional Licence)	1, 4, 6
LI Shixuan	BJG795	Licensed Representative (Provisional Licence)	10
LI Tinghui	BJL013	Licensed Representative (Provisional Licence)	1, 2
LI Victor	BJK256	Licensed Representative (Provisional Licence)	2
LI Yingshu	BJH261	Licensed Representative (Provisional Licence)	1, 4, 6
LIANG Lining	AXV969	Licensed Representative (Provisional Licence)	1, 4, 6
LIANG Xiao	BHX801	Licensed Representative (Provisional Licence)	1, 6
LIANG Yue	BJD661	Licensed Representative (Provisional Licence)	10
LIM Chun Yin Nicholas	BJI255	Licensed Representative (Provisional Licence)	1, 2
LIM Seohong	BJK436	Licensed Representative (Provisional Licence)	1, 4
LIN Jen Min	AQR696	Licensed Representative (Provisional Licence)	1, 4, 9
LIN Shaoxing	BJI216	Licensed Representative (Provisional Licence)	1, 2, 6
LIN Ying-Hua	ALI215	Licensed Representative (Provisional Licence)	1
LING JING	BJK469	Licensed Representative (Provisional Licence)	1, 4
LING Mung Sheung	BJH425	Licensed Representative (Provisional Licence)	1, 4, 9



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2017

CE Name	CE No.	Licence Type	Types of Regulated Activity
LIU Siqi	BJC916	Licensed Representative (Provisional Licence)	1, 6
LIU Yiqu	BJL077	Licensed Representative (Provisional Licence)	6
LO Theodore Tse Hsin	BJI608	Licensed Representative (Provisional Licence)	1
LOK Oi Ying	BJK486	Licensed Representative (Provisional Licence)	6
LOUGARE Thibaud Jean-marie	BIN093	Licensed Representative (Provisional Licence)	1, 2
LU FUMING	BJI502	Licensed Representative (Provisional Licence)	1, 4
LU Yanjin	BJK854	Licensed Representative (Provisional Licence)	4
MA Jingjing	BAF630	Licensed Representative (Provisional Licence)	1, 4
MAK Yuen Ping	AGN137	Licensed Representative (Provisional Licence)	1, 4
MANG Wai Hay	BJI745	Licensed Representative (Provisional Licence)	1, 4
MIAO Gang	BJL397	Licensed Representative (Provisional Licence)	1, 4, 9
MIAO Kai	BJL961	Licensed Representative (Provisional Licence)	1
MIAO Shulin	BJH269	Licensed Representative (Provisional Licence)	4, 9
MIVELAZ Yannick Alfred Eric	BJJ553	Licensed Representative (Provisional Licence)	4, 9
MO Taiping	BJC918	Licensed Representative (Provisional Licence)	1, 6
MOK Matthew Martin Chi-kit	AZY724	Licensed Representative (Provisional Licence)	1, 2
MOTOOKA Minoru	BJJ275	Licensed Representative (Provisional Licence)	1, 4, 6
MUI Pang Kin, Patrick	ARM775	Licensed Representative (Provisional Licence)	1
NAISBITT Mark Montgomery	BJL324	Licensed Representative (Provisional Licence)	2
NG Yuen Yung, Rachel	BJL704	Licensed Representative (Provisional Licence)	1, 4
NI Yujing	BJI213	Licensed Representative (Provisional Licence)	4
NICOLLET Paul, Pierre, Louis	BJI781	Licensed Representative (Provisional Licence)	1, 4
OLIVE THIERRY CHARLES LUCIEN	BJL891	Licensed Representative (Provisional Licence)	1, 6
PAL Suneil	BJI764	Licensed Representative (Provisional Licence)	1
PATTERSON Daniel Crowley	BJH445	Licensed Representative (Provisional Licence)	1, 4
POK Ming Kai	BGB603	Licensed Representative (Provisional Licence)	6
POON Ka Ho, Keith	BJM075	Licensed Representative (Provisional Licence)	1
POON YIK HANG	BJJ554	Licensed Representative (Provisional Licence)	6
QIAO Lepeng	BJL075	Licensed Representative (Provisional Licence)	1
QIN Ziheng	BJK232	Licensed Representative (Provisional Licence)	1, 6
QUACH Victoria Mingwei	BJH400	Licensed Representative (Provisional Licence)	1, 4, 9
REN Yanzhong	BJK658	Licensed Representative (Provisional Licence)	1, 6
REN Ying	BJJ188	Licensed Representative (Provisional Licence)	6
RESOVAC DENIS	BJG376	Licensed Representative (Provisional Licence)	1, 4
RIKKERINK Henk Jan	BJG769	Licensed Representative (Provisional Licence)	4, 9
SCHULTE Franziska	BJI824	Licensed Representative (Provisional Licence)	6
SEKITA Hirosumi	AMF003	Licensed Representative (Provisional Licence)	1
SHA Chung Wai	BJI977	Licensed Representative (Provisional Licence)	1, 6
SHANG Xiao Lin	BJI815	Licensed Representative (Provisional Licence)	1, 4
SHAO Jie	BJJ296	Licensed Representative (Provisional Licence)	1
SHEFFIELD JOHN	BJE213	Licensed Representative (Provisional Licence)	1, 4, 6
SHENG Shiwei	BJE927	Licensed Representative (Provisional Licence)	1, 6



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2017

CE Name	CE No.	Licence Type	Types of Regulated Activity
SHEUNG Fung Ming	BJK928	Licensed Representative (Provisional Licence)	1, 4, 6
SHI Xiaofeng	BJJ358	Licensed Representative (Provisional Licence)	1, 4, 6
SHI Yu	AOX368	Licensed Representative (Provisional Licence)	1, 4
SIGERHALL Tom Lennart Gerhard	BJG741	Licensed Representative (Provisional Licence)	4, 9
SINGER Matthew Karl	BJE608	Licensed Representative (Provisional Licence)	1, 4, 6
SONG Min Kyoung	BJI427	Licensed Representative (Provisional Licence)	4
STREATFIELD David Alan	AVI634	Licensed Representative (Provisional Licence)	1, 4
STRUTT William Raymond	BJI822	Licensed Representative (Provisional Licence)	4
SU Xuewei	BJE829	Licensed Representative (Provisional Licence)	1, 4
SUN Ka Ho	BJK472	Licensed Representative (Provisional Licence)	9
TAI Chien Hung	BJJ513	Licensed Representative (Provisional Licence)	1, 2, 4, 5
TANG Hin Chi	BJH964	Licensed Representative (Provisional Licence)	6
TANG Kam Tao	BJK228	Licensed Representative (Provisional Licence)	6
TANG Vincent Chi Hang	BJK278	Licensed Representative (Provisional Licence)	1, 6
TANG Yushang	BJI936	Licensed Representative (Provisional Licence)	4, 9
TSANG Chor Man	BJJ206	Licensed Representative (Provisional Licence)	1, 2
TSANG Kwong Sun Patrick	BJI359	Licensed Representative (Provisional Licence)	1, 2, 3
TSE Yu Ting	BJL687	Licensed Representative (Provisional Licence)	1
VAN VLIET NICOLAS RUDOLF	BJH418	Licensed Representative (Provisional Licence)	1
VENOIT Matthew John	BIW953	Licensed Representative (Provisional Licence)	1, 2
WAN Chung Yuen	AXF966	Licensed Representative (Provisional Licence)	1
WAN Ngai Lung	BJL610	Licensed Representative (Provisional Licence)	2
WAN Yuk Wa	BJL666	Licensed Representative (Provisional Licence)	6
WAN Ziyang	BJL539	Licensed Representative (Provisional Licence)	1, 2
WANG Chunhuan	BJK864	Licensed Representative (Provisional Licence)	4
WANG Haoyue	BJL966	Licensed Representative (Provisional Licence)	1, 6
WANG Hui	BJI914	Licensed Representative (Provisional Licence)	1, 4
WANG Jeffery	BJK661	Licensed Representative (Provisional Licence)	2, 5
WANG Jiawei	BJK267	Licensed Representative (Provisional Licence)	1, 4
WANG Jiayu	BJH821	Licensed Representative (Provisional Licence)	1, 4, 6
WANG Lianqing	BJI251	Licensed Representative (Provisional Licence)	4
WANG Shan Shan	BJH956	Licensed Representative (Provisional Licence)	1
WANG SHI QIAN	BJH257	Licensed Representative (Provisional Licence)	1, 6
WANG Tengting	BJD824	Licensed Representative (Provisional Licence)	1
WANG Tong	BJK851	Licensed Representative (Provisional Licence)	1, 6
WANG Weida	AXG482	Licensed Representative (Provisional Licence)	1, 6
WANG Weiyang	BJI018	Licensed Representative (Provisional Licence)	1
WANG YUE	BJD659	Licensed Representative (Provisional Licence)	10
WEHN Michael Travis	BJE208	Licensed Representative (Provisional Licence)	1, 9
WEI Gonglin	BJI671	Licensed Representative (Provisional Licence)	3
WINTERSTEIN Andrew Gray	BJJ505	Licensed Representative (Provisional Licence)	1, 2
WONG Chi Hang	BJK881	Licensed Representative (Provisional Licence)	2



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2017

CE Name	CE No.	Licence Type	Types of Regulated Activity
WONG Hsien Sheng	BJH450	Licensed Representative (Provisional Licence)	1
WONG Ka Chun Matthew	BJI728	Licensed Representative (Provisional Licence)	1, 6
WONG Kenneth Sze-ho	AWT852	Licensed Representative (Provisional Licence)	1, 7
WONG Kim	BCD371	Licensed Representative (Provisional Licence)	9
WONG Kwok Keung	ACC472	Licensed Representative (Provisional Licence)	1
WONG Ngan, Jacqueline	ADX528	Licensed Representative (Provisional Licence)	1, 4
WONG Sui Kai	BJJ539	Licensed Representative (Provisional Licence)	9
WONG Wing Sang	AOE629	Licensed Representative (Provisional Licence)	1, 2
WONG YIU LUNG	BJK861	Licensed Representative (Provisional Licence)	1
WONG Yu Lun	BJJ536	Licensed Representative (Provisional Licence)	1, 4
WONG Yuen On	BJJ550	Licensed Representative (Provisional Licence)	1, 2
WOOD Mark R	APJ663	Licensed Representative (Provisional Licence)	1, 2
WU Di	BAY072	Licensed Representative (Provisional Licence)	4, 9
WU TZU-JUNG	BJJ162	Licensed Representative (Provisional Licence)	1
WU Xueni	BJI146	Licensed Representative (Provisional Licence)	1
XIA Wei	BJM095	Licensed Representative (Provisional Licence)	1, 4, 6
XIAO Di	BJL679	Licensed Representative (Provisional Licence)	1, 4
XIE Jingxin	BJC937	Licensed Representative (Provisional Licence)	1, 6
XIE Yong	BJJ479	Licensed Representative (Provisional Licence)	10
XING Milo	BJJ552	Licensed Representative (Provisional Licence)	1, 2
XU Ke	BJH116	Licensed Representative (Provisional Licence)	1, 6
XUE Jing	BJK794	Licensed Representative (Provisional Licence)	1, 4
YAN Jie	BJC920	Licensed Representative (Provisional Licence)	1, 6
YAN Shanshan	BJC394	Licensed Representative (Provisional Licence)	1, 2
YANG Wing Hei	BJI742	Licensed Representative (Provisional Licence)	1, 2
YANG Xinyu	BJJ077	Licensed Representative (Provisional Licence)	1
YANG Yi	BJK791	Licensed Representative (Provisional Licence)	1, 6
YANG Yichao	BJH752	Licensed Representative (Provisional Licence)	1, 6
YAO Xue	AWK470	Licensed Representative (Provisional Licence)	4
YEO Sui Chuan	BJI244	Licensed Representative (Provisional Licence)	4, 9
YEUNG Ngo Ching	BJI909	Licensed Representative (Provisional Licence)	4
YIN Ada Manyee	ARI225	Licensed Representative (Provisional Licence)	4, 9
YIN Chenggong	BJI759	Licensed Representative (Provisional Licence)	1, 2
YIP Man Kin	BJK879	Licensed Representative (Provisional Licence)	1
YOSHIDA GENKI	BJJ183	Licensed Representative (Provisional Licence)	1, 4, 6
YOSHIDA Takahide	AMF760	Licensed Representative (Provisional Licence)	1, 4, 6
YOUNG Jih Chwen Jason	BJK609	Licensed Representative (Provisional Licence)	9
YU Bin	BJL677	Licensed Representative (Provisional Licence)	1, 4, 9
YU Chloe Yan Yan	BJK853	Licensed Representative (Provisional Licence)	1, 4, 9
YU Honghao	BHV582	Licensed Representative (Provisional Licence)	1
YU Shuyao	BJH798	Licensed Representative (Provisional Licence)	1, 6
YU XUEWEN	BJL609	Licensed Representative (Provisional Licence)	4



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2017

CE Name	CE No.	Licence Type	Types of Regulated Activity
YU Ya Pin	BJJ522	Licensed Representative (Provisional Licence)	1, 2, 4, 5
YU Zhi	AXH031	Licensed Representative (Provisional Licence)	1, 6
YUAN Minjie	BJI779	Licensed Representative (Provisional Licence)	1, 4, 6
YUAN Ye	BJK566	Licensed Representative (Provisional Licence)	1, 6
YUE Yi	BJI225	Licensed Representative (Provisional Licence)	1
YUNG Chi Hong	AFQ374	Licensed Representative (Provisional Licence)	1
YUNG Wai Sing	BJI683	Licensed Representative (Provisional Licence)	1, 2
ZHAI Jingyi	BJL611	Licensed Representative (Provisional Licence)	2
ZHANG Jiayi	BJH510	Licensed Representative (Provisional Licence)	9
ZHANG Letian	BJI768	Licensed Representative (Provisional Licence)	1, 4
ZHANG Wenze	BJI412	Licensed Representative (Provisional Licence)	1, 4, 6
ZHANG Yi	BJK737	Licensed Representative (Provisional Licence)	1, 4
ZHANG Zhang	BJI580	Licensed Representative (Provisional Licence)	1, 4
ZHAO xinyuan	BJL915	Licensed Representative (Provisional Licence)	4
ZHENG Xiaofen	BJK477	Licensed Representative (Provisional Licence)	9
ZHOU Allen	BJA650	Licensed Representative (Provisional Licence)	1, 2
ZHOU Cicong	BJD163	Licensed Representative (Provisional Licence)	1, 2
ZHOU Jason Xiaoyu	BJK785	Licensed Representative (Provisional Licence)	1, 4, 9
ZHOU Ye	BJI784	Licensed Representative (Provisional Licence)	1
ZHU Ye	BBB592	Licensed Representative (Provisional Licence)	1, 6
AGRAWAL Ajit Kumar	BIJ369	Licensed Representative (Temporary Licence)	4
AHUJA Vivek Manohar	ARI512	Licensed Representative (Temporary Licence)	1
BAKER Brian Stephen	BJK848	Licensed Representative (Temporary Licence)	1, 2
BARROWS Ross Christopher	BFC529	Licensed Representative (Temporary Licence)	4
BETTONI TRAUBE Ernesto	AQO506	Licensed Representative (Temporary Licence)	1, 4
BISHOP Alastair Timothy	BFE366	Licensed Representative (Temporary Licence)	1, 4
BOULAN Frederic Emile Alfred	BGE038	Licensed Representative (Temporary Licence)	1, 4
CAI Minhao	BJK339	Licensed Representative (Temporary Licence)	4
CARUSO Frank Vincent	BHH755	Licensed Representative (Temporary Licence)	1
CHAN Simon Yuk Kwan	BCT212	Licensed Representative (Temporary Licence)	1, 4
CHANG Wan Ching Davina	BJH998	Licensed Representative (Temporary Licence)	1, 4, 6
CHEN Rong	BJK421	Licensed Representative (Temporary Licence)	4
CHEN Timothy C K	BEC091	Licensed Representative (Temporary Licence)	4
CHEN Wei	BJK426	Licensed Representative (Temporary Licence)	4
CHOI Moonsun	BFX737	Licensed Representative (Temporary Licence)	4
CHOPRA Raashi	BEE682	Licensed Representative (Temporary Licence)	4
CHOPRA Sameer	BAU420	Licensed Representative (Temporary Licence)	1, 4
CHOPRA Swati	BAW702	Licensed Representative (Temporary Licence)	1, 4
CURTIS Jonathan Tourtellotte	BHP706	Licensed Representative (Temporary Licence)	1
DARMONO Permadawani	BJH031	Licensed Representative (Temporary Licence)	4
DE KONING Henrik Arie	BJK856	Licensed Representative (Temporary Licence)	1
DE LA FUENTE Rafael	BJK252	Licensed Representative (Temporary Licence)	4



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2017

CE Name	CE No.	Licence Type	Types of Regulated Activity
ECKERSLEY Damian William	BIB857	Licensed Representative (Temporary Licence)	1
EGUCHI Hiroyasu	BBL849	Licensed Representative (Temporary Licence)	1, 4
FELIX Philip Albert Porcioncula	BFR470	Licensed Representative (Temporary Licence)	1, 4
FILICETTI Guido Anthony	BGI314	Licensed Representative (Temporary Licence)	1
FLEMING William Alexander	BJJ035	Licensed Representative (Temporary Licence)	1, 2
FOODEY David Nicholas	AQS670	Licensed Representative (Temporary Licence)	1
FUJII Kenei	BJI610	Licensed Representative (Temporary Licence)	1, 2
GARRE Venugopal	AML716	Licensed Representative (Temporary Licence)	4
GOYAL Surendra Kumar	BEO301	Licensed Representative (Temporary Licence)	4
HARADA Jun	AOR374	Licensed Representative (Temporary Licence)	4
HARMSTONE-RAKOWSKI Andrew Tadeusz	ARW607	Licensed Representative (Temporary Licence)	1
HARTING Morgan Clothier	AXT012	Licensed Representative (Temporary Licence)	1
HE Yue	BIZ760	Licensed Representative (Temporary Licence)	4
HEFTI Christoph Peter	BJK588	Licensed Representative (Temporary Licence)	1, 4
HEPPELER Michael Thomas	BJJ252	Licensed Representative (Temporary Licence)	1, 2
HIRAKAWA Mikio	BBT553	Licensed Representative (Temporary Licence)	1, 4
HODES Alexander Eli	BJH251	Licensed Representative (Temporary Licence)	1
HORT Marco Bruno	BJK595	Licensed Representative (Temporary Licence)	1, 4
HOTTA Kenjin Tom	AZV542	Licensed Representative (Temporary Licence)	1, 4
HSIA Kenneth Yesom	BFK493	Licensed Representative (Temporary Licence)	4
HSU Li-Te	BJI915	Licensed Representative (Temporary Licence)	10
HWANG In Bok	BJC325	Licensed Representative (Temporary Licence)	1
INVERNIZZI Susanna	BJH666	Licensed Representative (Temporary Licence)	1
JANSEN Carissa Frances	BJJ478	Licensed Representative (Temporary Licence)	1
KIMURA Gen	AVR981	Licensed Representative (Temporary Licence)	1, 2
KING Matthew Allen	BGL485	Licensed Representative (Temporary Licence)	1
KURIBARA Hideaki	BHW526	Licensed Representative (Temporary Licence)	4
KUSHMA Michael Bernard	BAJ311	Licensed Representative (Temporary Licence)	1
KWEK Kevin Siew Beng	AZN097	Licensed Representative (Temporary Licence)	4
LI Shaojun	BJK351	Licensed Representative (Temporary Licence)	4
LIEW Xun	BJI674	Licensed Representative (Temporary Licence)	1
LIM Shan-Jia, Alvin	AZW886	Licensed Representative (Temporary Licence)	1
LIU Yaokun	BJI665	Licensed Representative (Temporary Licence)	4
LUO Nan	BJK298	Licensed Representative (Temporary Licence)	4
MA Kunpeng	BIZ759	Licensed Representative (Temporary Licence)	4
MACDONALD Alistair John	AVW485	Licensed Representative (Temporary Licence)	1
MACPHILLAMY Douglas John	BDJ799	Licensed Representative (Temporary Licence)	4
MALCOLM James David	BJL213	Licensed Representative (Temporary Licence)	4
MATITIA Edouard Albert	BHG614	Licensed Representative (Temporary Licence)	1, 2
MIYAZAKI Takashi	BDQ458	Licensed Representative (Temporary Licence)	4
MOULDER Anthony Bruce	BFB113	Licensed Representative (Temporary Licence)	4
MULLER-WEGNER Andre Bruno	BJK485	Licensed Representative (Temporary Licence)	1, 4



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2017

CE Name	CE No.	Licence Type	Types of Regulated Activity
NGUYEN Laurent Huu-Duc	BJI667	Licensed Representative (Temporary Licence)	1
NOGAWA Chieko	BBA268	Licensed Representative (Temporary Licence)	1
OKUBO Ayaki	BJG598	Licensed Representative (Temporary Licence)	1
OU Shaoping	BJK417	Licensed Representative (Temporary Licence)	4
PAKENHAM Benjamin John	BJE025	Licensed Representative (Temporary Licence)	1
PATWARI Priyank	BHK693	Licensed Representative (Temporary Licence)	1
PAULSON Mark Ellis	AYK942	Licensed Representative (Temporary Licence)	1
PETROVCIK Kevin Patrick	AZL215	Licensed Representative (Temporary Licence)	1, 4
QI Shuyang	BJK350	Licensed Representative (Temporary Licence)	4
QIN Han	BJK353	Licensed Representative (Temporary Licence)	4
RAMAKRISHNAN VINOTH	BJI660	Licensed Representative (Temporary Licence)	1
REDEKER Hans Gunter Wilhelm	BFF385	Licensed Representative (Temporary Licence)	1
RUDLAND Michael James	BJD156	Licensed Representative (Temporary Licence)	1, 2
SANDERSE Menno Gerard Cornelis	AUX424	Licensed Representative (Temporary Licence)	1
SEKI Atsushi	BIB389	Licensed Representative (Temporary Licence)	4
SHLEMOV Mikhail	BEI587	Licensed Representative (Temporary Licence)	4
SIMMONDS Stuart Duncan	BCP839	Licensed Representative (Temporary Licence)	1, 4
SLOW Jia Keen	BCC461	Licensed Representative (Temporary Licence)	4
SUGIURA Seiji	ALN453	Licensed Representative (Temporary Licence)	4
SWITZER James Edmund	BJK392	Licensed Representative (Temporary Licence)	4
TAKAKU Hirofumi	AXI172	Licensed Representative (Temporary Licence)	1, 2
TROMAN Mark Antony	BAJ469	Licensed Representative (Temporary Licence)	1, 4
WANG Cong	BJK343	Licensed Representative (Temporary Licence)	4
WANG Zhengzhi	BJK433	Licensed Representative (Temporary Licence)	4
WASSON Baxter Ward	BJK482	Licensed Representative (Temporary Licence)	1, 4
WATANABE Shiro	BBP190	Licensed Representative (Temporary Licence)	1
XIE Dan	BHT121	Licensed Representative (Temporary Licence)	1
YAMAKAWA Hiroki	BGI791	Licensed Representative (Temporary Licence)	1, 2
YOO Jae Hyuk	BBS475	Licensed Representative (Temporary Licence)	1, 4
YU Suyang	BJK430	Licensed Representative (Temporary Licence)	4
YUNG-HOK Peter Stephen	BDL617	Licensed Representative (Temporary Licence)	2, 5
ZELLER Hubert Leon Maurice	BJL212	Licensed Representative (Temporary Licence)	1, 4
ZHOU Yan	BJK432	Licensed Representative (Temporary Licence)	4