



# **ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017**

| CE Name                                                                                                                                                                                                                                                                                                                                                       | CE No. | Licence Type            | Types of Regulated Activity |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|-------------------------|-----------------------------|
| AOP Capital Limited                                                                                                                                                                                                                                                                                                                                           | BJO454 | Licensed Corporation    | 9                           |
| CI Global Investments Asia Limited                                                                                                                                                                                                                                                                                                                            | BJF081 | Licensed Corporation    | 1, 4                        |
| Credit Frontier Hong Kong Limited                                                                                                                                                                                                                                                                                                                             | BJV683 | Licensed Corporation    | 4, 9                        |
| Excel Precise Securities Limited                                                                                                                                                                                                                                                                                                                              | BJX394 | Licensed Corporation    | 1                           |
| Global Credit Securities (Hong Kong) Limited                                                                                                                                                                                                                                                                                                                  | BJO499 | Licensed Corporation    | 1                           |
| Golden Pine Asset Management Limited                                                                                                                                                                                                                                                                                                                          | BJP627 | Licensed Corporation    | 9                           |
| Grand International Futures Co., Limited                                                                                                                                                                                                                                                                                                                      | BJQ086 | Licensed Corporation    | 2, 5                        |
| KGI Asia Limited - Grand Cathay Securities (Hong Kong) Limited (AFE145), KGI Asia Limited (ADU347), KGI Securities (Hong Kong) Limited (ADT493) and KGI Wealth Management Limited (ABM802) amalgamated on 3 October 2017, pursuant to the relevant provisions of the Companies Ordinance (Chapter 622). The amalgamated company is KGI Asia Limited (BKJ214). | BKJ214 | Licensed Corporation    | 1, 4                        |
| Koala Capital Management Limited                                                                                                                                                                                                                                                                                                                              | BJN364 | Licensed Corporation    | 9                           |
| Lightcone Asset Management Limited                                                                                                                                                                                                                                                                                                                            | BKE883 | Licensed Corporation    | 4, 9                        |
| Marketsense Securities Limited                                                                                                                                                                                                                                                                                                                                | BJH313 | Licensed Corporation    | 1                           |
| Maven Asia (Hong Kong) Limited                                                                                                                                                                                                                                                                                                                                | BJF060 | Licensed Corporation    | 1, 2                        |
| Nobleseed Securities Limited                                                                                                                                                                                                                                                                                                                                  | BJW695 | Licensed Corporation    | 1, 4                        |
| Ovata Capital Management Limited                                                                                                                                                                                                                                                                                                                              | BJP820 | Licensed Corporation    | 9                           |
| Po Tai Securities (Hong Kong) Limited                                                                                                                                                                                                                                                                                                                         | BJH199 | Licensed Corporation    | 1                           |
| Red Solar Capital Limited                                                                                                                                                                                                                                                                                                                                     | BJG062 | Licensed Corporation    | 1, 6                        |
| Rifa Asset Management Limited                                                                                                                                                                                                                                                                                                                                 | BJO651 | Licensed Corporation    | 4, 5, 9                     |
| Spring Securities Limited                                                                                                                                                                                                                                                                                                                                     | BJL236 | Licensed Corporation    | 1                           |
| Tairos Investment Management Company Limited                                                                                                                                                                                                                                                                                                                  | BJH289 | Licensed Corporation    | 4, 9                        |
| TD Ameritrade Hong Kong Limited                                                                                                                                                                                                                                                                                                                               | BJO462 | Licensed Corporation    | 1, 2                        |
| Tim Water Capital Limited                                                                                                                                                                                                                                                                                                                                     | BJT849 | Licensed Corporation    | 4, 9                        |
| Titan Investment Limited                                                                                                                                                                                                                                                                                                                                      | BJV019 | Licensed Corporation    | 4, 9                        |
| Toona Tree Capital Limited                                                                                                                                                                                                                                                                                                                                    | BJR568 | Licensed Corporation    | 9                           |
| WK Securities Limited                                                                                                                                                                                                                                                                                                                                         | BJR781 | Licensed Corporation    | 1                           |
| Wu Zhou State Asset Management Company Limited                                                                                                                                                                                                                                                                                                                | BJS915 | Licensed Corporation    | 1, 4, 9                     |
| AU Pak Sze                                                                                                                                                                                                                                                                                                                                                    | ARJ810 | Licensed Representative | 4, 9                        |
| AU Wilson Wai Kwan                                                                                                                                                                                                                                                                                                                                            | ATY188 | Licensed Representative | 1                           |
| BEERLI Christian                                                                                                                                                                                                                                                                                                                                              | BKT618 | Licensed Representative | 1                           |
| BEH Seog Won                                                                                                                                                                                                                                                                                                                                                  | BJZ485 | Licensed Representative | 1, 4, 9                     |
| BHANDARI Samir                                                                                                                                                                                                                                                                                                                                                | BLC120 | Licensed Representative | 1, 4                        |
| BHARGAVA Siddharth                                                                                                                                                                                                                                                                                                                                            | AFP173 | Licensed Representative | 4, 9                        |
| BI Sheng                                                                                                                                                                                                                                                                                                                                                      | BLA382 | Licensed Representative | 1                           |
| BIN MAHADZIR Aiman                                                                                                                                                                                                                                                                                                                                            | BKW446 | Licensed Representative | 1, 6                        |
| BURGES Till                                                                                                                                                                                                                                                                                                                                                   | BKW807 | Licensed Representative | 1, 9                        |
| BYERS James Christopher Kemp                                                                                                                                                                                                                                                                                                                                  | BKT316 | Licensed Representative | 1, 2                        |
| CAI Yijing                                                                                                                                                                                                                                                                                                                                                    | BKX010 | Licensed Representative | 1, 6                        |
| CAO Qing                                                                                                                                                                                                                                                                                                                                                      | BJT447 | Licensed Representative | 1, 4                        |
| CAO Xueyue                                                                                                                                                                                                                                                                                                                                                    | BKR593 | Licensed Representative | 10                          |
| CASSIDY Piers Maximilian Anthony                                                                                                                                                                                                                                                                                                                              | BKY621 | Licensed Representative | 1                           |



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| CE Name                   | CE No. | Licence Type            | Types of Regulated Activity |
|---------------------------|--------|-------------------------|-----------------------------|
| CHAN Andrew King Yue      | BLB128 | Licensed Representative | 1                           |
| CHAN Cheuk Lam Jacqueline | BKU849 | Licensed Representative | 1, 4, 9                     |
| CHAN Chi Yiu              | BFJ296 | Licensed Representative | 9                           |
| CHAN Ching Yeung          | BKS757 | Licensed Representative | 1                           |
| CHAN Chiu Lung            | BKZ071 | Licensed Representative | 3                           |
| CHAN Chung Chuen          | BKY826 | Licensed Representative | 1, 4                        |
| Chan Chung Yin Barry      | AQG984 | Licensed Representative | 1                           |
| CHAN Hio Man              | BKZ227 | Licensed Representative | 1                           |
| CHAN Hoi Na               | BLD347 | Licensed Representative | 1, 2                        |
| CHAN Justin Chuen Kei     | BLC458 | Licensed Representative | 1                           |
| CHAN Ka Ho                | BKT194 | Licensed Representative | 1, 2                        |
| CHAN Kaai Tat             | BLB652 | Licensed Representative | 1, 4                        |
| CHAN Kin Leung            | APC074 | Licensed Representative | 4, 9                        |
| CHAN Kwok Ying            | BKT312 | Licensed Representative | 1, 4                        |
| CHAN Man Chun, James      | AKS946 | Licensed Representative | 3                           |
| CHAN Michael              | BKW534 | Licensed Representative | 1, 4, 9                     |
| CHAN Pui Kuen             | AXR733 | Licensed Representative | 1, 6                        |
| CHAN Pui Yee              | BKP405 | Licensed Representative | 1, 4, 6, 9                  |
| CHAN Shu Ting             | BKY634 | Licensed Representative | 4                           |
| CHAN TING TING ANFFANY    | BKG205 | Licensed Representative | 1                           |
| CHAN To                   | AMF426 | Licensed Representative | 4, 9                        |
| CHAN Tsz Kwan             | BKY617 | Licensed Representative | 1, 2                        |
| CHAN Wai Kwan             | AQQ789 | Licensed Representative | 1, 6                        |
| CHAN Yin Fan              | BKZ663 | Licensed Representative | 9                           |
| CHAN Ying Kuk, Joyce      | AVL275 | Licensed Representative | 1, 2                        |
| CHANG Alexander Paul      | ALZ627 | Licensed Representative | 1, 4, 9                     |
| CHANG Cheng Hao           | BKC962 | Licensed Representative | 1                           |
| CHANG Ching-Kun           | ALJ991 | Licensed Representative | 4, 9                        |
| CHANG Kai-Tong            | BKY236 | Licensed Representative | 1, 4                        |
| CHANG MUN SHIEN           | BLB651 | Licensed Representative | 1                           |
| CHAU Man Yee              | AQC827 | Licensed Representative | 1, 4                        |
| CHEN Amanda               | AWF103 | Licensed Representative | 1, 9                        |
| CHEN Bin                  | BLD345 | Licensed Representative | 1, 4                        |
| CHEN Boyu                 | BKQ751 | Licensed Representative | 1, 6                        |
| CHEN Chia-Jung            | BKI613 | Licensed Representative | 1, 6                        |
| CHEN Chi-Min              | ANM097 | Licensed Representative | 1                           |
| CHEN Hongsheng            | BKV451 | Licensed Representative | 1                           |
| CHEN Hsin Han             | BKR006 | Licensed Representative | 1, 2                        |
| CHEN Kailin               | BKY619 | Licensed Representative | 1, 4, 9                     |
| CHEN Michael Adam         | BKY330 | Licensed Representative | 1, 9                        |
| CHEN Pengjia              | BKW919 | Licensed Representative | 1, 2                        |
| CHEN Qianqian             | AUV895 | Licensed Representative | 4, 9                        |



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| CE Name                  | CE No. | Licence Type            | Types of Regulated Activity |
|--------------------------|--------|-------------------------|-----------------------------|
| CHEN Ruixin              | BKB357 | Licensed Representative | 1, 2                        |
| CHEN Tianyang            | BKW246 | Licensed Representative | 6                           |
| CHEN Xinyi               | BKW998 | Licensed Representative | 1                           |
| CHEN Ya Hui              | AQW059 | Licensed Representative | 1, 2                        |
| CHEN Yalei               | ARW897 | Licensed Representative | 4                           |
| CHEN Yang                | BKL280 | Licensed Representative | 10                          |
| CHEN Yige                | BLF546 | Licensed Representative | 4, 9                        |
| CHEN Yu                  | BDY972 | Licensed Representative | 4                           |
| CHEN Zefeng              | BKC249 | Licensed Representative | 1, 4, 9                     |
| CHENG Jonathan Tze-yeung | BKU690 | Licensed Representative | 1, 2                        |
| CHENG Kiu Fung           | BLB610 | Licensed Representative | 9                           |
| CHENG Kiu Sum            | BKS895 | Licensed Representative | 1, 4                        |
| CHENG Richard JR         | BLB110 | Licensed Representative | 1, 6                        |
| CHENG Shaopu             | BJO008 | Licensed Representative | 1, 4, 9                     |
| CHENG Wai Han Cecilia    | APY533 | Licensed Representative | 1                           |
| CHENG Wing Lam           | BJO849 | Licensed Representative | 1, 4, 9                     |
| CHENG Yu King, Alvin     | APQ273 | Licensed Representative | 1                           |
| CHEUK Ki Lok             | BKR310 | Licensed Representative | 4, 9                        |
| CHEUNG Chi Kin           | BKT187 | Licensed Representative | 1, 6                        |
| CHEUNG Ka Mun, Carmen    | APD418 | Licensed Representative | 4, 9                        |
| CHEUNG Pui Lung          | BLB614 | Licensed Representative | 1                           |
| CHEUNG Tsun Hei, Keith   | BLE084 | Licensed Representative | 1, 4                        |
| CHIN Lai Yee             | BKZ108 | Licensed Representative | 1, 4                        |
| CHIN Man Fai             | BAP590 | Licensed Representative | 1, 2                        |
| CHIN Tai Yen             | AWA325 | Licensed Representative | 1, 4                        |
| CHIU Sai Ka              | BLD324 | Licensed Representative | 1, 2                        |
| CHO Harry Sang Hyun      | AYG010 | Licensed Representative | 1, 2                        |
| CHOI Chun Ning           | ATS068 | Licensed Representative | 1, 2                        |
| CHONG Hon Sang, Donny    | BFA513 | Licensed Representative | 1                           |
| CHONG Mei Ping           | BKV081 | Licensed Representative | 1                           |
| CHONG Yu Cheong          | BKW511 | Licensed Representative | 1, 2                        |
| CHOU Ho Cheong, Vincent  | BLC112 | Licensed Representative | 1, 2, 4                     |
| CHU Ka Kin               | AVP248 | Licensed Representative | 4, 5, 9                     |
| CHUA Eddee Wee Ping      | BLA982 | Licensed Representative | 6                           |
| CHUA Han Seng            | BJV775 | Licensed Representative | 4, 9                        |
| CHUA Yi Zhi, Maria       | ASU036 | Licensed Representative | 1, 4                        |
| CHUANG James             | BLA372 | Licensed Representative | 1                           |
| CHUI Kun Hung            | BKU630 | Licensed Representative | 1, 4                        |
| CHUNG Jaewon             | AXE001 | Licensed Representative | 1, 6                        |
| CHUNG Pak Ki             | BKV253 | Licensed Representative | 6                           |
| CHUNG Seun Jing          | BKV413 | Licensed Representative | 9                           |
| CHUNG Wai Bu Gloria      | BJV742 | Licensed Representative | 1, 9                        |



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| CE Name                          | CE No. | Licence Type            | Types of Regulated Activity |
|----------------------------------|--------|-------------------------|-----------------------------|
| COULDREY Ranulf David Richard    | BKY385 | Licensed Representative | 4, 6                        |
| CROSS Bryan Andrew               | BKV841 | Licensed Representative | 1, 4, 9                     |
| CUTHBERT Ailsa Ross              | AAB783 | Licensed Representative | 4, 9                        |
| DALAL Alok Mukul                 | BKQ449 | Licensed Representative | 4                           |
| DAR Tabish Zafar                 | BKQ456 | Licensed Representative | 1                           |
| DESMEDT Pierre Baptiste          | BKV681 | Licensed Representative | 1                           |
| DHOOT Anuradha                   | BKU744 | Licensed Representative | 1, 2                        |
| DI Yi                            | BKY361 | Licensed Representative | 1, 6                        |
| DONG Naiyu                       | BKZ892 | Licensed Representative | 1, 4, 6                     |
| DOU Wenjing                      | BLA386 | Licensed Representative | 4                           |
| DU Yufei                         | BKV284 | Licensed Representative | 1                           |
| DUBUISSON Boris Bruno Michel     | BKW512 | Licensed Representative | 9                           |
| DWIVEDI Pranshu                  | BET343 | Licensed Representative | 1                           |
| FANG Shuai                       | BKV676 | Licensed Representative | 1, 2, 7                     |
| FANG Yihao                       | BKU183 | Licensed Representative | 1, 2, 3                     |
| FREISCHMIDT Benjamin Hall        | AIR951 | Licensed Representative | 9                           |
| FU Cheuk Yau, Erica              | BLB689 | Licensed Representative | 1, 2                        |
| FU Yubin                         | BLB155 | Licensed Representative | 5                           |
| FUNG Ho Ting                     | BKB324 | Licensed Representative | 1, 4, 9                     |
| FUNG Hoi Leuk Harry              | AVU800 | Licensed Representative | 1, 2                        |
| FUNG Kam Dai                     | BKB184 | Licensed Representative | 1                           |
| FUNG Man Kei                     | AOW960 | Licensed Representative | 1                           |
| FUNG Mei Han                     | AFR011 | Licensed Representative | 1                           |
| FUNG Sing Chung                  | ANE087 | Licensed Representative | 1, 2, 7                     |
| FUNG Yuet Ying                   | BLA649 | Licensed Representative | 4                           |
| GAO Xiang                        | BKV988 | Licensed Representative | 4                           |
| GE Guan hong                     | BLA403 | Licensed Representative | 6                           |
| GE Wenjie                        | AYI043 | Licensed Representative | 9                           |
| GEHL Mederic Gaetan              | BEJ894 | Licensed Representative | 1, 2, 4                     |
| GIBBS Robert John Stuart         | BJV533 | Licensed Representative | 1, 4                        |
| GIBSON Timothy Alan              | BKJ129 | Licensed Representative | 1, 4                        |
| GOETZ Beat                       | BKV836 | Licensed Representative | 1, 4, 9                     |
| GOH Jia Yi                       | BKT926 | Licensed Representative | 1, 4, 6                     |
| GOURLAY Yoshie                   | BKY362 | Licensed Representative | 1, 4, 9                     |
| GUAN Yinch                       | BKT401 | Licensed Representative | 1, 4                        |
| GUAN Yugu                        | BLB118 | Licensed Representative | 4, 9                        |
| GUILLEMINOT-SIMON Bastien Pierre | BKS045 | Licensed Representative | 1, 2                        |
| GUO Chase Yuze                   | BKO884 | Licensed Representative | 1, 4                        |
| GUO Gunan                        | BKW982 | Licensed Representative | 1, 4, 9                     |
| HALL Adam Peter                  | ATX841 | Licensed Representative | 1                           |
| HAO Lydia Zhuotao                | BKW504 | Licensed Representative | 1, 4, 9                     |
| HAO Sijia                        | BKW541 | Licensed Representative | 1, 4                        |



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| CE Name                       | CE No. | Licence Type            | Types of Regulated Activity |
|-------------------------------|--------|-------------------------|-----------------------------|
| HARRIS David Shannon          | ARS574 | Licensed Representative | 1                           |
| HE Liyao                      | BKK633 | Licensed Representative | 1, 6                        |
| HE Weiyi                      | BKU102 | Licensed Representative | 1, 4, 9                     |
| HEUNG Chun Wai                | ADZ579 | Licensed Representative | 10                          |
| HILL Louisa Alice             | BKW654 | Licensed Representative | 1, 2                        |
| HILMAN Nicholas David         | BKY127 | Licensed Representative | 1, 4, 9                     |
| HO Ping Kwan                  | ALN369 | Licensed Representative | 1, 2                        |
| HO Sin Nga                    | BCQ586 | Licensed Representative | 3                           |
| HO Wing Na                    | BKW460 | Licensed Representative | 1, 4                        |
| HO YIN KI                     | BKT703 | Licensed Representative | 9                           |
| HOFER Stefan Paul             | BKR862 | Licensed Representative | 1, 4                        |
| HONG Du Ki                    | APS746 | Licensed Representative | 9                           |
| HSIAO Eugene Yow Seng         | AOP006 | Licensed Representative | 4, 9                        |
| HSIAO Wei-Yuan                | BKS405 | Licensed Representative | 1                           |
| HSIEH Siou-Ping               | AUR646 | Licensed Representative | 1                           |
| HSU Pei-Ju                    | APY469 | Licensed Representative | 1                           |
| HSU Shu                       | BKE042 | Licensed Representative | 1                           |
| HU Dongbing                   | BKN641 | Licensed Representative | 10                          |
| HU Qing                       | BJP309 | Licensed Representative | 1, 4, 6                     |
| HU Renyun                     | BKU718 | Licensed Representative | 1, 4, 6                     |
| HUANG Chaoyin                 | APH954 | Licensed Representative | 4, 9                        |
| HUANG Hsing-Han               | BKY224 | Licensed Representative | 6                           |
| HUANG Tsung-Kai               | BKT096 | Licensed Representative | 2, 5                        |
| HUANG Xiayue                  | BKU111 | Licensed Representative | 6                           |
| HUANG Yun Tong                | BKY315 | Licensed Representative | 1, 6                        |
| HUANG Zhuoqun                 | BKI996 | Licensed Representative | 10                          |
| HUI Chun-kit, Lawrence        | BKY996 | Licensed Representative | 1, 4                        |
| HUI Hin Long                  | BKY354 | Licensed Representative | 6                           |
| HUI Jonathan Kim Pong         | AJF934 | Licensed Representative | 1, 2                        |
| HUI TAK WAI                   | BKY318 | Licensed Representative | 1                           |
| HUNG Tak Wai                  | BLC110 | Licensed Representative | 1                           |
| IP Alan Wai Luen              | AQY200 | Licensed Representative | 9                           |
| IP Chi Lui                    | BLA299 | Licensed Representative | 1, 4                        |
| IP Kwok Pong                  | BKY596 | Licensed Representative | 4                           |
| ISNARD Maxime Vladimir Sidney | BKW311 | Licensed Representative | 1, 2, 9                     |
| JACKSON Olivia Lauren         | BLA376 | Licensed Representative | 4, 9                        |
| JANAMANCHI Siddardha          | BKS026 | Licensed Representative | 1, 2                        |
| JANG JI HO                    | BKS152 | Licensed Representative | 1, 4, 6                     |
| JIANG HUIPING                 | BKM131 | Licensed Representative | 4                           |
| JIANG Lixue                   | BKP869 | Licensed Representative | 1                           |
| JIANG Zhiyue                  | BKU700 | Licensed Representative | 1, 4, 6                     |
| JIN Yuanjie                   | BIS262 | Licensed Representative | 1, 9                        |



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| CE Name                    | CE No. | Licence Type            | Types of Regulated Activity |
|----------------------------|--------|-------------------------|-----------------------------|
| JING Jun                   | BKQ509 | Licensed Representative | 1, 2                        |
| JUNG Jaekyung              | BKI059 | Licensed Representative | 1, 6                        |
| KAM Suet Ying              | BLA367 | Licensed Representative | 1, 4                        |
| KENNEDY Brett Ashwin James | BKO362 | Licensed Representative | 1, 4                        |
| KIM David In-kyu           | BKV893 | Licensed Representative | 1, 4                        |
| KIM Erica Jeewon           | AQQ470 | Licensed Representative | 4, 9                        |
| KIM Min Chul               | BKY242 | Licensed Representative | 1, 4, 9                     |
| KIM Min Hye                | BKY300 | Licensed Representative | 1                           |
| KITAHARA Yoshitaka         | BKY302 | Licensed Representative | 1                           |
| KLINGENBERG-TIMM Benno     | BGD845 | Licensed Representative | 1, 4                        |
| KO Sin Pan                 | BLB435 | Licensed Representative | 1, 6                        |
| KOH Chee Sin               | BLE454 | Licensed Representative | 1, 4, 9                     |
| KONG Yin Yu                | ARD477 | Licensed Representative | 9                           |
| KOU Yuanyuan               | BKX467 | Licensed Representative | 9                           |
| KUANG Hanfangzi            | BKW287 | Licensed Representative | 1, 4                        |
| KUSAKABE Haruo             | BKS080 | Licensed Representative | 1, 4, 9                     |
| KWAN David King Tong       | ADU222 | Licensed Representative | 4                           |
| KWAN Kar Ching             | BFE813 | Licensed Representative | 1                           |
| KWOK Pui Ling Peggy        | BLA694 | Licensed Representative | 1, 4                        |
| KWOK Wai See               | BDA807 | Licensed Representative | 1                           |
| LAI Andy                   | BLC488 | Licensed Representative | 4, 9                        |
| LAI Leong Hang, Ringo      | ABS284 | Licensed Representative | 4, 9                        |
| LAI Man Ching              | BEA623 | Licensed Representative | 1, 2                        |
| LAI Zengkun                | AZJ208 | Licensed Representative | 6                           |
| LAM Cheong Wing            | BKE038 | Licensed Representative | 3                           |
| LAM Chun Wing              | BKD020 | Licensed Representative | 4, 9                        |
| LAM Hiu Ha, Kate           | ABG384 | Licensed Representative | 1, 2                        |
| LAM Joshua                 | BKW778 | Licensed Representative | 6                           |
| LAM Ting Wai, Anita        | AOE462 | Licensed Representative | 1, 4                        |
| LAMADJIDO Romy Fatinhizam  | BKL147 | Licensed Representative | 1, 6                        |
| LAU Chiu Ho                | BKY129 | Licensed Representative | 4, 9                        |
| LAU Chui Lai               | BLB634 | Licensed Representative | 1, 4                        |
| LAU Ho Fung                | AMW835 | Licensed Representative | 9                           |
| LAU Kwong Wang Joshua      | BKO573 | Licensed Representative | 6                           |
| LAU Kwun Ping              | BLB487 | Licensed Representative | 4                           |
| LAU Shing Fung             | BKP938 | Licensed Representative | 1                           |
| LAU Shuk Kwan              | BLE091 | Licensed Representative | 1                           |
| LAU Vincent                | BKN665 | Licensed Representative | 1, 4                        |
| LAU Wai Yip Lawrence       | BKY575 | Licensed Representative | 1, 4                        |
| LAW Mei Ki                 | BIZ039 | Licensed Representative | 1                           |
| LEE Chui Shan              | AGG697 | Licensed Representative | 1                           |
| LEE Ka Ning                | BKY346 | Licensed Representative | 1, 4, 9                     |



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| CE Name               | CE No. | Licence Type            | Types of Regulated Activity |
|-----------------------|--------|-------------------------|-----------------------------|
| LEE Kie Hang Kath     | BKZ972 | Licensed Representative | 1                           |
| LEE Kin Hang          | BKY138 | Licensed Representative | 1                           |
| LEE Kwan Fong         | ARY266 | Licensed Representative | 1                           |
| LEE Lok Ching         | BKW666 | Licensed Representative | 1                           |
| LEE Ting Chung        | BKW489 | Licensed Representative | 4                           |
| LEE Wing Sum Vanessa  | BKO694 | Licensed Representative | 1, 4                        |
| LEE Yuen Ling         | BKU863 | Licensed Representative | 1, 6                        |
| LEI Cuiwen            | BKW179 | Licensed Representative | 1                           |
| LEOTTA Sebastian John | BKP941 | Licensed Representative | 4, 9                        |
| LEUNG Ching Fai       | BKJ224 | Licensed Representative | 6                           |
| LEUNG Choi Ming       | BKW018 | Licensed Representative | 1, 4                        |
| LEUNG Hing Man        | AUH927 | Licensed Representative | 1, 4, 9                     |
| LEUNG Kin Hang        | BKT947 | Licensed Representative | 1                           |
| LEUNG Ping Fai        | ARG750 | Licensed Representative | 4, 9                        |
| LEUNG Po Chi          | BKU079 | Licensed Representative | 1, 4, 9                     |
| LEUNG Soi Chi         | BKW301 | Licensed Representative | 1                           |
| LEUNG Sze Lai         | BKN603 | Licensed Representative | 1                           |
| LEUNG Yu Shun         | BKL783 | Licensed Representative | 1, 4, 9                     |
| LI Botao              | BKW478 | Licensed Representative | 1, 4, 6                     |
| LI Enhui              | BKT285 | Licensed Representative | 6                           |
| LI Fu Sang Felix      | BKR091 | Licensed Representative | 9                           |
| LI Hongxu             | BKX392 | Licensed Representative | 2, 5                        |
| LI lin                | BKW319 | Licensed Representative | 1, 4                        |
| LI Lingxuan           | BKV919 | Licensed Representative | 1, 6                        |
| LI Lucheng            | BKL414 | Licensed Representative | 1, 6                        |
| LI Shiyan             | BKK506 | Licensed Representative | 1                           |
| LI Shuxi              | BKT719 | Licensed Representative | 1                           |
| LI Wai Kit            | BLC096 | Licensed Representative | 1                           |
| LI Xintong            | BKU819 | Licensed Representative | 6                           |
| LI Xiyuan             | BKK594 | Licensed Representative | 1                           |
| LI Xue                | BKY638 | Licensed Representative | 1, 6                        |
| LIEN Bing-kai         | BKY218 | Licensed Representative | 1                           |
| LIM Junsea            | BKY382 | Licensed Representative | 1, 2                        |
| LIM Shan-Jia, Alvin   | AZW886 | Licensed Representative | 1, 4                        |
| LIN Chaofan           | BEF198 | Licensed Representative | 1, 4, 9                     |
| LIN Jing Yuh          | AOX222 | Licensed Representative | 4, 6, 9                     |
| LIN John Edward       | BKI656 | Licensed Representative | 1, 6                        |
| LIN Minjie            | BBK729 | Licensed Representative | 4, 9                        |
| LIN Wei Hsiang        | BKS410 | Licensed Representative | 1                           |
| LIN Zhe               | BKU715 | Licensed Representative | 1, 4, 6                     |
| LIO Lok Tin           | BKV993 | Licensed Representative | 1, 4                        |
| LIU BING              | BKY745 | Licensed Representative | 4, 9                        |



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|---------------------------------|--------|-------------------------|-----------------------------|
| LIU Feifei                      | BGM914 | Licensed Representative | 1                           |
| LIU Hanyi                       | BKS592 | Licensed Representative | 1, 4, 6                     |
| LIU Jia Kung                    | BKM275 | Licensed Representative | 4, 9                        |
| LIU Jialu                       | BKX396 | Licensed Representative | 1, 2                        |
| LIU Jiaming                     | BKV292 | Licensed Representative | 1, 6                        |
| LIU Junming                     | BKW160 | Licensed Representative | 1, 6                        |
| LIU Li                          | BKP926 | Licensed Representative | 1, 4                        |
| LIU Mengxiao                    | BKT334 | Licensed Representative | 1, 2                        |
| LIU Po Yu                       | BKY981 | Licensed Representative | 1, 2                        |
| LIU Weiwei                      | BKW279 | Licensed Representative | 1, 6                        |
| LIU Xi                          | BKW445 | Licensed Representative | 1, 6                        |
| LIU Yicheng                     | BKG339 | Licensed Representative | 1, 4, 6                     |
| LIU Zhe                         | BKW273 | Licensed Representative | 1                           |
| LO Chi Kai, Ivan                | AXH528 | Licensed Representative | 1                           |
| LO Chiu Lam, Alex               | BKN521 | Licensed Representative | 1, 6                        |
| LO Wai Tak, Michael             | AFT404 | Licensed Representative | 4, 9                        |
| LONG Jiabing                    | BKU403 | Licensed Representative | 1                           |
| LOW Christopher Swee Kiat       | BKW526 | Licensed Representative | 1, 2                        |
| LU Nan                          | BKS599 | Licensed Representative | 1, 4, 6                     |
| LUAN Tian                       | BKV078 | Licensed Representative | 1, 4, 9                     |
| LUI Kai Yiu                     | BKY644 | Licensed Representative | 2                           |
| LUI Yue Kwong, Christopher      | AOS677 | Licensed Representative | 4                           |
| MA Arthur On-hing               | AGL177 | Licensed Representative | 4, 9                        |
| MAI Jiabao                      | BKZ976 | Licensed Representative | 1, 2                        |
| MAK Ho Ming                     | BKQ804 | Licensed Representative | 1                           |
| MENG Bingyu                     | AWS029 | Licensed Representative | 1                           |
| MIN Brett Jae                   | AJD743 | Licensed Representative | 9                           |
| MOIZANT Michael, Jean, Francois | BKT570 | Licensed Representative | 1, 2                        |
| MOK Tze Chung                   | AZF440 | Licensed Representative | 1, 4                        |
| MOK Vincent Hiu Fung            | BKY136 | Licensed Representative | 1, 2                        |
| MU Sihan                        | BKT332 | Licensed Representative | 1, 2                        |
| MURAI Ken Ofriel                | BKU707 | Licensed Representative | 1, 2, 7                     |
| MURARI Pranav                   | BAX549 | Licensed Representative | 4, 9                        |
| NAKATOMI Ryosuke                | BKV309 | Licensed Representative | 1                           |
| NG Chong Kean                   | BKQ317 | Licensed Representative | 4, 9                        |
| NG Chung Min Marvin             | BKC173 | Licensed Representative | 9                           |
| NG Jason W H                    | AWD539 | Licensed Representative | 9                           |
| NG Kin Fun                      | AXW833 | Licensed Representative | 1, 4                        |
| NG KWOK KEI                     | BJI355 | Licensed Representative | 4                           |
| NG Kwok Keung, James            | AAY740 | Licensed Representative | 4, 9                        |
| NG Oi Chu                       | ASZ370 | Licensed Representative | 1                           |
| NG Tsz Ho                       | BKT162 | Licensed Representative | 1, 4                        |



# **ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017**

| CE Name                      | CE No. | Licence Type            | Types of Regulated Activity |
|------------------------------|--------|-------------------------|-----------------------------|
| NG Wang Chiu                 | BKS775 | Licensed Representative | 1                           |
| NG Wen Jie Jonathan          | BKW776 | Licensed Representative | 9                           |
| O Wai Mun                    | BLB449 | Licensed Representative | 1                           |
| OK Tae Jong                  | AZS937 | Licensed Representative | 10                          |
| OKAZAWA Kyoya                | BKP028 | Licensed Representative | 1, 2                        |
| ON Chin Bong                 | BKR852 | Licensed Representative | 6                           |
| OZASA Akihiro                | BJU915 | Licensed Representative | 1                           |
| PANG Christopher             | BKY624 | Licensed Representative | 1                           |
| PANG Man Lee                 | BKR252 | Licensed Representative | 1                           |
| PANG Wenjuan                 | BKW525 | Licensed Representative | 1                           |
| PANG Yu Bing Athena          | BKP942 | Licensed Representative | 4, 9                        |
| PARK Sang Jun                | BBP117 | Licensed Representative | 1, 4                        |
| PARKER Kirsten Buntly        | BEZ493 | Licensed Representative | 6                           |
| PATEL Afshan Yusuf           | BLB208 | Licensed Representative | 1                           |
| PENG Cheng                   | BKT370 | Licensed Representative | 1, 4, 6                     |
| PENG Ruoyang                 | BKN607 | Licensed Representative | 1, 2                        |
| PENG Yuyu                    | ATV436 | Licensed Representative | 1, 4                        |
| POL Jos Henrik               | BJF260 | Licensed Representative | 1, 2                        |
| PONG Christopher             | BLB151 | Licensed Representative | 1, 4                        |
| POON Ka Shing                | BLA383 | Licensed Representative | 1                           |
| QI Ruixiao                   | BLE417 | Licensed Representative | 1, 6                        |
| QIAN Junhong                 | BKR991 | Licensed Representative | 4                           |
| RA Hye Rin                   | BAC302 | Licensed Representative | 1, 7                        |
| RADE Guillaume Roland        | BKI755 | Licensed Representative | 1, 4, 9                     |
| RAMOS Joyce Anne Jose        | BKY336 | Licensed Representative | 4                           |
| RASTOGI Sagar Yogesh         | BKV097 | Licensed Representative | 4, 5, 9                     |
| REUS ALEXANDER JAMES HOWARTH | BKZ628 | Licensed Representative | 6                           |
| RUNGTA NITIN                 | BLB608 | Licensed Representative | 2, 5                        |
| SARWAR Shejuti Shehreen      | AYD305 | Licensed Representative | 1, 6                        |
| SEO Se Heun                  | BKU705 | Licensed Representative | 1, 4, 6                     |
| SHEN Ruyi                    | BKY357 | Licensed Representative | 1, 4                        |
| SHEN Yang                    | BKW016 | Licensed Representative | 1, 2                        |
| SHEN Yiqing                  | BKW685 | Licensed Representative | 1, 4, 6                     |
| SHENG Hao                    | BKF752 | Licensed Representative | 9                           |
| SHI Lujia                    | BKP584 | Licensed Representative | 2                           |
| SHI Wenting                  | BKX436 | Licensed Representative | 1, 6                        |
| SHI Yunhan                   | BLA252 | Licensed Representative | 9                           |
| SIDHU Tajinder Singh         | BKV870 | Licensed Representative | 1, 9                        |
| SIETTE Juliet                | BBK303 | Licensed Representative | 1, 4                        |
| SIN KWAN LOK                 | BKB218 | Licensed Representative | 1                           |
| SIOW Andy Jinhui             | ANR867 | Licensed Representative | 1, 4                        |
| SIU Chung Wa                 | BGA702 | Licensed Representative | 4                           |



# **ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017**

| CE Name                      | CE No. | Licence Type            | Types of Regulated Activity |
|------------------------------|--------|-------------------------|-----------------------------|
| SO Adrian Lap Kuen           | BKR795 | Licensed Representative | 1                           |
| SO Ting Shan                 | BLC841 | Licensed Representative | 1                           |
| SOBTI GAGANDEEP SINGH        | BKW825 | Licensed Representative | 1, 2                        |
| SU Yanling                   | BKY819 | Licensed Representative | 1, 4, 9                     |
| SUGARMAN Richard Neil        | BKX038 | Licensed Representative | 1, 7                        |
| SULTAN Asad Turab            | ADW848 | Licensed Representative | 1                           |
| SUN Chi Hang                 | BKY618 | Licensed Representative | 9                           |
| SUN Mengqi                   | BLA755 | Licensed Representative | 1                           |
| SUN Xiao Xiao                | BKV797 | Licensed Representative | 1, 4                        |
| SUN Xinyi                    | BKA529 | Licensed Representative | 1, 4, 9                     |
| SUN Yicheng                  | BKU344 | Licensed Representative | 1                           |
| TAI TSZ YING                 | BLA841 | Licensed Representative | 1                           |
| TAI Wai Ho                   | BKJ685 | Licensed Representative | 4                           |
| TAM Ho Yi                    | BKY892 | Licensed Representative | 1                           |
| TAM Oi Lam                   | BKP876 | Licensed Representative | 1                           |
| TAM Wing Kin                 | BAF087 | Licensed Representative | 1, 4                        |
| TAN Heng Hui, Adeline        | BKW932 | Licensed Representative | 1, 4, 9                     |
| TAN Wei Jie, Ivan            | BKP360 | Licensed Representative | 1, 2                        |
| TAN Yujun                    | BKU720 | Licensed Representative | 6                           |
| TANG Desmond Shiu Ching      | BLA307 | Licensed Representative | 1, 4                        |
| TANG Dik Ying                | BKY298 | Licensed Representative | 6                           |
| TANG Rundong                 | BLC422 | Licensed Representative | 1, 6                        |
| TANG Wing Chi                | BJU929 | Licensed Representative | 1, 4                        |
| TANG Wing Lun                | BKU866 | Licensed Representative | 4                           |
| TAUB Vanessa Lee             | ATC736 | Licensed Representative | 1                           |
| TENG Song                    | BKW513 | Licensed Representative | 1, 2                        |
| THORPE CHI Yin Ting, Joyce   | AFB595 | Licensed Representative | 1, 4, 9                     |
| TIAN Yu                      | BKS844 | Licensed Representative | 6                           |
| TO Yat Hong                  | AXP981 | Licensed Representative | 1                           |
| TONG Wing Shing              | BKU026 | Licensed Representative | 10                          |
| TONG Yilun                   | BKY135 | Licensed Representative | 1, 4, 9                     |
| TOPPING Matthew George Peter | BAO907 | Licensed Representative | 1, 2                        |
| TSANG Hok Man                | BLE130 | Licensed Representative | 1                           |
| TSE Eugene Yungyee           | BKZ626 | Licensed Representative | 9                           |
| TSE Ka Wai                   | BLD343 | Licensed Representative | 1, 2                        |
| TSE Ka Yi Nakita             | BKZ927 | Licensed Representative | 1, 4                        |
| TSE Man Nok                  | BKU363 | Licensed Representative | 1, 4                        |
| TSE Siu Jan                  | BLA984 | Licensed Representative | 6                           |
| TSUI Wing Ping               | BKZ983 | Licensed Representative | 1                           |
| TU Siyu                      | BKW989 | Licensed Representative | 1, 4                        |
| VARGA Edit                   | BLB529 | Licensed Representative | 1, 2, 7                     |
| WAN Ho Yin                   | BKW755 | Licensed Representative | 1                           |



# **ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017**

| CE Name              | CE No. | Licence Type            | Types of Regulated Activity |
|----------------------|--------|-------------------------|-----------------------------|
| WAN San Ming, Sandy  | ADI757 | Licensed Representative | 1                           |
| WAN Yiding           | BKW037 | Licensed Representative | 1                           |
| WANG Bochen          | BKY625 | Licensed Representative | 1, 4, 9                     |
| WANG Dong            | BKK309 | Licensed Representative | 6                           |
| WANG Duoduo          | BKY309 | Licensed Representative | 1, 6                        |
| WANG Jeffrey Feng    | BKZ563 | Licensed Representative | 1, 4, 9                     |
| WANG RONGRONG        | BKQ391 | Licensed Representative | 1                           |
| WANG Shengyu         | BKT146 | Licensed Representative | 1, 6                        |
| WANG Xiance          | BKS605 | Licensed Representative | 1, 6                        |
| WANG Xiaowei         | BKS962 | Licensed Representative | 4, 9                        |
| WANG Yaning          | BKZ894 | Licensed Representative | 9                           |
| WANG Yi              | BIH253 | Licensed Representative | 1, 4, 9                     |
| WANG Ying            | BFE891 | Licensed Representative | 10                          |
| WANG Yuhan           | BKV088 | Licensed Representative | 1, 4                        |
| WANG Yuliang         | BKT468 | Licensed Representative | 1, 4, 9                     |
| WANG Zhenxing        | BAJ275 | Licensed Representative | 4, 9                        |
| WENG Hsiao Wen       | BKV142 | Licensed Representative | 4                           |
| WONG Chi Shing       | BKP658 | Licensed Representative | 1, 4, 9                     |
| WONG Chun Ho         | BLB188 | Licensed Representative | 1, 6                        |
| WONG Hiu Yan         | BLC361 | Licensed Representative | 4, 9                        |
| WONG Ka Ho           | BKY128 | Licensed Representative | 4, 9                        |
| WONG Ka Ming         | BJZ072 | Licensed Representative | 9                           |
| WONG Kam Wai         | BAK784 | Licensed Representative | 1                           |
| WONG Kar Wing, Edwin | BKZ634 | Licensed Representative | 1, 6                        |
| WONG Koon Tim        | BKU746 | Licensed Representative | 1, 4                        |
| WONG Lok Wing        | BKW992 | Licensed Representative | 1, 6                        |
| WONG Man Yan         | BLD595 | Licensed Representative | 1, 4                        |
| WONG Ming Shing      | AAF460 | Licensed Representative | 1, 4                        |
| WONG Pui Tak         | BCU590 | Licensed Representative | 1                           |
| WONG Siu Hung        | BKT144 | Licensed Representative | 1                           |
| WONG Siu Kuen        | AFT729 | Licensed Representative | 1                           |
| WONG Tze Hwee, Grace | APZ545 | Licensed Representative | 6                           |
| WONG Wai Yan         | AGG935 | Licensed Representative | 1, 2                        |
| WONG Wing Yin        | BLB617 | Licensed Representative | 1, 6                        |
| WOO Lok Ting Tanita  | BLD544 | Licensed Representative | 1, 4                        |
| WOODS Ciaran David   | BKY234 | Licensed Representative | 1, 2                        |
| WU Huihuang          | BKU224 | Licensed Representative | 6                           |
| WU Man Yee           | BKY120 | Licensed Representative | 1, 4                        |
| WU Nan               | AUW139 | Licensed Representative | 6                           |
| WU Qiujie            | BKY629 | Licensed Representative | 1, 2, 9                     |
| WU Shangjin          | BKY371 | Licensed Representative | 4                           |
| WU Shilu             | BKM750 | Licensed Representative | 1, 4                        |



# **ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017**

| CE Name                  | CE No. | Licence Type            | Types of Regulated Activity |
|--------------------------|--------|-------------------------|-----------------------------|
| WU Shiqi                 | BKT374 | Licensed Representative | 1, 4, 6                     |
| WU Tianxiao              | BKR555 | Licensed Representative | 10                          |
| WU Zhaoqian              | BKO311 | Licensed Representative | 1, 4, 6, 9                  |
| XIA Yue                  | BKY144 | Licensed Representative | 1, 2                        |
| XIAO Li                  | BKW546 | Licensed Representative | 4, 9                        |
| XIE Shuangquan           | BKS032 | Licensed Representative | 4                           |
| XIE Zhuojun              | BKT341 | Licensed Representative | 1, 2                        |
| XU Qiumeng               | BKZ025 | Licensed Representative | 4, 9                        |
| XU Yinglei               | BKM858 | Licensed Representative | 6                           |
| XU Yuanjie               | BCX231 | Licensed Representative | 1, 2                        |
| XUE Xiangwen             | BKZ984 | Licensed Representative | 1                           |
| YAN Jinglin              | BKW510 | Licensed Representative | 1, 4, 9                     |
| YAN Yichen               | BKY607 | Licensed Representative | 10                          |
| YANAGIDA Rie             | BKM384 | Licensed Representative | 1, 4                        |
| YANG Fan                 | ARD258 | Licensed Representative | 1, 4, 9                     |
| YANG Jing                | ARH995 | Licensed Representative | 1                           |
| YANG Li                  | BKW297 | Licensed Representative | 1, 4, 6                     |
| YANG Nan                 | BKP395 | Licensed Representative | 1, 4                        |
| YANG Po Jen              | BKU710 | Licensed Representative | 1, 4, 6                     |
| YANG Shuo                | BKV454 | Licensed Representative | 1, 6                        |
| YANG Wenqi, Lucky        | BKJ915 | Licensed Representative | 2                           |
| YANG Yi-cheng            | BIU604 | Licensed Representative | 1, 4, 9                     |
| YANG Yiran               | BKU216 | Licensed Representative | 6                           |
| YANG zhangyi             | BKU681 | Licensed Representative | 1, 2                        |
| YAU Siu Yeung, Shari     | AWP697 | Licensed Representative | 1                           |
| YE Steven Qing           | BKX165 | Licensed Representative | 1, 4                        |
| YE XIAOJUN               | BKV992 | Licensed Representative | 1                           |
| YEAP Kay Wee             | BKY092 | Licensed Representative | 6                           |
| YEUNG Hon Shing          | BKZ969 | Licensed Representative | 1, 4, 9                     |
| YEUNG Ming Yue Victor    | BKV247 | Licensed Representative | 1, 4                        |
| YEUNG SHU WA             | BKT690 | Licensed Representative | 9                           |
| YIP Hoi Chung            | BKX383 | Licensed Representative | 10                          |
| YIP Hoi Lung             | BKZ255 | Licensed Representative | 4, 9                        |
| YOON Jung Jin            | AQP872 | Licensed Representative | 1                           |
| YOUNG Charles Maximilian | BKL907 | Licensed Representative | 1, 7                        |
| YU MAN HO                | BKX282 | Licensed Representative | 4, 9                        |
| YU Qining                | BKT367 | Licensed Representative | 1, 4, 6                     |
| YU Yi                    | AYM564 | Licensed Representative | 6                           |
| YU Yue                   | BKL276 | Licensed Representative | 1, 6                        |
| YUAN Li Yi               | BGP109 | Licensed Representative | 1                           |
| YUAN Lin                 | BCJ572 | Licensed Representative | 1, 6                        |
| YUAN Mengfan             | BLC023 | Licensed Representative | 1, 2, 4, 5                  |



# **ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017**

| CE Name                           | CE No. | Licence Type                                  | Types of Regulated Activity |
|-----------------------------------|--------|-----------------------------------------------|-----------------------------|
| YUAN Xiaoxi                       | BHC153 | Licensed Representative                       | 4, 9                        |
| YUE YONG                          | BJV555 | Licensed Representative                       | 9                           |
| YUEN Sau Ling, Angela             | ADT382 | Licensed Representative                       | 1                           |
| YUN Hongming                      | BKY626 | Licensed Representative                       | 1, 4, 9                     |
| ZENG Fanjie                       | BKU662 | Licensed Representative                       | 1, 4, 9                     |
| ZHANG Dongnan                     | BKY124 | Licensed Representative                       | 1                           |
| ZHANG Kang                        | BLA293 | Licensed Representative                       | 4                           |
| ZHANG Le                          | BCU754 | Licensed Representative                       | 9                           |
| ZHANG Nan                         | BKY349 | Licensed Representative                       | 1, 6                        |
| ZHANG Xinyang                     | BKR557 | Licensed Representative                       | 10                          |
| ZHANG Yier                        | BKW498 | Licensed Representative                       | 1, 4, 9                     |
| ZHANG YUZHENG                     | BJQ188 | Licensed Representative                       | 1, 4                        |
| ZHANG Zhao                        | BKW962 | Licensed Representative                       | 1, 4, 9                     |
| ZHANG ZHONGWEN                    | BKY288 | Licensed Representative                       | 1, 4                        |
| ZHAO Fangyuan                     | BKS137 | Licensed Representative                       | 1, 4                        |
| ZHAO Xiaodan                      | BKS689 | Licensed Representative                       | 6                           |
| ZHAO Yuqing                       | BKQ723 | Licensed Representative                       | 10                          |
| ZHEN Xi                           | BKP242 | Licensed Representative                       | 1, 4                        |
| ZHOU Fang                         | BJZ547 | Licensed Representative                       | 1                           |
| ZHOU Qiankai                      | BKW228 | Licensed Representative                       | 2                           |
| ZHOU Sheng                        | BKP939 | Licensed Representative                       | 2                           |
| ZHOU Sutong                       | BLD127 | Licensed Representative                       | 9                           |
| ZHOU Tianhao                      | BKR264 | Licensed Representative                       | 1                           |
| ZHOU Xinchun                      | BKU697 | Licensed Representative                       | 1, 2                        |
| ZHOU Yangyang                     | BKH390 | Licensed Representative                       | 1, 4, 6                     |
| ZHU Qi                            | BKU238 | Licensed Representative                       | 1, 6                        |
| ZHU Wei                           | BKY264 | Licensed Representative                       | 1, 4, 6                     |
| ZHU Xiaolin                       | BKY251 | Licensed Representative                       | 1, 4                        |
| ZHU Yali                          | BKY115 | Licensed Representative                       | 1, 4, 9                     |
| ZUNINO Romain Marie Pierre Gaston | BLA848 | Licensed Representative                       | 1, 2, 7                     |
| ZUO Jin                           | BKX077 | Licensed Representative                       | 9                           |
| ASHTON Richard Mark Paul          | BJP277 | Licensed Representative - Responsible Officer | 1                           |
| BACCI Arthur John                 | AFV820 | Licensed Representative - Responsible Officer | 1, 4                        |
| CHAN Kai Tai                      | ANP988 | Licensed Representative - Responsible Officer | 4, 9                        |
| CHIANG Pin-Feng                   | BJV175 | Licensed Representative - Responsible Officer | 4, 9                        |
| EMMETT Anthony James              | AVX215 | Licensed Representative - Responsible Officer | 1, 2                        |
| EVANS Adam Daniel                 | BJR581 | Licensed Representative - Responsible Officer | 1, 2                        |
| FRIEDMAN Avram Zev                | ARR506 | Licensed Representative - Responsible Officer | 9                           |
| FRY Paul Dean                     | BHU386 | Licensed Representative - Responsible Officer | 2                           |
| GU Kai                            | BJO274 | Licensed Representative - Responsible Officer | 2                           |
| GUO Xun                           | BJR061 | Licensed Representative - Responsible Officer | 9                           |
| HINTON Michael Austin Ian         | BJP276 | Licensed Representative - Responsible Officer | 1                           |



# **ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017**

| CE Name                        | CE No. | Licence Type                                  | Types of Regulated Activity |
|--------------------------------|--------|-----------------------------------------------|-----------------------------|
| IP Mei Shun                    | AVP618 | Licensed Representative - Responsible Officer | 4, 9                        |
| KAN Yiu Kwok                   | AFN397 | Licensed Representative - Responsible Officer | 1                           |
| KANG Moqing                    | BHL801 | Licensed Representative - Responsible Officer | 1, 4                        |
| KNOWLING Stuart                | AVW498 | Licensed Representative - Responsible Officer | 1, 4, 7                     |
| KORINKE Kimberley Grace        | BJX188 | Licensed Representative - Responsible Officer | 1, 4, 9                     |
| KUET Chu Chau                  | BBF122 | Licensed Representative - Responsible Officer | 1                           |
| KWOK Pui Wing                  | ARR131 | Licensed Representative - Responsible Officer | 1                           |
| LAU Yat Ying Karen             | ASS218 | Licensed Representative - Responsible Officer | 1, 4, 9                     |
| LAW Irene                      | BDO174 | Licensed Representative - Responsible Officer | 9                           |
| LEE Che Chiu                   | AAZ110 | Licensed Representative - Responsible Officer | 1, 4                        |
| LEE Connie Suet Bing           | BJF100 | Licensed Representative - Responsible Officer | 1, 4                        |
| LEE Ning Yee Frances           | BFX750 | Licensed Representative - Responsible Officer | 1, 4, 9                     |
| LEE Soohee                     | AIZ796 | Licensed Representative - Responsible Officer | 4, 9                        |
| LEUNG Ka Yau                   | AEF848 | Licensed Representative - Responsible Officer | 9                           |
| LEUNG Wai Kei, Gary            | ABN422 | Licensed Representative - Responsible Officer | 1, 2                        |
| LI Sai Chung                   | AMO749 | Licensed Representative - Responsible Officer | 1                           |
| LU Mo                          | BJE004 | Licensed Representative - Responsible Officer | 9                           |
| MA Chih-Hao                    | BJV179 | Licensed Representative - Responsible Officer | 4, 9                        |
| MC CANN David John             | BJO460 | Licensed Representative - Responsible Officer | 9                           |
| O'MALLEY Taylor John           | BJS956 | Licensed Representative - Responsible Officer | 9                           |
| PARKER Barry Neil              | AHX244 | Licensed Representative - Responsible Officer | 1, 2                        |
| PEREIRA SIMIONE Luiz Francisco | BIH097 | Licensed Representative - Responsible Officer | 1, 4                        |
| POON Geoffrey                  | ABS047 | Licensed Representative - Responsible Officer | 9                           |
| SHE Peng                       | BJP628 | Licensed Representative - Responsible Officer | 9                           |
| SHENG Hao                      | BKF752 | Licensed Representative - Responsible Officer | 1, 4                        |
| THOMPSON Michael Frazier       | BJX191 | Licensed Representative - Responsible Officer | 1, 4, 9                     |
| TSE Man Kit, Gilbert           | ATG895 | Licensed Representative - Responsible Officer | 1, 4, 9                     |
| WICKS Edward Vivian            | BJU359 | Licensed Representative - Responsible Officer | 2                           |
| WONG Kai Chi                   | BJZ397 | Licensed Representative - Responsible Officer | 1                           |
| WONG Kam Wing                  | APC770 | Licensed Representative - Responsible Officer | 9                           |
| WONG Wai Lam                   | AEL134 | Licensed Representative - Responsible Officer | 2                           |
| WOO King Wah, Peter            | AAB404 | Licensed Representative - Responsible Officer | 9                           |
| XIAN Chuping                   | ACG028 | Licensed Representative - Responsible Officer | 1, 2, 4, 6                  |
| YANG Rui                       | BKE906 | Licensed Representative - Responsible Officer | 4, 9                        |
| YANG Han-Wei                   | BIL918 | Licensed Representative - Responsible Officer | 1, 4                        |
| YEH Ching Ju                   | ACD784 | Licensed Representative - Responsible Officer | 9                           |
| YEO Daniel Seng Cheng          | ANZ956 | Licensed Representative - Responsible Officer | 2                           |
| YUAN Yining                    | BKE910 | Licensed Representative - Responsible Officer | 4, 9                        |
| ZHANG Ye                       | AOS487 | Licensed Representative - Responsible Officer | 4, 9                        |
| ZHAO Xiaodan                   | BKS689 | Licensed Representative - Responsible Officer | 1, 4                        |
| ZHOU Weihui                    | BJF092 | Licensed Representative - Responsible Officer | 1, 4                        |
| ADITYA                         | BLF579 | Licensed Representative (Provisional Licence) | 4, 9                        |



# **ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017**

| CE Name                            | CE No. | Licence Type                                  | Types of Regulated Activity |
|------------------------------------|--------|-----------------------------------------------|-----------------------------|
| BAETZ Thomas Jacques Jean Philippe | BLF191 | Licensed Representative (Provisional Licence) | 1, 6                        |
| BANG Keug Jae                      | BLG379 | Licensed Representative (Provisional Licence) | 6                           |
| BAR Guillaume, Arnaud, Adrien      | BLF073 | Licensed Representative (Provisional Licence) | 1                           |
| BHALLA Sumeet Kumar                | BLH891 | Licensed Representative (Provisional Licence) | 1, 9                        |
| BIANCHI Laetitia Laurence Marie    | BLF826 | Licensed Representative (Provisional Licence) | 1                           |
| BRENNAN Christopher Patrick        | BLE951 | Licensed Representative (Provisional Licence) | 1, 4                        |
| BYUN Jun Sik                       | BLI470 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| CABAL Bill Kristoffer              | BJS895 | Licensed Representative (Provisional Licence) | 1, 4, 6                     |
| CAO Chao                           | BLE074 | Licensed Representative (Provisional Licence) | 1, 2                        |
| CAO Sihui                          | BLE062 | Licensed Representative (Provisional Licence) | 1, 4, 6                     |
| CAO Yuting                         | BLF629 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| CHAINANI Harry Lal                 | BLC840 | Licensed Representative (Provisional Licence) | 1, 4                        |
| CHAN Ka Wai                        | APP683 | Licensed Representative (Provisional Licence) | 1, 2                        |
| CHAN Ka Wai                        | BLF061 | Licensed Representative (Provisional Licence) | 6                           |
| CHAN Kaai Tat                      | BLB652 | Licensed Representative (Provisional Licence) | 1, 4                        |
| CHAN Kwok Hung                     | BKW960 | Licensed Representative (Provisional Licence) | 1                           |
| CHAN Shu Chun                      | BLG345 | Licensed Representative (Provisional Licence) | 1, 4                        |
| CHAN To                            | AMF426 | Licensed Representative (Provisional Licence) | 4, 9                        |
| CHAN Wing Ho                       | BLI731 | Licensed Representative (Provisional Licence) | 1                           |
| CHAN Ying Kit                      | BLC894 | Licensed Representative (Provisional Licence) | 1                           |
| CHANG Yui Cheong Richards          | BKX171 | Licensed Representative (Provisional Licence) | 6                           |
| CHAU Chun Yin                      | BLF847 | Licensed Representative (Provisional Licence) | 1, 2                        |
| CHAU Wing Ho                       | BLH244 | Licensed Representative (Provisional Licence) | 6                           |
| CHEN Bin                           | BLD345 | Licensed Representative (Provisional Licence) | 1, 4                        |
| CHEN Cheng                         | BLC897 | Licensed Representative (Provisional Licence) | 9                           |
| CHEN Emily                         | BBN893 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| CHEN Jianghui                      | BLG365 | Licensed Representative (Provisional Licence) | 4                           |
| CHEN Ke                            | BLI895 | Licensed Representative (Provisional Licence) | 10                          |
| CHEN Lin                           | BLK131 | Licensed Representative (Provisional Licence) | 4                           |
| CHEN Xiaoyue                       | BLH895 | Licensed Representative (Provisional Licence) | 1, 2, 4                     |
| CHEN Xiyu                          | BLD338 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| CHEN Yidan                         | BLG353 | Licensed Representative (Provisional Licence) | 1, 4                        |
| CHENG Hung Tat                     | AUA676 | Licensed Representative (Provisional Licence) | 9                           |
| CHENG Jiyi                         | BLI471 | Licensed Representative (Provisional Licence) | 1, 4                        |
| CHENG John Chee-Wai                | BLB528 | Licensed Representative (Provisional Licence) | 1, 4                        |
| CHENG Kam Lun, Ronald              | BLF849 | Licensed Representative (Provisional Licence) | 10                          |
| CHENG LI                           | BKY322 | Licensed Representative (Provisional Licence) | 10                          |
| CHENG Yiu Chung                    | BLI138 | Licensed Representative (Provisional Licence) | 1, 2                        |
| CHENG Zhiyang                      | BLH890 | Licensed Representative (Provisional Licence) | 1, 4                        |
| CHENG Zi Heng                      | BLI613 | Licensed Representative (Provisional Licence) | 9                           |
| CHEUNG Chun                        | BLF137 | Licensed Representative (Provisional Licence) | 6                           |
| CHEUNG Fuk Lung                    | BLI002 | Licensed Representative (Provisional Licence) | 4                           |



# **ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017**

| CE Name                         | CE No. | Licence Type                                  | Types of Regulated Activity |
|---------------------------------|--------|-----------------------------------------------|-----------------------------|
| CHEUNG Lap Kuen, Preston        | BLI062 | Licensed Representative (Provisional Licence) | 1, 2, 4                     |
| CHEUNG Siu Fung                 | AZC794 | Licensed Representative (Provisional Licence) | 1, 4, 6                     |
| CHEUNG Tsun Hei, Keith          | BLE084 | Licensed Representative (Provisional Licence) | 1, 4                        |
| CHEUNG Wai Ho                   | BLI482 | Licensed Representative (Provisional Licence) | 1                           |
| CHIEN Jui-Lin                   | BLG339 | Licensed Representative (Provisional Licence) | 1, 4                        |
| CHIU Man Chi Vivi               | BLG161 | Licensed Representative (Provisional Licence) | 1, 6                        |
| CHIU Yuen Ying                  | BAU743 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| CHOE Jang Ho                    | BLH460 | Licensed Representative (Provisional Licence) | 4, 9                        |
| CHOI Franky Ming Chit           | APY708 | Licensed Representative (Provisional Licence) | 1, 2                        |
| CHOI Kien Lun, Kevin            | BLI507 | Licensed Representative (Provisional Licence) | 1, 4, 6                     |
| CHOI Yee Lam, Kenny             | BLH669 | Licensed Representative (Provisional Licence) | 1                           |
| CHOI Yiet Yu                    | BLC072 | Licensed Representative (Provisional Licence) | 1, 2                        |
| CHOW Kam Ho                     | BLC130 | Licensed Representative (Provisional Licence) | 1, 6                        |
| CHOW Long Ching                 | BLF108 | Licensed Representative (Provisional Licence) | 4                           |
| CHUAH Jiang Shen                | BLI905 | Licensed Representative (Provisional Licence) | 1, 2                        |
| CHUI Yat Wa                     | BLD478 | Licensed Representative (Provisional Licence) | 1, 2                        |
| CHUNG Wing                      | BLA947 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| CLODE Richard Stephen           | BLH883 | Licensed Representative (Provisional Licence) | 1, 4                        |
| CONNELLY Martin Trevor          | BDD178 | Licensed Representative (Provisional Licence) | 9                           |
| CUI BOFENG                      | BLF876 | Licensed Representative (Provisional Licence) | 1, 4                        |
| DAI Yihang                      | BLH885 | Licensed Representative (Provisional Licence) | 1, 2, 4                     |
| DAWES Pinky                     | BLC909 | Licensed Representative (Provisional Licence) | 1, 4                        |
| DAY Joseph William Philip       | BLG354 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| DELAHODDE Thomas Geoffrey       | BLC702 | Licensed Representative (Provisional Licence) | 1, 2, 7                     |
| DHADDA Vaibhav                  | BLA433 | Licensed Representative (Provisional Licence) | 1, 9                        |
| FANG Qing                       | BLC451 | Licensed Representative (Provisional Licence) | 4                           |
| FANG Yuan                       | BLI961 | Licensed Representative (Provisional Licence) | 1, 4, 6                     |
| FOK Sze Ting                    | ANG611 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| FONG Chi Chuen, Ronnie          | BLF532 | Licensed Representative (Provisional Licence) | 1                           |
| FONG Wai Kit, Alvis             | BLF652 | Licensed Representative (Provisional Licence) | 1, 4                        |
| FONKENELL Guillaume Henri Andre | AVJ702 | Licensed Representative (Provisional Licence) | 9                           |
| FREYE Henrik Sebastian          | BLH173 | Licensed Representative (Provisional Licence) | 9                           |
| GAO Qiao                        | BLC830 | Licensed Representative (Provisional Licence) | 4, 9                        |
| GARG Vipul                      | BLB530 | Licensed Representative (Provisional Licence) | 1, 2                        |
| GE Wenjie                       | AYI043 | Licensed Representative (Provisional Licence) | 9                           |
| GE Xiaoyan                      | BLC471 | Licensed Representative (Provisional Licence) | 1                           |
| GONG Mengtan                    | BLF870 | Licensed Representative (Provisional Licence) | 9                           |
| GONG Rui                        | BLF289 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| GUO Yanpei                      | BLB500 | Licensed Representative (Provisional Licence) | 1, 6                        |
| GUO Yifei                       | BLG133 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| HAN Xinhao                      | BLF871 | Licensed Representative (Provisional Licence) | 1, 2                        |
| HANLEY Cathal Timothy           | BLD572 | Licensed Representative (Provisional Licence) | 1, 2, 7                     |



# **ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017**

| CE Name                     | CE No. | Licence Type                                  | Types of Regulated Activity |
|-----------------------------|--------|-----------------------------------------------|-----------------------------|
| HE Kai                      | BLD346 | Licensed Representative (Provisional Licence) | 1, 4                        |
| HE Ningqian                 | BLF666 | Licensed Representative (Provisional Licence) | 9                           |
| HE Wei                      | BLH425 | Licensed Representative (Provisional Licence) | 9                           |
| HO Perdo Wang Kei           | AVN057 | Licensed Representative (Provisional Licence) | 1                           |
| HO Suk Man, Betty           | ARX005 | Licensed Representative (Provisional Licence) | 2                           |
| HOU Min                     | BLH840 | Licensed Representative (Provisional Licence) | 1, 4                        |
| HSIAO Tiffany Jihsheng      | AQC825 | Licensed Representative (Provisional Licence) | 1                           |
| HSU Hsiu Ping               | AYJ219 | Licensed Representative (Provisional Licence) | 9                           |
| HU Jiabin                   | BKU255 | Licensed Representative (Provisional Licence) | 4, 9                        |
| HUANG Mingmin               | AYR511 | Licensed Representative (Provisional Licence) | 1, 4, 6                     |
| HUANG Tiger                 | BLF626 | Licensed Representative (Provisional Licence) | 1, 6                        |
| HUANG Yang                  | BLA722 | Licensed Representative (Provisional Licence) | 4, 9                        |
| HUANG Yanqing               | ANG755 | Licensed Representative (Provisional Licence) | 4, 9                        |
| HUANG Yunqi                 | BLI511 | Licensed Representative (Provisional Licence) | 1, 6                        |
| HUANG Yuzhi                 | BLD480 | Licensed Representative (Provisional Licence) | 1, 2                        |
| HUI Wai Lung                | BLE911 | Licensed Representative (Provisional Licence) | 1, 2                        |
| ICHOUA Arnaud Sylvain       | BEV783 | Licensed Representative (Provisional Licence) | 1, 2                        |
| IMOTO TOMOKO                | BLH595 | Licensed Representative (Provisional Licence) | 4                           |
| INGVAR Andrea Mary Jeanette | BLC460 | Licensed Representative (Provisional Licence) | 1                           |
| JASUJA Radhika              | AID481 | Licensed Representative (Provisional Licence) | 1, 4                        |
| JIANG Mingyu                | BLA801 | Licensed Representative (Provisional Licence) | 1, 6                        |
| JIANG Yilin                 | BLD329 | Licensed Representative (Provisional Licence) | 1, 2                        |
| JIN Jianren                 | BLH272 | Licensed Representative (Provisional Licence) | 1, 4                        |
| JIN Lu                      | BLH375 | Licensed Representative (Provisional Licence) | 1, 4                        |
| KAN Chiu Man, Vivian        | AFR075 | Licensed Representative (Provisional Licence) | 1, 4                        |
| KAO Yu Lin                  | BLE983 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| KARIA KISHAN                | BLI623 | Licensed Representative (Provisional Licence) | 1, 4                        |
| KHADERIA Nirmal Kumar       | BLD569 | Licensed Representative (Provisional Licence) | 1, 4, 6                     |
| KHULLAR Ashu                | BLD672 | Licensed Representative (Provisional Licence) | 1, 6                        |
| KIM Jung Hun                | BLH422 | Licensed Representative (Provisional Licence) | 9                           |
| KITOV Alex Nikolaev         | BKY265 | Licensed Representative (Provisional Licence) | 1, 9                        |
| KOH Chee Sin                | BLE454 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| KONG PAK YONG ANDY          | BLI106 | Licensed Representative (Provisional Licence) | 1                           |
| KUNG Chin Pang              | ATB596 | Licensed Representative (Provisional Licence) | 1, 2                        |
| KUNG Yiu Shing              | BLH249 | Licensed Representative (Provisional Licence) | 1                           |
| KUWAKI Shota                | BLK037 | Licensed Representative (Provisional Licence) | 1                           |
| KWAI Wai                    | BDY940 | Licensed Representative (Provisional Licence) | 1                           |
| KWOK HONG MAN               | BLJ204 | Licensed Representative (Provisional Licence) | 1, 2                        |
| KWOK Kwai Ming Natalie      | BLD320 | Licensed Representative (Provisional Licence) | 1                           |
| KWONG Maggie Pauly          | BLB531 | Licensed Representative (Provisional Licence) | 1                           |
| LAI Chun Kit                | BLI494 | Licensed Representative (Provisional Licence) | 6                           |
| LAI Yik Man                 | BLF867 | Licensed Representative (Provisional Licence) | 4, 9                        |



# **ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017**

| CE Name                | CE No. | Licence Type                                  | Types of Regulated Activity |
|------------------------|--------|-----------------------------------------------|-----------------------------|
| LAM Wan Yee, Cynthia   | AHV111 | Licensed Representative (Provisional Licence) | 1                           |
| LAU Cho Fung           | BLI767 | Licensed Representative (Provisional Licence) | 1                           |
| LAU Yuen Shing         | AXZ950 | Licensed Representative (Provisional Licence) | 1, 4, 6                     |
| LAUNGANI Neel Vishnu   | ADQ008 | Licensed Representative (Provisional Licence) | 6                           |
| LAW Cho Kwan Derek     | BLI067 | Licensed Representative (Provisional Licence) | 6                           |
| LAW KA KIU VICTOR      | BLF268 | Licensed Representative (Provisional Licence) | 4, 9                        |
| LE MAGNAN Sandra Liu   | ANM095 | Licensed Representative (Provisional Licence) | 4                           |
| LEE Jiwon              | BLH266 | Licensed Representative (Provisional Licence) | 1, 2, 4, 5                  |
| LEE Kok Shiong         | BLH996 | Licensed Representative (Provisional Licence) | 2                           |
| LEE Kwun Chung Kenneth | BLI955 | Licensed Representative (Provisional Licence) | 1, 2                        |
| LEE Ming Sum Mason     | BLI900 | Licensed Representative (Provisional Licence) | 1, 2, 4                     |
| LEE Shao-Tang          | BLA303 | Licensed Representative (Provisional Licence) | 4                           |
| LEE Siu Fung           | BLJ226 | Licensed Representative (Provisional Licence) | 1                           |
| LEE Wai Yin            | AYW252 | Licensed Representative (Provisional Licence) | 4, 9                        |
| LENG Xuan              | BKY229 | Licensed Representative (Provisional Licence) | 6                           |
| LEUNG Chun Hin         | BLC854 | Licensed Representative (Provisional Licence) | 1                           |
| LEUNG Ka Yiu           | BLE442 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| LEUNG Siulun Gary      | BLE481 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| LEUNG Ying Chun        | BLI477 | Licensed Representative (Provisional Licence) | 6                           |
| LI Aiwei               | BLH896 | Licensed Representative (Provisional Licence) | 4                           |
| LI Chuheng             | BLB153 | Licensed Representative (Provisional Licence) | 1                           |
| LI Cong                | BKV453 | Licensed Representative (Provisional Licence) | 1, 6                        |
| LI Hoi Ying Stefanie   | BLF088 | Licensed Representative (Provisional Licence) | 1, 6                        |
| LI SUFAN               | BLF846 | Licensed Representative (Provisional Licence) | 1                           |
| LI Teng                | BLI066 | Licensed Representative (Provisional Licence) | 1, 2                        |
| LI Yihong              | BLG130 | Licensed Representative (Provisional Licence) | 1, 6                        |
| LI Yijun               | AMF468 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| LIAO Chuqin            | BLI484 | Licensed Representative (Provisional Licence) | 9                           |
| LIN Chi-Jung           | BFA198 | Licensed Representative (Provisional Licence) | 1, 4                        |
| LIU Chang              | BLF877 | Licensed Representative (Provisional Licence) | 1                           |
| LIU En-Ting            | BLI963 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| LIU Han                | BJM089 | Licensed Representative (Provisional Licence) | 4, 9                        |
| LIU Qian               | ATS617 | Licensed Representative (Provisional Licence) | 1, 4, 6                     |
| LIU shihuijun          | BLH483 | Licensed Representative (Provisional Licence) | 1, 6                        |
| LIU Sifan              | BLI069 | Licensed Representative (Provisional Licence) | 1, 4                        |
| LIU Weiyi              | BLG350 | Licensed Representative (Provisional Licence) | 1, 4, 6                     |
| LIU Xinhe              | BLI492 | Licensed Representative (Provisional Licence) | 1, 4                        |
| LIU Yan                | BJY422 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| LIU Yinggang           | BLI068 | Licensed Representative (Provisional Licence) | 1, 6                        |
| LO Tsz Kit, Harry      | AGM850 | Licensed Representative (Provisional Licence) | 6                           |
| LOGAN Anura            | BLE134 | Licensed Representative (Provisional Licence) | 1                           |
| LOHCHAB Varun          | BLE441 | Licensed Representative (Provisional Licence) | 4                           |



# **ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017**

| CE Name                        | CE No. | Licence Type                                  | Types of Regulated Activity |
|--------------------------------|--------|-----------------------------------------------|-----------------------------|
| LUO Xuan                       | AQS758 | Licensed Representative (Provisional Licence) | 1, 2                        |
| LUO Yue                        | BLD589 | Licensed Representative (Provisional Licence) | 1, 4, 6                     |
| MA Danwei                      | BLD382 | Licensed Representative (Provisional Licence) | 1, 4                        |
| MA Man Lok, Ivan               | BLE910 | Licensed Representative (Provisional Licence) | 1                           |
| MA Yueyi                       | BLH430 | Licensed Representative (Provisional Licence) | 4                           |
| MALIK Juhi                     | BLJ228 | Licensed Representative (Provisional Licence) | 1, 4                        |
| MASHRU Namrata Sudhir          | BAF822 | Licensed Representative (Provisional Licence) | 1, 2                        |
| MASSON Benjamin Rene Remi      | BLD364 | Licensed Representative (Provisional Licence) | 1, 4                        |
| MATHUR Puneet                  | BLE907 | Licensed Representative (Provisional Licence) | 2, 5                        |
| MCDONAGH Simon Joseph          | BLC034 | Licensed Representative (Provisional Licence) | 1                           |
| MENG Zhe                       | BLG291 | Licensed Representative (Provisional Licence) | 1, 4, 6                     |
| MILLER Timothy Stephen         | BLF858 | Licensed Representative (Provisional Licence) | 1, 9                        |
| MIN Peter Jae Sun              | BLJ520 | Licensed Representative (Provisional Licence) | 1                           |
| MOK Wing Ho                    | BLH458 | Licensed Representative (Provisional Licence) | 1                           |
| MORINAGA Kumiko                | BLC343 | Licensed Representative (Provisional Licence) | 9                           |
| MUNDY David James              | BEX113 | Licensed Representative (Provisional Licence) | 4, 9                        |
| NAKAYAMA Sho                   | BLE542 | Licensed Representative (Provisional Licence) | 9                           |
| NG Justin Chun-hoy             | BHW620 | Licensed Representative (Provisional Licence) | 1, 4                        |
| NG Lai Fun                     | BLE471 | Licensed Representative (Provisional Licence) | 1, 4                        |
| NGAI Cho Lap                   | BLF241 | Licensed Representative (Provisional Licence) | 1, 4                        |
| NING Yanyue                    | BLG363 | Licensed Representative (Provisional Licence) | 1, 2, 4                     |
| NIU Huoqing                    | BJT516 | Licensed Representative (Provisional Licence) | 4, 9                        |
| NIU Shihao                     | BLI959 | Licensed Representative (Provisional Licence) | 1, 6                        |
| NUTTON James Michael           | BKD201 | Licensed Representative (Provisional Licence) | 1                           |
| ONG Charlie Yveline Jeanne     | BLG082 | Licensed Representative (Provisional Licence) | 1                           |
| ONG Payton Pei-de              | ARA392 | Licensed Representative (Provisional Licence) | 9                           |
| OR Yu Yeung                    | BLI759 | Licensed Representative (Provisional Licence) | 1                           |
| OUYANG Chang                   | BLC345 | Licensed Representative (Provisional Licence) | 1, 4                        |
| PAI Anna Hsin Ping             | BLA849 | Licensed Representative (Provisional Licence) | 1, 4                        |
| PAN Hailin                     | BHC186 | Licensed Representative (Provisional Licence) | 1, 4                        |
| PAN Yinglong                   | BLH884 | Licensed Representative (Provisional Licence) | 1, 4                        |
| PERFETTINI Alice Mary Mathilde | BLF889 | Licensed Representative (Provisional Licence) | 1, 4                        |
| PERRIN Mark Richard            | BLF186 | Licensed Representative (Provisional Licence) | 4, 5, 9                     |
| POON Wing Suet                 | BLC031 | Licensed Representative (Provisional Licence) | 1, 6                        |
| PUTHENVEEDU SAINUDEEN Anoop    | BLC767 | Licensed Representative (Provisional Licence) | 1                           |
| QI Ruixiao                     | BLE417 | Licensed Representative (Provisional Licence) | 1, 6                        |
| RENARD Jean Noel, Charles      | BLD169 | Licensed Representative (Provisional Licence) | 1, 4                        |
| RIOU Clement Vincent Jean      | BLG084 | Licensed Representative (Provisional Licence) | 1, 4, 6                     |
| RUNGTA NITIN                   | BLB608 | Licensed Representative (Provisional Licence) | 2, 5                        |
| SANTOS MORO Clement Michel     | BLH886 | Licensed Representative (Provisional Licence) | 1, 2                        |
| SEOW Chi Yip                   | BJS157 | Licensed Representative (Provisional Licence) | 1, 4, 6                     |
| SHAH Rajan Hemendra            | BLC790 | Licensed Representative (Provisional Licence) | 1, 4                        |



# **ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017**

| CE Name                       | CE No. | Licence Type                                  | Types of Regulated Activity |
|-------------------------------|--------|-----------------------------------------------|-----------------------------|
| SHEK Ho Kwong Herbert         | BLC365 | Licensed Representative (Provisional Licence) | 6                           |
| SHI Lei                       | BLE460 | Licensed Representative (Provisional Licence) | 6                           |
| SHU Han                       | BKY918 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| SHU Yue                       | BLI072 | Licensed Representative (Provisional Licence) | 1                           |
| SMITH Claire Elizabeth        | BLC074 | Licensed Representative (Provisional Licence) | 1                           |
| SOERENSEN Morten              | BLC449 | Licensed Representative (Provisional Licence) | 1, 7                        |
| SUN Sheung Hei                | BLH246 | Licensed Representative (Provisional Licence) | 1, 2, 9                     |
| SUN Wen                       | BLD500 | Licensed Representative (Provisional Licence) | 1, 4                        |
| SUNTAY Aylin                  | BLI474 | Licensed Representative (Provisional Licence) | 4, 9                        |
| SY Archibald Munoz            | BLD571 | Licensed Representative (Provisional Licence) | 1, 2                        |
| TAI Ka Yan                    | AQU175 | Licensed Representative (Provisional Licence) | 4, 9                        |
| TALWAR Karan                  | BLH268 | Licensed Representative (Provisional Licence) | 1, 4                        |
| TAN Keng Siong David          | BLC295 | Licensed Representative (Provisional Licence) | 1                           |
| TAN Yawei                     | BLD974 | Licensed Representative (Provisional Licence) | 1, 2, 4, 5                  |
| TANG Shan                     | BLH582 | Licensed Representative (Provisional Licence) | 4                           |
| TEOH Chia Wen                 | AMR406 | Licensed Representative (Provisional Licence) | 1, 6                        |
| TING NICHOLAS                 | BLD323 | Licensed Representative (Provisional Licence) | 4                           |
| TOH Kah Yong, Jeremy          | BDW971 | Licensed Representative (Provisional Licence) | 1, 4, 6                     |
| TONG Cheuk Fu Jeffery         | BLD317 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| TONG KIN YIP                  | BLH252 | Licensed Representative (Provisional Licence) | 4, 9                        |
| TONG Kit Ling, Michelle       | ACB541 | Licensed Representative (Provisional Licence) | 1                           |
| TRABAUD Eva                   | BLH215 | Licensed Representative (Provisional Licence) | 1                           |
| TSANG Chi Yuen                | BLH606 | Licensed Representative (Provisional Licence) | 4, 9                        |
| TSANG Hok Man                 | BLE130 | Licensed Representative (Provisional Licence) | 1                           |
| TSANG Hon Chiu                | BBD724 | Licensed Representative (Provisional Licence) | 10                          |
| TSE Ka Yi Nakita              | BKZ927 | Licensed Representative (Provisional Licence) | 1, 4                        |
| TSE Lai Wai                   | AIZ709 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| TSE Man Nok                   | BKU363 | Licensed Representative (Provisional Licence) | 1, 4                        |
| TSUI Chuk                     | BLB678 | Licensed Representative (Provisional Licence) | 1                           |
| UBEROI Sandeep Singh          | BLD532 | Licensed Representative (Provisional Licence) | 1, 4, 6                     |
| UCHIYAMA Hirotaka             | BLJ537 | Licensed Representative (Provisional Licence) | 1                           |
| VUILLEMIN Pierre Michel Cesar | BLF081 | Licensed Representative (Provisional Licence) | 1, 2                        |
| WAI Man Shan, Ada             | ADB779 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| WAN Kwok Chu                  | BLE912 | Licensed Representative (Provisional Licence) | 1, 4                        |
| WAN San Ming, Sandy           | ADI757 | Licensed Representative (Provisional Licence) | 1                           |
| WANG Feng                     | BLI071 | Licensed Representative (Provisional Licence) | 1, 2                        |
| WANG Guanwen                  | BLG324 | Licensed Representative (Provisional Licence) | 4, 9                        |
| WANG Jing                     | BLB402 | Licensed Representative (Provisional Licence) | 1, 4, 6                     |
| WANG Liang                    | BLI722 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| WANG SONG                     | BLE051 | Licensed Representative (Provisional Licence) | 1, 4                        |
| WANG Will Way                 | BLH658 | Licensed Representative (Provisional Licence) | 1, 4                        |
| WANG Ying                     | BFE891 | Licensed Representative (Provisional Licence) | 10                          |



# **ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017**

| CE Name                           | CE No. | Licence Type                                  | Types of Regulated Activity |
|-----------------------------------|--------|-----------------------------------------------|-----------------------------|
| WANG Yongyan                      | BLI752 | Licensed Representative (Provisional Licence) | 1, 6                        |
| WANG Youyu                        | BLC448 | Licensed Representative (Provisional Licence) | 1, 4, 6                     |
| WANG Yuen Sum Ada                 | BLF644 | Licensed Representative (Provisional Licence) | 1, 2                        |
| WEI YIJING                        | BLC321 | Licensed Representative (Provisional Licence) | 4                           |
| WONG Chin Wai Raymond             | BLE917 | Licensed Representative (Provisional Licence) | 1                           |
| WONG Choi Chak                    | AKT433 | Licensed Representative (Provisional Licence) | 1                           |
| WONG Hiu Yan                      | BLC361 | Licensed Representative (Provisional Licence) | 4, 9                        |
| WONG Ka Ho                        | BLF594 | Licensed Representative (Provisional Licence) | 1                           |
| WONG Kai Yuen                     | BLF209 | Licensed Representative (Provisional Licence) | 6                           |
| WONG Kwok Kei                     | BLG362 | Licensed Representative (Provisional Licence) | 1, 4                        |
| WONG Kwok Keung                   | BLA451 | Licensed Representative (Provisional Licence) | 1                           |
| WONG Lai Kan                      | BLG344 | Licensed Representative (Provisional Licence) | 1, 4                        |
| WONG Man Chun                     | APQ127 | Licensed Representative (Provisional Licence) | 1                           |
| WONG Man Yan                      | BLD595 | Licensed Representative (Provisional Licence) | 1, 4                        |
| WONG Ming Li                      | BLB632 | Licensed Representative (Provisional Licence) | 4, 9                        |
| WONG Sui Ching                    | BLI455 | Licensed Representative (Provisional Licence) | 1, 4                        |
| WONG Sz Wun                       | BLH222 | Licensed Representative (Provisional Licence) | 1                           |
| WONG Wing Yin                     | BLB617 | Licensed Representative (Provisional Licence) | 1, 6                        |
| WONG Yiu Ming, Simon              | BJC392 | Licensed Representative (Provisional Licence) | 1, 6                        |
| WOO Kai En Jonathan               | BLI896 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| WOODCOCK Charles Maxwell Howieson | AYD171 | Licensed Representative (Provisional Licence) | 9                           |
| WU Benjamin                       | BEA682 | Licensed Representative (Provisional Licence) | 1, 4                        |
| WU Hua-Chang                      | BLI964 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| WU Jingjing                       | BKU663 | Licensed Representative (Provisional Licence) | 1, 4, 6                     |
| WU Liangying                      | BLI001 | Licensed Representative (Provisional Licence) | 2, 5                        |
| WU Sidao                          | BLI073 | Licensed Representative (Provisional Licence) | 1                           |
| WU Wai Ho                         | BLH213 | Licensed Representative (Provisional Licence) | 1, 2                        |
| WU Yawen                          | BLD319 | Licensed Representative (Provisional Licence) | 1, 6                        |
| WU Yuesi                          | BLD922 | Licensed Representative (Provisional Licence) | 1, 2                        |
| XIE Jian                          | BGU456 | Licensed Representative (Provisional Licence) | 1, 2, 4, 6, 9               |
| XIE Ting                          | BLF221 | Licensed Representative (Provisional Licence) | 2                           |
| XU Qing                           | BLI950 | Licensed Representative (Provisional Licence) | 1, 6                        |
| XU Wan Wan                        | BLC901 | Licensed Representative (Provisional Licence) | 1, 4                        |
| YANG Guang                        | BLG131 | Licensed Representative (Provisional Licence) | 1, 4                        |
| YANG Jeonghoon                    | BLJ187 | Licensed Representative (Provisional Licence) | 4                           |
| YANG Kailun                       | BLI499 | Licensed Representative (Provisional Licence) | 1, 6                        |
| YAU Chun Hei                      | BLF190 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| YEUNG Ka Man                      | BLC368 | Licensed Representative (Provisional Licence) | 1                           |
| YIN PEI                           | BLC078 | Licensed Representative (Provisional Licence) | 1, 4                        |
| YOU Wensi                         | BLD314 | Licensed Representative (Provisional Licence) | 1, 7                        |
| YU Boyang                         | BLE425 | Licensed Representative (Provisional Licence) | 1, 4, 6                     |
| YU Qian                           | BLB398 | Licensed Representative (Provisional Licence) | 4                           |



# **ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017**

| CE Name                  | CE No. | Licence Type                                  | Types of Regulated Activity |
|--------------------------|--------|-----------------------------------------------|-----------------------------|
| YUAN Mengfan             | BLC023 | Licensed Representative (Provisional Licence) | 1, 2, 4, 5                  |
| YUEN Mau Sang            | BLG348 | Licensed Representative (Provisional Licence) | 1                           |
| YUNG Ming Hong           | BLH229 | Licensed Representative (Provisional Licence) | 1                           |
| ZHANG HANG               | BKY342 | Licensed Representative (Provisional Licence) | 10                          |
| ZHANG Kang               | BLA293 | Licensed Representative (Provisional Licence) | 4                           |
| ZHANG Linlin             | BLD576 | Licensed Representative (Provisional Licence) | 1                           |
| ZHANG Ruiming            | BLG388 | Licensed Representative (Provisional Licence) | 6                           |
| ZHANG Shengsu            | AZI961 | Licensed Representative (Provisional Licence) | 4, 9                        |
| ZHANG Tong               | BLG089 | Licensed Representative (Provisional Licence) | 1, 2                        |
| ZHANG Wenwen             | BLI057 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| ZHANG Xiangbing          | BGH429 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| ZHANG Yanni              | BLE444 | Licensed Representative (Provisional Licence) | 1, 4, 9                     |
| ZHANG Yi                 | BLH577 | Licensed Representative (Provisional Licence) | 6                           |
| ZHAO Ji                  | BLH638 | Licensed Representative (Provisional Licence) | 1, 6                        |
| ZHAO Junao               | BLF624 | Licensed Representative (Provisional Licence) | 1, 4, 6                     |
| ZHAO Ruiwen              | BLD341 | Licensed Representative (Provisional Licence) | 1                           |
| ZHENG Emily Jiashin      | BLG385 | Licensed Representative (Provisional Licence) | 6                           |
| ZHENG Kai                | BLI960 | Licensed Representative (Provisional Licence) | 1, 4, 6                     |
| ZHENG TIANYI             | BLE950 | Licensed Representative (Provisional Licence) | 1, 7                        |
| ZHENG Yuanyuan           | BLB635 | Licensed Representative (Provisional Licence) | 1, 2                        |
| ZHONG Ying               | BLB650 | Licensed Representative (Provisional Licence) | 1, 2                        |
| ZHOU Sutong              | BLD127 | Licensed Representative (Provisional Licence) | 9                           |
| ZHOU Yirun               | BLE930 | Licensed Representative (Provisional Licence) | 9                           |
| ZHOU Yuan                | BLI876 | Licensed Representative (Provisional Licence) | 1, 4                        |
| ZHU Jiayi                | BLC455 | Licensed Representative (Provisional Licence) | 1, 2, 3                     |
| ZHU Sihui                | BLG149 | Licensed Representative (Provisional Licence) | 1, 2                        |
| ZHU Yuan                 | BIT556 | Licensed Representative (Provisional Licence) | 9                           |
| ADEWALE Amanda Patricia  | BBO925 | Licensed Representative (Temporary Licence)   | 1                           |
| AGRAWAL Anurag           | BHN025 | Licensed Representative (Temporary Licence)   | 1, 2                        |
| ALSFORD Jessica Ruth     | BIJ159 | Licensed Representative (Temporary Licence)   | 1, 4                        |
| ANG SOK HAN              | BLF878 | Licensed Representative (Temporary Licence)   | 1                           |
| BAINBRIDGE James William | BAV890 | Licensed Representative (Temporary Licence)   | 1, 4                        |
| BECKEL David James       | BLH773 | Licensed Representative (Temporary Licence)   | 4                           |
| BETTONI TRAUBE Ernesto   | AQO506 | Licensed Representative (Temporary Licence)   | 1, 4                        |
| BHARADWAJ Goutham        | BDP709 | Licensed Representative (Temporary Licence)   | 1, 2                        |
| BLUMBERG Jurgen Dieter   | BLF145 | Licensed Representative (Temporary Licence)   | 1, 4                        |
| BODEREAU Philippe        | BLC808 | Licensed Representative (Temporary Licence)   | 1, 4                        |
| BOXALL Steven Charles    | BDL788 | Licensed Representative (Temporary Licence)   | 1                           |
| BRAIN Paul Robert        | BLD597 | Licensed Representative (Temporary Licence)   | 1, 4                        |
| BREWER Jeffrey Michael   | AMF464 | Licensed Representative (Temporary Licence)   | 1                           |
| BROOKS Neal John         | BLF888 | Licensed Representative (Temporary Licence)   | 1                           |
| BRUN Steven              | BFG531 | Licensed Representative (Temporary Licence)   | 1                           |



# **ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017**

| CE Name                                 | CE No. | Licence Type                                | Types of Regulated Activity |
|-----------------------------------------|--------|---------------------------------------------|-----------------------------|
| BUFFLE Marc-Olivier                     | BKM679 | Licensed Representative (Temporary Licence) | 1                           |
| BURBANO Esteban                         | BLD950 | Licensed Representative (Temporary Licence) | 1, 4                        |
| BUTCHER Penelope Jane                   | ANG299 | Licensed Representative (Temporary Licence) | 1, 4                        |
| CAPANNA Derek Emmett                    | ARJ060 | Licensed Representative (Temporary Licence) | 1                           |
| CARELL Erik Anders                      | BLG387 | Licensed Representative (Temporary Licence) | 1, 4                        |
| CASE Gregory James                      | BFX043 | Licensed Representative (Temporary Licence) | 1, 4, 5                     |
| CHAO Steven Wei-Hao                     | BLF675 | Licensed Representative (Temporary Licence) | 1                           |
| CHEEVAVICHAWALKUL Amornrat              | AOX756 | Licensed Representative (Temporary Licence) | 4                           |
| CHEN Dajian                             | BLD303 | Licensed Representative (Temporary Licence) | 1, 2                        |
| CHOI Minha                              | BFC667 | Licensed Representative (Temporary Licence) | 4                           |
| CHOOI Yue Ting                          | BKE549 | Licensed Representative (Temporary Licence) | 10                          |
| CHOQUET Charles Pierre-Yves Stephane    | BLF879 | Licensed Representative (Temporary Licence) | 1                           |
| CHUA Minguang Donald                    | BEF380 | Licensed Representative (Temporary Licence) | 1, 4                        |
| CHUKIAT Nicholas Wynn                   | BGA519 | Licensed Representative (Temporary Licence) | 1, 4                        |
| COLLIN Oliver Robert Christopher        | BLF882 | Licensed Representative (Temporary Licence) | 1, 4                        |
| CROOM Nicholas Andrew                   | BLI475 | Licensed Representative (Temporary Licence) | 1, 2                        |
| DADAWALA Sanjena                        | BFE624 | Licensed Representative (Temporary Licence) | 4                           |
| DARK Adrian John                        | BFA326 | Licensed Representative (Temporary Licence) | 4                           |
| DE RIOLS DE FONCLARE Cedric Marie Emile | BKV229 | Licensed Representative (Temporary Licence) | 1                           |
| DEB Abhinandan                          | BJQ825 | Licensed Representative (Temporary Licence) | 1, 4                        |
| DENOISEUX Vincent Yves Elisabeth Marie  | BLF676 | Licensed Representative (Temporary Licence) | 1, 4                        |
| DEVELAY Laurent Michel Ronald           | BCH511 | Licensed Representative (Temporary Licence) | 1, 4                        |
| DI MAGGIO Scott A                       | BIV434 | Licensed Representative (Temporary Licence) | 4                           |
| DODDS Philip Marcus                     | BGJ122 | Licensed Representative (Temporary Licence) | 1                           |
| DUGGINS Christopher Leonard             | BLG086 | Licensed Representative (Temporary Licence) | 1, 2                        |
| EL BARHDADI Lotfi                       | BLJ230 | Licensed Representative (Temporary Licence) | 10                          |
| EL-HAKIM Faisal Ali                     | BLF129 | Licensed Representative (Temporary Licence) | 1, 4                        |
| FIGUEIREDO FERREIRA Fernando            | BIM042 | Licensed Representative (Temporary Licence) | 1, 4                        |
| FORNARO Celine                          | BAL508 | Licensed Representative (Temporary Licence) | 4                           |
| FOSTER Simon John                       | BLD215 | Licensed Representative (Temporary Licence) | 1, 4                        |
| FRASER Bradley James                    | BHZ827 | Licensed Representative (Temporary Licence) | 2                           |
| FRAUBOES LARENAS Georg Luis             | BLH423 | Licensed Representative (Temporary Licence) | 1, 4                        |
| GARRE Venugopal                         | AML716 | Licensed Representative (Temporary Licence) | 4                           |
| GRIFFITHS Matthew William Wilson        | BLI070 | Licensed Representative (Temporary Licence) | 1                           |
| HAGIWARA Manabu                         | BEI574 | Licensed Representative (Temporary Licence) | 4                           |
| HANDA Saurabh                           | BFA991 | Licensed Representative (Temporary Licence) | 4                           |
| HARADA Jun                              | AOR374 | Licensed Representative (Temporary Licence) | 4                           |
| HARFORD Suni Pedersen                   | BLH426 | Licensed Representative (Temporary Licence) | 1, 4                        |
| HARNED Douglas Stuart                   | AWE188 | Licensed Representative (Temporary Licence) | 4                           |
| HASHIMOTO Takashi                       | BIJ499 | Licensed Representative (Temporary Licence) | 4                           |
| HASSIN PINTO Andre                      | BHX478 | Licensed Representative (Temporary Licence) | 1, 2                        |
| HATCH Jonathan George                   | AZH060 | Licensed Representative (Temporary Licence) | 1                           |



# **ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017**

| CE Name                  | CE No. | Licence Type                                | Types of Regulated Activity |
|--------------------------|--------|---------------------------------------------|-----------------------------|
| HAY Sarah Elizabeth      | BGW857 | Licensed Representative (Temporary Licence) | 1                           |
| HAYES Christopher John   | BEB738 | Licensed Representative (Temporary Licence) | 1, 2                        |
| HESLOP Ian               | BGV262 | Licensed Representative (Temporary Licence) | 1                           |
| HILL Brian Thomas        | BFS625 | Licensed Representative (Temporary Licence) | 1                           |
| HIRAKAWA Mikio           | BBT553 | Licensed Representative (Temporary Licence) | 1, 4                        |
| HOSOI Katsumi            | BID688 | Licensed Representative (Temporary Licence) | 4                           |
| HYVONEN Teemu Sakari     | BLE822 | Licensed Representative (Temporary Licence) | 2, 5                        |
| IKEDA Atsushi            | BEM322 | Licensed Representative (Temporary Licence) | 4                           |
| IMAI Koei                | BDL302 | Licensed Representative (Temporary Licence) | 1, 4                        |
| ISAAC Gareth Dafydd Paul | BLB673 | Licensed Representative (Temporary Licence) | 1, 4                        |
| IVANOVIC Aleksandar      | BLE528 | Licensed Representative (Temporary Licence) | 1, 4                        |
| IWAO Kentaro             | BLC869 | Licensed Representative (Temporary Licence) | 1, 2                        |
| JACKSON Paul James       | BLF141 | Licensed Representative (Temporary Licence) | 1, 4                        |
| JANSEN Michael           | BEI461 | Licensed Representative (Temporary Licence) | 1, 2                        |
| JEZEK MICHAL             | BLG407 | Licensed Representative (Temporary Licence) | 5                           |
| JIN Hong Gook            | BLD547 | Licensed Representative (Temporary Licence) | 4                           |
| JIP Allan                | AGL440 | Licensed Representative (Temporary Licence) | 2, 5                        |
| KAROFKY Robert B         | ASX340 | Licensed Representative (Temporary Licence) | 1                           |
| KHANDROS Vladislav       | BEW991 | Licensed Representative (Temporary Licence) | 1                           |
| KINOSHITA Yoshiyuki      | BBL047 | Licensed Representative (Temporary Licence) | 1, 4                        |
| KLUGHERZ Thomas Charles  | BID168 | Licensed Representative (Temporary Licence) | 1, 4                        |
| KOFOPOULOS Dimitrios     | BFB169 | Licensed Representative (Temporary Licence) | 1                           |
| KOIKE Yukihiro           | BAT249 | Licensed Representative (Temporary Licence) | 4                           |
| KUBOTA Masashi           | BBA891 | Licensed Representative (Temporary Licence) | 1, 4                        |
| KUMAR SHALEEN            | BJQ605 | Licensed Representative (Temporary Licence) | 4                           |
| KURZ Peter Michael       | ACN979 | Licensed Representative (Temporary Licence) | 4                           |
| KWEK Kevin Siew Beng     | AZN097 | Licensed Representative (Temporary Licence) | 4                           |
| LECKIE Roy McGregor      | BLD300 | Licensed Representative (Temporary Licence) | 1, 4                        |
| LEE Charles Changsun     | BEJ598 | Licensed Representative (Temporary Licence) | 1                           |
| LEE Go Eun               | ASP244 | Licensed Representative (Temporary Licence) | 4                           |
| LEE Katryna Anne         | BFA316 | Licensed Representative (Temporary Licence) | 1                           |
| LEE Kyung Ja             | BEX973 | Licensed Representative (Temporary Licence) | 4                           |
| LIN Ming-De              | BEC282 | Licensed Representative (Temporary Licence) | 1, 4                        |
| LIU Lan-Shin             | AVS373 | Licensed Representative (Temporary Licence) | 1                           |
| LLOYD David              | BEF285 | Licensed Representative (Temporary Licence) | 4                           |
| LOPEZ Todd Damon         | BJP602 | Licensed Representative (Temporary Licence) | 1, 2                        |
| MA Beijia                | BID097 | Licensed Representative (Temporary Licence) | 1, 4                        |
| MATSUO Alexandre Akira   | BLD960 | Licensed Representative (Temporary Licence) | 1                           |
| MAYNARD Ian Robert       | BGR018 | Licensed Representative (Temporary Licence) | 1                           |
| MCBRIDE Ryan Michael     | BLD306 | Licensed Representative (Temporary Licence) | 1, 2                        |
| MEIER Andreas Peter      | BLI878 | Licensed Representative (Temporary Licence) | 1                           |
| MELLOR Christopher       | BLF146 | Licensed Representative (Temporary Licence) | 1, 4                        |



# **ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017**

| CE Name                          | CE No. | Licence Type                                | Types of Regulated Activity |
|----------------------------------|--------|---------------------------------------------|-----------------------------|
| MILBERG Vanitha                  | BLJ186 | Licensed Representative (Temporary Licence) | 1, 4                        |
| MILNE Anne Jean                  | BLE943 | Licensed Representative (Temporary Licence) | 1, 4                        |
| MIYAZAKI Takashi                 | BDQ458 | Licensed Representative (Temporary Licence) | 4                           |
| MIZUKOSHI Masayuki               | BDU973 | Licensed Representative (Temporary Licence) | 1, 2                        |
| MOBLEY Amina Erica               | BJG670 | Licensed Representative (Temporary Licence) | 1, 2                        |
| MOOKIM Sanjay Kumar              | AUW976 | Licensed Representative (Temporary Licence) | 1, 4                        |
| MORGAN Glenn David               | AWK540 | Licensed Representative (Temporary Licence) | 1                           |
| MURATA Alfred Taketo             | BLE987 | Licensed Representative (Temporary Licence) | 1, 4                        |
| NA PATTALOONG Natchutha          | BIO006 | Licensed Representative (Temporary Licence) | 4                           |
| NG Ruixian, Daniel               | BDO351 | Licensed Representative (Temporary Licence) | 1, 4                        |
| NG Stephanie                     | BLB234 | Licensed Representative (Temporary Licence) | 4                           |
| NIWA Koichi                      | AUW702 | Licensed Representative (Temporary Licence) | 4                           |
| O'CALLAGHAN James Phoebus        | BLG106 | Licensed Representative (Temporary Licence) | 1                           |
| O'HARA Timothy Patrick           | BLJ146 | Licensed Representative (Temporary Licence) | 1, 4                        |
| PAL Abhishek                     | ASN918 | Licensed Representative (Temporary Licence) | 1, 2                        |
| PHRAWPHRAIKUL Charti             | BGX420 | Licensed Representative (Temporary Licence) | 1, 4                        |
| PITTAWAY Nigel Clive             | BEM323 | Licensed Representative (Temporary Licence) | 4                           |
| POOLE Gregory Houston            | BIW523 | Licensed Representative (Temporary Licence) | 1                           |
| PREUSSER Ralf Alexander          | BGJ102 | Licensed Representative (Temporary Licence) | 1, 4                        |
| REDFERN William James            | BGX417 | Licensed Representative (Temporary Licence) | 1, 4                        |
| REDMAN Simon David               | BLF884 | Licensed Representative (Temporary Licence) | 1, 4                        |
| RUDLAND Michael James            | BJD156 | Licensed Representative (Temporary Licence) | 1, 2                        |
| RUSSELL Henry Alden Verplanck    | BHT391 | Licensed Representative (Temporary Licence) | 1                           |
| RUSTAGI Amit                     | BLD719 | Licensed Representative (Temporary Licence) | 4                           |
| SALES Michael James              | BEZ878 | Licensed Representative (Temporary Licence) | 1                           |
| SAMBOR Jean-Charles Pierre       | BIQ355 | Licensed Representative (Temporary Licence) | 4                           |
| SASAKI Futoshi                   | BEZ608 | Licensed Representative (Temporary Licence) | 1, 4                        |
| SATTAR Aaron Richard             | BLI892 | Licensed Representative (Temporary Licence) | 1, 2                        |
| SCHNEIDER Oliver Marcell         | BKV308 | Licensed Representative (Temporary Licence) | 1, 4                        |
| SHAH Amish Chandrakant           | AUW978 | Licensed Representative (Temporary Licence) | 1, 4                        |
| SIA Ke Yong Jared                | BKI365 | Licensed Representative (Temporary Licence) | 1, 2                        |
| SIMMONDS Stuart Duncan           | BCP839 | Licensed Representative (Temporary Licence) | 1, 4                        |
| STEWART Blair Thomson            | BEF850 | Licensed Representative (Temporary Licence) | 1, 4                        |
| STIMPSON Andrew David            | BGM799 | Licensed Representative (Temporary Licence) | 1, 4                        |
| STONBERG David Stanley           | BLB125 | Licensed Representative (Temporary Licence) | 4                           |
| TANAKA Chikai                    | AWO799 | Licensed Representative (Temporary Licence) | 4                           |
| THOMAS Frederic Francois Mathieu | BJN830 | Licensed Representative (Temporary Licence) | 1                           |
| TSURUO Mitsunobu                 | BHD023 | Licensed Representative (Temporary Licence) | 4                           |
| VADIVELOO Premkumar Li           | BIZ270 | Licensed Representative (Temporary Licence) | 1                           |
| VINE Michael James               | BHW670 | Licensed Representative (Temporary Licence) | 10                          |
| WANG Peng Yu                     | BKO879 | Licensed Representative (Temporary Licence) | 1, 4                        |
| WATANABE Ritsuo                  | BAZ846 | Licensed Representative (Temporary Licence) | 1, 4                        |

**ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017**

| <b>CE Name</b>        | <b>CE No.</b> | <b>Licence Type</b>                         | <b>Types of Regulated Activity</b> |
|-----------------------|---------------|---------------------------------------------|------------------------------------|
| WHITE Tamera Jane     | AVQ210        | Licensed Representative (Temporary Licence) | 1                                  |
| WILKIE Robert Malcolm | BHB487        | Licensed Representative (Temporary Licence) | 1                                  |
| WILLS Darren Edward   | BLH178        | Licensed Representative (Temporary Licence) | 1, 4                               |
| WONG Joshua Zhihao    | BLD957        | Licensed Representative (Temporary Licence) | 1                                  |
| WRAITH John William   | BLD291        | Licensed Representative (Temporary Licence) | 4                                  |
| WRENN James Joseph    | BJT987        | Licensed Representative (Temporary Licence) | 1                                  |
| XIE Jiaoyue           | BHU354        | Licensed Representative (Temporary Licence) | 1, 4                               |
| YADAV Prashant        | BKC039        | Licensed Representative (Temporary Licence) | 1                                  |
| YOSHIDA Jumpei        | BLA977        | Licensed Representative (Temporary Licence) | 4                                  |
| ZECHMANN Gunther      | BLA829        | Licensed Representative (Temporary Licence) | 4                                  |
| ZHA Wenyi             | BJP471        | Licensed Representative (Temporary Licence) | 1                                  |
| ZHONG Hui             | BIR274        | Licensed Representative (Temporary Licence) | 4                                  |