



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2013

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
ABCI Asset Management Limited	BAA046	Licensed Corporation	4	
ALPS Advisory (HK) Limited	ABP316	Licensed Corporation	1	
China Securities (International) Corporate Finance Company Limited	BAU112	Licensed Corporation	1	
Credit Suisse (Hong Kong) Limited	AAO017	Licensed Corporation		7
Lippo Asset Management (HK) Limited	ACD757	Licensed Corporation		4, 5
Magusta Securities Limited	AAE133	Licensed Corporation		9
Merrill Lynch (Asia Pacific) Limited	AAC198	Licensed Corporation		7
Polaris Securities (Hong Kong) Limited	ABZ023	Licensed Corporation		4, 5, 6
Pyramis Global Advisors (Hong Kong) Limited	ARG198	Licensed Corporation		1, 5
Sucden Financial (HK) Limited	ASE480	Licensed Corporation	3	
VTB Capital Hong Kong Limited	AXF967	Licensed Corporation	6	
Ward Ferry Management Limited	AGI998	Licensed Corporation		5
ALLAN Geoffrey Dallinger	AVX704	Licensed Representative		7
AMBRIN	BBE047	Licensed Representative		7
AU Cheuk Hei	AVP020	Licensed Representative	9	
AU Kin Yu	BBF288	Licensed Representative	1, 2	3
AUGIAS Cedric Alain Nicolas Marie	AFS898	Licensed Representative		7
BADKOUBEI Shahrum	AUA446	Licensed Representative	9	5
BAKER Matthew Thomas	BBB057	Licensed Representative		7
BENHMADE El Mehdi	ATH874	Licensed Representative		7
BOON Yan Taw	AXQ380	Licensed Representative	1	
BOUCKLEY David John	APS897	Licensed Representative	9	
BRODHEAD III Charles Dingman	AUW882	Licensed Representative		7
BRODIE-BROWN Michael Denton	AWW272	Licensed Representative	1	
BUDHRANI Sanjay	AYJ571	Licensed Representative		7
BURCIER Clement Jacques	AVA515	Licensed Representative		7
CAI Yunyun	AZY702	Licensed Representative	1, 4	6
CAO Jinbo	AMK110	Licensed Representative		1, 2
CHAMICH Youssef	AYV280	Licensed Representative		7
CHAN Cheuk Ki, Christy	AWX086	Licensed Representative	6	
CHAN Chin Tao, Thomas	AQQ120	Licensed Representative	1	4
CHAN Chui Yin, Freda	ABT526	Licensed Representative	4	
CHAN Hoi Sang	ANN470	Licensed Representative		5
CHAN Hon Kei, Brian	AKI936	Licensed Representative		7
CHAN Ka Wai	APP683	Licensed Representative	4, 9	
CHAN Kin Wai, John	AGD731	Licensed Representative		4
CHAN Kok Chung, Johnny	ADH521	Licensed Representative		1
CHAN Man Wing	AXJ787	Licensed Representative	2	
CHAN Mei Kwan	AOZ032	Licensed Representative		7
CHAN Pui Yan Christine	AXX601	Licensed Representative		6
CHAN See Wing	BAS381	Licensed Representative	5	
CHAN Siu Tung	BAU423	Licensed Representative	3	
CHAN Wing Yam Eugenia	BAH319	Licensed Representative	4	
CHAN Yee Tak	AVT458	Licensed Representative		7
CHANG Pui Shan, Melissa	ARN180	Licensed Representative	4	6
CHANG Yuan	AST179	Licensed Representative	9	1
CHAU Chun Sing	BBZ774	Licensed Representative	9	
CHEAH Sim Ee	ANM987	Licensed Representative		7
CHEN Bing Lam, Arthur	AMK226	Licensed Representative	1	9
CHEN Kai Yun	AMJ189	Licensed Representative	6	
CHEN Szu-Tsung	AVC818	Licensed Representative	9	
CHEN Wei	AHC346	Licensed Representative	6	
CHEN Xuehua	AMZ173	Licensed Representative		1, 4
CHEN Yuan	APH427	Licensed Representative		7
CHEUNG Cham Lun	AZF644	Licensed Representative	2	
CHEUNG Ho Fat	AZS127	Licensed Representative	6	
CHEUNG King Ching	AZO108	Licensed Representative	2	
CHEUNG King Fai	AUH631	Licensed Representative		2
CHEUNG Lai Yee	ATY571	Licensed Representative	2	
CHEUNG Ngai Tat	BBH785	Licensed Representative		4
CHEUNG Wai Kit, Andrew	AFR469	Licensed Representative	9	
CHEUNG Yee Ching	AYP118	Licensed Representative	3	5
CHIN Johnny	AXC531	Licensed Representative		7
CHING Wai Han, Claudia	APU477	Licensed Representative	1, 9	
CHIU Wei Long, Antony	AXC275	Licensed Representative	7	
CHO Chi Kit Dibs	BBA474	Licensed Representative	4, 6	
CHOI Chong Yip, Edwin	AFH722	Licensed Representative		7
CHONG Hau Yip	AOT758	Licensed Representative	2	



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2013

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
CHU Chui Man	AON422	Licensed Representative	4	9
CHU Chun Hin, Steven	AMS312	Licensed Representative	5	
CHUA Kaixin Tracy	AYY023	Licensed Representative		7
CHUNG Wai Fai	AME645	Licensed Representative		4
COLEY Catherine Gray	AYC383	Licensed Representative	2	
DENG Yu	AZJ280	Licensed Representative		1
DING Nanfei	ALD667	Licensed Representative		7
DONG Haitao	AZZ298	Licensed Representative	9	
DORSETT William Robertson	BAD879	Licensed Representative		7
DOU Ruirui	AUH943	Licensed Representative	2	
FAN Xiaowei	ANM927	Licensed Representative	9	
FONG Wai Chu	BBS898	Licensed Representative		7
FU Xin	ALZ731	Licensed Representative		7
FUNG Yui Hang, Eugene	AJL412	Licensed Representative		7
GAO Lu	ATB718	Licensed Representative		1, 4
GAO Mei	AFS775	Licensed Representative		1
GUPTA Shivam	APC574	Licensed Representative		7
HAN Liqiao	AXA298	Licensed Representative		7
HARRELL Jonte Kenyon	AXV383	Licensed Representative		7
HARRIS Matthew Scott	BAA849	Licensed Representative		7
HENTZ Jean-Samuel, Etienne	AUN320	Licensed Representative		7
HEUNG May Yin	AOT605	Licensed Representative	4	
HO Kai Chung	AJD791	Licensed Representative		7
HONG Shaw-Shiun	ALC783	Licensed Representative		7
HORNMARK Erik Taro	AUZ795	Licensed Representative		7
HU Christine	AVM218	Licensed Representative	1	
HUA Xin	BBJ078	Licensed Representative	1	
HUI Hoi Wan	ALV421	Licensed Representative		5
HUNG Hei King, Kenneth	AEY448	Licensed Representative		7
HUNT Ross Anthony	ATD971	Licensed Representative	2, 5	
HURLEY Jay Clive	AXG446	Licensed Representative		7
IBARRA Mia Francesca Bautista	BAQ974	Licensed Representative	2	
IP Chun Ho	ACJ705	Licensed Representative		2, 5
JAFREE Raza Ali	ARI951	Licensed Representative		7
JEONG Woon Young	ATM929	Licensed Representative		7
JIN Yingzi	AML454	Licensed Representative		7
JOSHI Chandan	AZV596	Licensed Representative		7
KAO Yun	AVI254	Licensed Representative	6	
KARP Adam Seth	AVH963	Licensed Representative		7
KEE Chen Hou	AUW834	Licensed Representative		7
KENDALL Jason Lee	AZF359	Licensed Representative		7
KHELA Bubledeep Singh	BBQ617	Licensed Representative		7
KHILNANI Mrinal	ATO158	Licensed Representative		7
KIELY Lucas Alexander	BAD884	Licensed Representative		7
KIM Hyung Joon	AQU597	Licensed Representative		7
KIM Yyong Andrew	ASF531	Licensed Representative	9	
KOH Alan James	AKX539	Licensed Representative		7
KOH Hooi Hoe	ANJ416	Licensed Representative		7
KONG Ming Fai	ADZ902	Licensed Representative		9
KOO Dawson	AQV537	Licensed Representative		7
KOT Richard	AUB975	Licensed Representative		7
KUO Chen-feng	ATH912	Licensed Representative	2	
KWOK Vincent Tsun Ho	AOT948	Licensed Representative		7
KWONG Yuk Ho, Henry	ABQ819	Licensed Representative		9
LA ROCCA JR Daniel Anthony	AQG793	Licensed Representative	9	1
LAI Kai Tsun, Johnson	ARG205	Licensed Representative		7
LAI Tak Wah	ADP309	Licensed Representative		3
LAM Chit Fai, Ashley	AMB071	Licensed Representative		7
LAM Lok Yan, Pauline	BBN652	Licensed Representative	9	
LAM Long Hin, Hiram	AUX369	Licensed Representative		4
LAM Man Wai	AZF840	Licensed Representative	1	
LAM Tsz Chun	BBQ049	Licensed Representative	1, 2	4
LAU Joseph Han Wai	AGH168	Licensed Representative		7
LAU Kwok Yiu Louis	APZ172	Licensed Representative	9	
LAU Tak Wa	AUP819	Licensed Representative	4	
LAU Wai Bun	AWH043	Licensed Representative	9	4
LAU Wing Lam	AXY063	Licensed Representative	1	
LAW Alison Chui Yin	ACR360	Licensed Representative		5, 9



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2013

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
LAW Oliver Tin-Loong	APB677	Licensed Representative		7
LECKIE Joseph Duncan William	BAE705	Licensed Representative		7
LEE Brian Po Wing	AML715	Licensed Representative		7
LEE Chi Hwa, Joshua	AGL509	Licensed Representative		1
LEE Chul Kon	AXL027	Licensed Representative		5
LEE Chun Leung	ABM913	Licensed Representative	1	2
LEE Hin Pong	BBO604	Licensed Representative	9	
LEE Kun Ho	AWQ423	Licensed Representative		7
LEE Leenor A.	AHP523	Licensed Representative		7
LEE Shun Hing, Jimmy	AGG286	Licensed Representative	1	
LEE Soon Hwa	APB791	Licensed Representative	9	
LEE Steven Tugwon	ATO159	Licensed Representative		7
LEE Tsi Bun, Benjamin	AQM594	Licensed Representative		2
LEE Wai Kin	APD151	Licensed Representative	2	
LEE Yik Long	ARG942	Licensed Representative		7
LEONG Kai Soi	ATI419	Licensed Representative	3	
LETEISSIER Arnaud Pierre Marie	APO665	Licensed Representative		7
LEUNG Fung Man	ASP987	Licensed Representative		2
LEUNG Karen Ka Ying	AUX242	Licensed Representative	1, 9	
LEUNG Kenneth Kwun Chung	ARN820	Licensed Representative	4	
LEUNG Kwan Wai	BAN006	Licensed Representative	1	
LEUNG Man Ching	APH664	Licensed Representative		1
LEUNG Sam Mun	AMJ976	Licensed Representative	9	
LEUNG Wai Man	ALE827	Licensed Representative		9
LEWIS Jared	AYD197	Licensed Representative		7
LI Alexander William	AWZ383	Licensed Representative		7
LI Cheng	BBB742	Licensed Representative		1
LI Jia	AQE526	Licensed Representative	1	
LI Marco Man Fung	AYW855	Licensed Representative		4
LI Qin	AXZ548	Licensed Representative		1
LI Tong	BBP746	Licensed Representative	2	
LI Xiaolong	BBJ074	Licensed Representative	3	
LI Xichen	AXX238	Licensed Representative	4	
LIANG Cheng Chung	AVS465	Licensed Representative		4, 5
LIM Kim Huat	ARU536	Licensed Representative	6	
LIM Nicolas Sambath	AWY276	Licensed Representative		7
LIM Siu Liang, Shaune	AUB441	Licensed Representative		7
LIM Tay Her	ANK937	Licensed Representative	9	
LIN Ju	AQG973	Licensed Representative	6	
LIN Kuo-Hao	AXC643	Licensed Representative		7
LIN Mei-shu	BAD773	Licensed Representative	4	
LIN Xin	AMJ471	Licensed Representative	6	
LING Man Ping	AZB304	Licensed Representative		1
LIU Alex Sk	AQX051	Licensed Representative		7
LIU Jiang Brandon	AOY180	Licensed Representative		7
LIU Jie	AQU060	Licensed Representative		7
LIU Kit Ying, Christine	AQJ342	Licensed Representative		7
LIU Qiuyi	AXS672	Licensed Representative	1	
LIU Yuen Ling	AHC104	Licensed Representative	9	
LO Chi Hang	AFV477	Licensed Representative		5
LO Wai Kwok Belinda	AUC170	Licensed Representative		7
LO Wai Lun	AVM934	Licensed Representative	3	
LONGMAN Alexander Roger	AMI328	Licensed Representative		7
LU Steven Shiming	AQJ443	Licensed Representative	6, 9	2
LU Xiaojun	BBJ081	Licensed Representative	1	
LU Yu	BBE946	Licensed Representative	4	
LUI Yu Mo, Moses	AGL154	Licensed Representative	9	
LUK Ka Wai	APL793	Licensed Representative	3	
LUO Xuan	AQS758	Licensed Representative		7
MA Kai	ANU813	Licensed Representative	4	
MA Kei Lok	ALQ112	Licensed Representative	4	
MA Kwan Mo, Kelvin	AQE988	Licensed Representative		7
MACDONALD Bruce Andrew	AZQ952	Licensed Representative	9	5
MACKAY Neil Alexander	ACE850	Licensed Representative		1, 5
MAEDA Jun	ARI687	Licensed Representative		7
MAK Wing Yin	AVJ291	Licensed Representative	2	
MANG Yun Sun, George	AFU534	Licensed Representative		9
MAO Wei	ATD879	Licensed Representative		7



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2013

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
MCLENNAN Jennifer Carver	AAE384	Licensed Representative		4
MELLOR Andrew John	ALQ213	Licensed Representative		7
NAKAMURA Tomoyuki	ARG535	Licensed Representative	1	
NANJO Takafumi	BAF490	Licensed Representative		7
NAQVI Syed Ali Raza	AIZ646	Licensed Representative		7
NG Ching Yee	AOH043	Licensed Representative		7
NG Chun Wai	AMF277	Licensed Representative		7
NG Ho Yuen, Howard	AEZ250	Licensed Representative	1, 2	
NG William Travis	ASX231	Licensed Representative		7
NG Wing Fai	AJD666	Licensed Representative	4	
NIRMALANANDA Logan Siva	AJO315	Licensed Representative		7
O'NEILL Matthew William	ASL088	Licensed Representative	7	
OSAWA Miyuki	AML475	Licensed Representative		1
PANG Wing Hey	AWZ636	Licensed Representative		1, 5
PARK Junyoep	AZJ786	Licensed Representative		7
PATOIS Jean-Baptiste, Francois, Damien, Henri	ASD028	Licensed Representative		7
PENG Shuo	AQX906	Licensed Representative		7
PIDGEON Andrew Geoffrey	APZ788	Licensed Representative		7
PILGER Jason Edward	ANG570	Licensed Representative		7
PINSET Victor Balhazar	ARQ494	Licensed Representative		7
PITTS James Emilian Thomas	ARJ704	Licensed Representative		7
QI Chao	AYS388	Licensed Representative		4
QUARMBY Thomas Edward	AJL234	Licensed Representative		5
RONG Yi	AVP702	Licensed Representative		4
RU Tao	AZP245	Licensed Representative	1	
SANDERS Douglas Johman	AXE834	Licensed Representative		7
SENARATNE Dee Cyril	ARG664	Licensed Representative		4
SHAHA Sourabh Sharashchandra	ANX921	Licensed Representative	7	
SHARDLOW Alexandra Alan Nathan	BBK826	Licensed Representative		7
SHARMA Somesh	AWW937	Licensed Representative		7
SHEK Wan Sang Andy	BAG221	Licensed Representative		7
SHENK Scott Martin	AXF918	Licensed Representative		7
SHIBA Tsuyoshi	ANE160	Licensed Representative		4
SIM Emily Shao Hua	AUM601	Licensed Representative		7
SINGLETON Paul Hugh	AUW528	Licensed Representative		7
SPIESSHOFER Noriko	APA564	Licensed Representative	1, 4	9
SUEN Benny Hung Kit	AIB797	Licensed Representative		7
SUN Lidong	AJE753	Licensed Representative		7
SYKES Steve Derrick David	APA406	Licensed Representative		7
TAM Ka Ho	BCC092	Licensed Representative	2, 9	
TAN King Aun	ARA421	Licensed Representative		6
TANG Jingchen	AZX116	Licensed Representative	2	
TANG Jingwei	ASQ546	Licensed Representative	1	
TANTI Alexander John	AWZ976	Licensed Representative		7
TRINH Nicholas Hung	ACL231	Licensed Representative		7
TSANG Chun Hei	AYV630	Licensed Representative		1, 3
TSANG Chung Ming	AWM149	Licensed Representative		4
TSANG Wing Ngai	ARM922	Licensed Representative		4
TSE Kam Nam	AEB368	Licensed Representative		5
TSE Shing Tung	AZY654	Licensed Representative		7
TSENG Chieh-yun	AXK691	Licensed Representative	4	2
TSO Ka Sing	AUR286	Licensed Representative		2
TSUI Yi Man	BBS606	Licensed Representative	9	
VALDEPENAS Vincent Noel Pamulaklakin	BBL385	Licensed Representative		7
WAH Pui Shan	AMT668	Licensed Representative	1, 4	
WAI Chi Ho, Bob	APP003	Licensed Representative		7
WAN Chi Fai	AXV581	Licensed Representative		5, 9
WANG Dongchen	AWX611	Licensed Representative		7
WANG Fang	AXA021	Licensed Representative		7
WANG Qing	ATH764	Licensed Representative		7
WANG Sheau Huei	AZM916	Licensed Representative		7
WANG Wan	ARG933	Licensed Representative	1, 4	
WANG Wei	AHN513	Licensed Representative		7
WANG Xue	ARM171	Licensed Representative		7
WANG Yuxuan	AVS196	Licensed Representative	9	1, 2
WANG Zhizheng	BBE278	Licensed Representative	1	
WARNER William	AZM647	Licensed Representative		7
WEISBERG Oliver Paul	AES828	Licensed Representative		9



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2013

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
WENG Ming Sung	BBK140	Licensed Representative	1, 4	
WITZENFELD Michael Craig	AXG373	Licensed Representative		7
WONG Chiu	AXC517	Licensed Representative		5
WONG Cho Sze	ASX060	Licensed Representative		4
WONG Chun Kit	AVJ133	Licensed Representative		1, 4
WONG Janet Hoi Ching	AQU590	Licensed Representative	4	
WONG Jennifer Yuen Kai	AOU644	Licensed Representative		7
WONG Lo Suen	AQE310	Licensed Representative	1	
WONG Ping Hang	BBQ017	Licensed Representative	3	
WONG San Ngai	BAD848	Licensed Representative	3	
WONG Siu Kin Vincent	AZG895	Licensed Representative		7
WONG Tak Yee, Theresa	AAI332	Licensed Representative		7
WONG Tze Yim	AFJ549	Licensed Representative	4	
WONG Wai Ho	ASO860	Licensed Representative	2	
WONG Wai Kwan	AWA381	Licensed Representative	1	2, 5
WONG Wai Ping	BBL977	Licensed Representative	4	
WONG Wing Keung	ATL879	Licensed Representative		2, 4, 5
WONG Yun Tan	AXD720	Licensed Representative	4	
WOO Peter Pui-Ngai	ACY383	Licensed Representative		1
WOO Ying, Elaine	AFT765	Licensed Representative		7
WRIGHT Richard James	ANK077	Licensed Representative		7
WU Chunlei	AUE411	Licensed Representative		7
WU Edward Wen Guang	AHC681	Licensed Representative	9	
WU Jennifer York Kei	AHX685	Licensed Representative	4, 9	
WU Meng Chan	AVG756	Licensed Representative		7
WU Weiping	BBU796	Licensed Representative	2	
WU Xuan	AOW803	Licensed Representative	9	
XIN Fusong	BBU531	Licensed Representative	6	
XING Ke	AVT476	Licensed Representative	1	
XING Luyao	AZQ645	Licensed Representative	2	
XU Da	AZK405	Licensed Representative	4	
XU Feifei	AYU593	Licensed Representative	1	
XU Feina	AQG753	Licensed Representative	1	
XU Tianjie	AYO003	Licensed Representative	4	
YAN Kei Shui, Leo	AOG060	Licensed Representative	1	
YAN Po Kwan	ADP430	Licensed Representative		1
YANG Bo	AWW707	Licensed Representative	1	
YEA Hong Gyu	BBS602	Licensed Representative		7
YEUNG Pui Yi, Annie	AMJ191	Licensed Representative		7
YIU Wing Shan	AQU332	Licensed Representative		2
YONG Yi Shan	AOB251	Licensed Representative		7
YU Chiung-yin	ARQ097	Licensed Representative		7
YU Ho Man	ARQ934	Licensed Representative	4	
YU Kelly O	BBL262	Licensed Representative	9	
YU Sau Ying	BBP173	Licensed Representative		7
YUNG Ying Ying, Angela	ADP307	Licensed Representative		3
ZHANG Harvey Yang	AUA521	Licensed Representative		7
ZHANG Lily Xun	AIR660	Licensed Representative		7
ZHANG Min	BBU523	Licensed Representative	6	
ZHANG Tingfei	AUA545	Licensed Representative	9	
ZHANG Yuchang	BBF379	Licensed Representative	6	4, 9
ZHOU Bo	AUA987	Licensed Representative	1	
ZHOU Francis Bingrong	AVJ543	Licensed Representative	1	
ZHOU Yifeng	AVD686	Licensed Representative	4	
ZHOU Zhuo Hui	ATL987	Licensed Representative	1, 4	2
ZHU Guohui	ALK824	Licensed Representative		7
BHATT Jay Hemant	ADR152	Licensed Representative - Responsible Officer	4	
CAO Jinbo	AMK110	Licensed Representative - Responsible Officer	9	
CHAN Pik Ki, Peggy	AAE231	Licensed Representative - Responsible Officer		9
CHAN Wai Man, Jacky	ADI558	Licensed Representative - Responsible Officer	1	
CHARK Chi Wing, Alexis	AFU893	Licensed Representative - Responsible Officer	4	
CHIN Young Duchung	ARG200	Licensed Representative - Responsible Officer		1, 5
CHOW George	ACL137	Licensed Representative - Responsible Officer		7
CHUNILAL Damian Ratilal	AJH327	Licensed Representative - Responsible Officer	6	
COHEN Richard Max	AFE087	Licensed Representative - Responsible Officer		7
DOMMERMUTH Michael Floyd	AMI345	Licensed Representative - Responsible Officer	1	
FOURDAN Jean-Francois Louis	ABW218	Licensed Representative - Responsible Officer		7
FUNG Jason	AEO420	Licensed Representative - Responsible Officer	6	



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2013

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
HSIEH Wei-Hong	AVC357	Licensed Representative - Responsible Officer	5	
HUI Chi Tat, Terence	ALV077	Licensed Representative - Responsible Officer	4	
IP Sau Mai, Amy	ALA835	Licensed Representative - Responsible Officer	1	
KHOO Pui Wun	AGO218	Licensed Representative - Responsible Officer	4	
KWOK Shiu Man	AXK358	Licensed Representative - Responsible Officer	4	
LAI Ting Ngai, Annie	AKP262	Licensed Representative - Responsible Officer		5
LAM Mabel	AHP359	Licensed Representative - Responsible Officer	1	
LEE Shu Yan, Andrew	AFP239	Licensed Representative - Responsible Officer	4	
LO Chun Keung, Bassanio	ADA457	Licensed Representative - Responsible Officer	5	
LOISEAU Stephane Robert Armand	BAB325	Licensed Representative - Responsible Officer	7	
MALOY Arthur Chong Wah	ARJ093	Licensed Representative - Responsible Officer	4, 6	
MOK Ka Yin, Raymond	ALT768	Licensed Representative - Responsible Officer	3	
NG Ka Shun	AIX164	Licensed Representative - Responsible Officer	4, 9	
OVERLANDER Michael	AQE853	Licensed Representative - Responsible Officer	3	
PANG Kwok Kit, Kenneth	AEO731	Licensed Representative - Responsible Officer		7
PECOT III Charles Matthew	AHA548	Licensed Representative - Responsible Officer	5	7
SCHOLLUM Myo Wai	AMP186	Licensed Representative - Responsible Officer		7
SEETO Dereke Charles Wing On	AYO959	Licensed Representative - Responsible Officer	5	7
SEONG Yuyeol	BBD271	Licensed Representative - Responsible Officer		6
SONG Yongyi	BAQ400	Licensed Representative - Responsible Officer	1	
SULGER LEUNG Michelle Anne Quan Yue	ADW966	Licensed Representative - Responsible Officer	9	
WAN Chiu Lan	AAC886	Licensed Representative - Responsible Officer	4	
WANG Audrey	ABW094	Licensed Representative - Responsible Officer	1	
WANG Chuang	AYM559	Licensed Representative - Responsible Officer	9	
WARD Scobie Dickinson	AAK714	Licensed Representative - Responsible Officer		5
WONG Cheung Ki, Parish	ABY243	Licensed Representative - Responsible Officer	9	
WU Xuan	AOW803	Licensed Representative - Responsible Officer	4	
XIE Hong	AXX708	Licensed Representative - Responsible Officer	4	
YOON Brian Steven	AMH573	Licensed Representative - Responsible Officer		7
YU Tat Chi, Michael	AFM499	Licensed Representative - Responsible Officer	6	
ZHANG Jun	AYQ322	Licensed Representative - Responsible Officer	4, 9	
CHAN Choi Keung	BCB620	Licensed Representative (Provisional Licence)	2	
Bank of New York Mellon, The	AIG365	Registered Institution	9	
HSBC Private Bank (Suisse) SA	AGN346	Registered Institution		5, 6, 9