



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2016

| CE Name | CE No. | License Type | Types of Regulated Activity Added | Types of Regulated Activity Removed |
|------------------------------------------------------|--------|-------------------------|-----------------------------------|-------------------------------------|
| AXA China Region Investment Services Limited | AAI067 | Licensed Corporation | | 9 |
| BTL Asset Management Company Limited | BFJ113 | Licensed Corporation | 2, 5 | |
| C.M. Capital Advisors (HK) Limited | BHF153 | Licensed Corporation | 4 | |
| China Maike Futures International Limited | AYB226 | Licensed Corporation | 5 | |
| Enhanced Investment Management Limited | BBM607 | Licensed Corporation | 4 | |
| Hannam And Partners (Far East) Limited | ATM567 | Licensed Corporation | | 4, 6 |
| Heitman International HK Limited | BCI175 | Licensed Corporation | 1, 4 | |
| JT Capital Management Limited | AVS144 | Licensed Corporation | 4 | |
| KCG Securities Asia Limited | AGG778 | Licensed Corporation | | 2 |
| Point72 Asia (Hong Kong) Limited | AOB349 | Licensed Corporation | 1, 2 | |
| ROC Partners (HK) Limited | BDM809 | Licensed Corporation | 1, 9 | |
| SSG Capital Management (Hong Kong) Limited | ASS687 | Licensed Corporation | 1 | |
| Starex Global Asset Management Limited | BHA064 | Licensed Corporation | 1 | |
| Sumitomo Mitsui Asset Management (Hong Kong) Limited | AAK014 | Licensed Corporation | 1 | |
| Wealth Link Securities Limited | BGV434 | Licensed Corporation | 4 | |
| Yicko Securities Limited | ABN145 | Licensed Corporation | 4 | |
| ZMF Asset Management Limited | AWF641 | Licensed Corporation | 1, 4 | |
| AN An | BHK900 | Licensed Representative | | 1, 9 |
| ANANTHARAM Vishweshwar | ATM017 | Licensed Representative | | 1, 2 |
| AO Yiyu | BEX794 | Licensed Representative | 9 | |
| AU Antares | AOV394 | Licensed Representative | 1 | |
| BAI Yang | BDQ057 | Licensed Representative | 4, 9 | |
| BAXTER Thomas Wilbur | AYY701 | Licensed Representative | 4 | |
| BONHOMME Mathieu Pierre | BDL836 | Licensed Representative | 7 | |
| CALLAGHAN Paul Andrew Stewart | AED970 | Licensed Representative | 4, 5 | 1 |
| CHAN Che Hong, Bruce | AKQ590 | Licensed Representative | | 2 |
| CHAN Chi Chiu | BBK150 | Licensed Representative | 4 | |
| CHAN Chung Yin, Vincent | BCK671 | Licensed Representative | 4 | |
| CHAN Ho Man | BBZ090 | Licensed Representative | 9 | 1 |
| CHAN Kin Ho | ALQ830 | Licensed Representative | 1, 2 | |
| CHAN King Fai | AZG236 | Licensed Representative | 2 | |
| CHAN Man, Anna | AKY988 | Licensed Representative | 2 | |
| CHAN Ping Ling | AIJ333 | Licensed Representative | | 2, 4 |
| CHAN Suet Yee, Shirley | AGI487 | Licensed Representative | | 1 |
| CHAN Tsz Kwan | BBT522 | Licensed Representative | | 2, 5 |
| CHAN Wan Yin | BAX638 | Licensed Representative | 1, 6 | 4 |
| CHAU Mei Wah Carol | AFM849 | Licensed Representative | 4, 9 | |
| CHAU Wing Ka | AMT949 | Licensed Representative | | 4 |
| CHEN Chi Hung | AOX772 | Licensed Representative | 4, 9 | 1, 2 |
| CHEN Haiyun | AXH543 | Licensed Representative | 1 | |
| CHEN Hsiao-ying | ALS410 | Licensed Representative | 9 | |
| CHEN Jiayi | BFX533 | Licensed Representative | 4 | |
| CHEN Kai | AIC597 | Licensed Representative | | 1, 2 |
| CHEN Michael I-chun | ALQ824 | Licensed Representative | 1 | |
| CHEN Yali | AWY297 | Licensed Representative | 4 | |
| CHENG Chuk Chung, Tony | AOG228 | Licensed Representative | | 2 |
| CHENG Ho Ming | BCQ328 | Licensed Representative | 1 | 2 |
| CHENG Man Kwong | AXL920 | Licensed Representative | | 2, 4 |
| CHENG Pui Yu, Lily | ANW260 | Licensed Representative | 1 | |
| CHENG Qiang | AJF991 | Licensed Representative | 2, 5 | |
| CHENG Wu-long | BCS981 | Licensed Representative | | 1 |
| CHEUNG Chi Cheuk, Cedric | ANA761 | Licensed Representative | 2, 5 | |
| CHEUNG Keung Tak | ANU725 | Licensed Representative | | 1, 2 |
| CHEUNG Kim Kong | ACK241 | Licensed Representative | 1 | |
| CHEUNG Shing Kit | BDF108 | Licensed Representative | | 4 |
| CHEUNG Wai Chiu, Paul | BGG685 | Licensed Representative | 9 | |
| CHEUNG Wai Kwok, Gary | AAC469 | Licensed Representative | 4, 5, 9 | |
| CHIN Yin Chong | BDX129 | Licensed Representative | 2 | |



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| CE Name | CE No. | License Type | Types of Regulated Activity Added | Types of Regulated Activity Removed |
|-------------------------|--------|-------------------------|-----------------------------------|-------------------------------------|
| CHIU Wing Nga, Rita | AUR827 | Licensed Representative | | 1 |
| CHO Chun Yin | BGA971 | Licensed Representative | 4 | |
| CHO Lok Sze, Rozina | AEH807 | Licensed Representative | 4, 9 | |
| CHOI Yun Jung | BDY634 | Licensed Representative | 1, 4 | |
| CHONG Wah Yeung | AJH301 | Licensed Representative | | 2 |
| CHOW Chi Wing, Simon | ALH859 | Licensed Representative | | 2 |
| CHOW Lai Yan | BHU751 | Licensed Representative | 2 | |
| CHOW Wing Yan, Joseph | AQZ664 | Licensed Representative | | 1 |
| CHOY Ching Fai | BBL230 | Licensed Representative | 9 | 1 |
| CHU Chun Hin, Steven | AMS312 | Licensed Representative | | 6 |
| CHU Yat Ming | ARB850 | Licensed Representative | 9 | |
| DA Yang | BBZ357 | Licensed Representative | | 1, 2, 4 |
| DAMEK Tobias Ernst Chun | AOE807 | Licensed Representative | 1 | |
| DAVIES Anthony Miles | AAV788 | Licensed Representative | | 2 |
| DENNIS Michael Richard | BBG661 | Licensed Representative | | 9 |
| DHARMA Ronny Budi | ARQ974 | Licensed Representative | 4, 5 | |
| DONG Gang | AYN373 | Licensed Representative | | 1 |
| DONG Xiaohui | AZX292 | Licensed Representative | | 6 |
| FAN Kwan Ho | AQL336 | Licensed Representative | 9 | |
| FANG Cheng | AKP392 | Licensed Representative | | 1 |
| FENG Sibo | AYO564 | Licensed Representative | | 4 |
| FONG Wai Lok, Raymond | AFT306 | Licensed Representative | | 2, 4, 9 |
| FUNG Ka Wan | BBK338 | Licensed Representative | 2 | |
| FUNG Yuen Ying | BFS536 | Licensed Representative | 4 | 6 |
| GAN Ching Wai | AOG220 | Licensed Representative | 1, 9 | |
| GAO Fei | BHU674 | Licensed Representative | 2 | |
| GAO Wen | BHR562 | Licensed Representative | 1 | |
| HAU Chun Wai, William | ACX033 | Licensed Representative | | 1, 2 |
| HEUNG Ho Pong | ATL988 | Licensed Representative | 4 | |
| HO Kwok Kei | ACI600 | Licensed Representative | 1 | |
| HO Sancho Shang Da | AZB616 | Licensed Representative | | 1 |
| HO Ting Kay | AEH400 | Licensed Representative | | 1 |
| HO Ting Kit | ALW988 | Licensed Representative | 4 | |
| HU Yang | BEB771 | Licensed Representative | 1, 4 | |
| HUA Zhenyu | BGF983 | Licensed Representative | 1 | |
| HUANG Huei-Hung | ATM961 | Licensed Representative | 4, 9 | 2 |
| HUI Po Ming | AVU821 | Licensed Representative | 9 | |
| HUI Sai Kit | BHQ315 | Licensed Representative | | 2 |
| HUO Xintong | BCE499 | Licensed Representative | 6 | |
| JI Weiqing | BGM937 | Licensed Representative | 9 | |
| KAN Tung Fai | AOQ748 | Licensed Representative | 2 | 4 |
| KO Oi Na | ALF942 | Licensed Representative | | 1, 2, 5 |
| KO Ying, Christine | ARI201 | Licensed Representative | | 1 |
| KONG Ming Yee | AUJ982 | Licensed Representative | | 4 |
| KUANG Tao | AWL776 | Licensed Representative | 4 | |
| KUNGSEN David Sinyuan | BDI064 | Licensed Representative | 4 | |
| KWAN Lim Pong | ALL139 | Licensed Representative | | 1, 4 |
| KWONG Wang Pok | AAD943 | Licensed Representative | 4, 9 | 6 |
| LAI Chi Hoi | APW068 | Licensed Representative | 4 | |
| LAI Gordon Yat Hung | AQS197 | Licensed Representative | 2 | |
| LAI Ka Chung | BFU181 | Licensed Representative | | 9 |
| LAI Wen Ting | BII960 | Licensed Representative | 2 | |
| LAM Chi Yeung | BBL717 | Licensed Representative | 1, 9 | |
| LAM King Wu | ANK149 | Licensed Representative | 1 | |
| LAM Man Kwong, David | ADI854 | Licensed Representative | 1, 4 | |
| LANE Graeme John | AOG216 | Licensed Representative | | 4 |
| LAU Cheung Kei | BEJ195 | Licensed Representative | | 2 |
| LAU Ka Ho | API028 | Licensed Representative | 2 | |



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| CE Name | CE No. | License Type | Types of Regulated Activity Added | Types of Regulated Activity Removed |
|--------------------------------------|--------|-------------------------|-----------------------------------|-------------------------------------|
| LAU Ka Pan | AXS397 | Licensed Representative | | 2 |
| LAU Kendrick Nam Fun | BAU635 | Licensed Representative | 4 | 1, 2 |
| LAW Chi Ho | BGC796 | Licensed Representative | 1 | |
| LAW Raphael Benjamin Charles | AXS913 | Licensed Representative | 2, 7 | |
| LEE Chun Him | BCE890 | Licensed Representative | 4 | |
| LEE Kwok Kin Dominic | BDE577 | Licensed Representative | 2 | |
| LEE Man Wai | AXE876 | Licensed Representative | 5 | |
| LEE Mona | BBP018 | Licensed Representative | | 1 |
| LEE Siu Tung Close | BIJ781 | Licensed Representative | 2 | |
| LEE Wai Fun | ACK112 | Licensed Representative | 9 | |
| LEE Wai Man | ACR865 | Licensed Representative | | 4 |
| LEUNG Hung Kit | ARO391 | Licensed Representative | 2 | |
| LEUNG Ka Man | ANG569 | Licensed Representative | 2 | |
| LEUNG Kit Yee, Elka | AMW549 | Licensed Representative | | 1 |
| LEUNG Ming Hin, Terence | BGZ164 | Licensed Representative | | 2, 5 |
| LEUNG Pak Wah | ANO983 | Licensed Representative | | 2, 4 |
| LEUNG Terence Ho Chi | APF834 | Licensed Representative | 9 | 1, 4, 6 |
| LI Chun Wai | AOL205 | Licensed Representative | 4 | |
| LI Lok Tao, Louis | BCP052 | Licensed Representative | 9 | |
| LI Qiaohan | BBS888 | Licensed Representative | | 9 |
| LIANG Liang | AUM947 | Licensed Representative | 1 | |
| LIM Julian Frederick Yu | AVW353 | Licensed Representative | | 2 |
| LIN King Ham, Kingston | AEF252 | Licensed Representative | | 4, 9 |
| LIN Yinfu | BCO458 | Licensed Representative | 2 | |
| LING Man Ping | AZB304 | Licensed Representative | | 4 |
| LING Wai Yan, Erica | AXM306 | Licensed Representative | 1, 4 | |
| LIU Ren | AZC071 | Licensed Representative | | 2, 4, 9 |
| LIU Steven | BEZ294 | Licensed Representative | 9 | 1, 6 |
| LIU Xiaoxin | BGC394 | Licensed Representative | | 1 |
| LO Kai Chung | AJN343 | Licensed Representative | 1 | |
| LOK Chiu Chan | BBB171 | Licensed Representative | | 1, 2 |
| LOK Siu Kee | ACQ301 | Licensed Representative | | 2, 4 |
| LU Hsiao-Wen | AMT861 | Licensed Representative | | 9 |
| LUI Kin Wai | ANM045 | Licensed Representative | | 1 |
| LUI Kwan Kit | ASF503 | Licensed Representative | 2, 5 | |
| MAN Kong Sing | BBQ351 | Licensed Representative | 9 | 1, 4, 6 |
| MAN Kong Yui | ABV019 | Licensed Representative | | 4 |
| MAN Sing Wa | AOX779 | Licensed Representative | 9 | 1, 2 |
| MIU Tsz Wai, Fanky | AML491 | Licensed Representative | 4 | |
| MOHINANI Pradeep | AEN512 | Licensed Representative | 1 | |
| MOK Tsz Ho | BBY219 | Licensed Representative | 1, 6 | |
| MORRIS Robert | AZM831 | Licensed Representative | 4, 5, 9 | 1, 2 |
| NG Chak Chung | AGK907 | Licensed Representative | | 6 |
| NG Siu Kei | AUD457 | Licensed Representative | 9 | |
| NG Wai Kit | AVT524 | Licensed Representative | | 2 |
| NGAI Chun Tong | BCD707 | Licensed Representative | 9 | |
| NGAN Kin Fung | AMI028 | Licensed Representative | | 4 |
| NI Xiang Feng | AFY231 | Licensed Representative | | 2 |
| NIE Shengshen | AVL824 | Licensed Representative | 9 | |
| PAN Xingdong | BAA717 | Licensed Representative | 1, 4 | |
| PAPADOPOULOS Jessica Carolyn Cutrera | AQS802 | Licensed Representative | | 6 |
| POON Tin Ching | APR858 | Licensed Representative | | 2 |
| POULIOT Stefan Andre | BEU006 | Licensed Representative | 1, 2 | 6 |
| QIAO Ke | BGR513 | Licensed Representative | | 5 |
| REN Yi | BBQ302 | Licensed Representative | 4 | |
| SAMUEL Jacob | ANJ557 | Licensed Representative | 1 | |
| SHAM Ho Lun, Hans | AUX151 | Licensed Representative | | 9 |
| SHAO Wei | BCI337 | Licensed Representative | 4 | |



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2016

| CE Name | CE No. | License Type | Types of Regulated Activity Added | Types of Regulated Activity Removed |
|-------------------------|--------|-------------------------|-----------------------------------|-------------------------------------|
| SHERRILL Andrew | ABR572 | Licensed Representative | | 4, 6 |
| SHI Lingyi | AZR299 | Licensed Representative | 4 | |
| SHUM Fuk Min | BID161 | Licensed Representative | 2 | |
| SIEH Ching Ha, Sandy | ADE343 | Licensed Representative | 2 | |
| SINN Tak Yu | AFN202 | Licensed Representative | 2 | |
| SO Hing Fai | BDQ948 | Licensed Representative | 2 | |
| SO Kwok Keung | ABP335 | Licensed Representative | | 2, 4, 9 |
| SO Man Ying | BHR648 | Licensed Representative | | 1 |
| SO Shun Tak | ANJ837 | Licensed Representative | 9 | |
| SUN Qiwen | BHZ320 | Licensed Representative | 2 | |
| SUN Ziyi | BHQ132 | Licensed Representative | 4 | |
| TAM Cheung Wan | BDO128 | Licensed Representative | 4, 9 | 1, 2 |
| TAM Lik Wai, Aleck | AMM346 | Licensed Representative | 4 | 2 |
| TANG Kin Chor | ACH809 | Licensed Representative | 4 | |
| TANG Kwan Hui, Ronny | AEP269 | Licensed Representative | 6 | |
| THAM Wai Ming | BAZ626 | Licensed Representative | 4 | |
| TING Wai Lok | BAG338 | Licensed Representative | 2 | |
| TONG Hoi Wang | BAB483 | Licensed Representative | 2 | |
| TONG Leung Kwing | AIL180 | Licensed Representative | | 1 |
| TSAI Jack Du | AHR672 | Licensed Representative | 9 | |
| TSANG Man Shun | AFS253 | Licensed Representative | | 1 |
| TSANG Ming Fung | ANR264 | Licensed Representative | 4, 9 | |
| TSE Shuk Yee Connie | ADK260 | Licensed Representative | 2 | |
| TUNG Peter Tze-Chung | ACO908 | Licensed Representative | 1 | |
| UMALI Jonathan Espinili | AYA900 | Licensed Representative | 4 | |
| VIJAYANT Aashutosh | AVA402 | Licensed Representative | 9 | 1, 2 |
| WANG Dong | BHR911 | Licensed Representative | | 1 |
| WANG Hongrui | BFH177 | Licensed Representative | 3 | |
| WANG Li-Jen | AVH868 | Licensed Representative | | 1, 2 |
| WANG Pingping | AQI580 | Licensed Representative | 1, 4 | |
| WANG Xiaofan | ATR687 | Licensed Representative | | 2 |
| WANG Xingxing | AWS124 | Licensed Representative | 4, 5, 9 | 2 |
| WANG Ya Ya | ARO574 | Licensed Representative | | 2 |
| WANG Yayuan | ARM817 | Licensed Representative | 9 | |
| WIJONO Rizal | ADT339 | Licensed Representative | | 1 |
| WONG Chung Hym | AOP206 | Licensed Representative | 2 | |
| WONG Foelan | ADQ592 | Licensed Representative | | 2, 5 |
| WONG Kin Chun, Gilbert | AAI303 | Licensed Representative | | 9 |
| WONG Kin Wai | BHQ336 | Licensed Representative | 4 | |
| WONG Mei Ning | AXJ864 | Licensed Representative | | 2 |
| WONG Tsz Wai | AYJ435 | Licensed Representative | | 2 |
| WONG Wai Ching, Kenman | ADJ032 | Licensed Representative | | 1 |
| WONG Wai Ho | AUQ931 | Licensed Representative | 5 | |
| WONG Wing Kwan | AXH995 | Licensed Representative | 4, 9 | |
| WU Qian | BCB896 | Licensed Representative | | 1 |
| WU Shanshan | ATQ890 | Licensed Representative | 7 | |
| XIANG Yuqiu | ARF778 | Licensed Representative | | 1, 6 |
| XU Yimei | BEO864 | Licensed Representative | 1, 4, 9 | 10 |
| YABUT Vivian Chan | ASM299 | Licensed Representative | 7 | |
| YAN Han | BFN097 | Licensed Representative | 4 | 9 |
| YAU Wai Ching, Vincent | AYB009 | Licensed Representative | | 4 |
| YEO Zhi Aik | AVN113 | Licensed Representative | 9 | |
| YEUNG Wai Fai, Andrew | AFU161 | Licensed Representative | | 1 |
| YING Yik Hung | AAK817 | Licensed Representative | 9 | |
| YIP Ho Pak | BFU720 | Licensed Representative | | 1 |
| YIP Ka Lung | ADZ376 | Licensed Representative | | 2 |
| YIP Lai Sang, Kelvin | AHG862 | Licensed Representative | 4 | |
| YIU Ka Po | BGE288 | Licensed Representative | 1 | |



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2016

| CE Name | CE No. | Licence Type | Types of Regulated Activity Added | Types of Regulated Activity Removed |
|--------------------------|--------|-----------------------------------------------|-----------------------------------|-------------------------------------|
| YOU Jian | BDD076 | Licensed Representative | | 1 |
| YU Chung Hang | AXF399 | Licensed Representative | 1 | |
| YU Ka Ho, Bernard | AQR189 | Licensed Representative | 2 | |
| YU Lijie | AUX358 | Licensed Representative | 9 | |
| YU Xiaojing | BDV518 | Licensed Representative | 9 | 1, 4, 6 |
| YU Ziyi | BFX990 | Licensed Representative | 4 | |
| YUAN Yongsheng | BHV552 | Licensed Representative | 2 | |
| YUEN Che Hay | AWA517 | Licensed Representative | | 1 |
| YUEN Zit Tun | BFH968 | Licensed Representative | | 1 |
| ZANG Junyi | AZX276 | Licensed Representative | 9 | 6 |
| ZENG Lu | BBB067 | Licensed Representative | | 5 |
| ZHANG Jialin | AYM827 | Licensed Representative | | 4 |
| ZHANG Jingyan | BEJ967 | Licensed Representative | 4 | |
| ZHANG Lily Xun | AIR660 | Licensed Representative | 6 | |
| ZHAO Wenxiu | BBU280 | Licensed Representative | 1 | 4, 9 |
| ZHOU Yanwei | BHF307 | Licensed Representative | 4 | |
| ANANTHARAM Vishweshwar | ATM017 | Licensed Representative - Responsible Officer | 9 | |
| CAIRNS Peter Christopher | ADN194 | Licensed Representative - Responsible Officer | 1 | |
| CHAN Chi Bun | AZR722 | Licensed Representative - Responsible Officer | 4 | |
| CHAN Chi Hang | AVA036 | Licensed Representative - Responsible Officer | 2 | |
| CHAN Lai Man | ASS908 | Licensed Representative - Responsible Officer | 4, 5 | |
| CHAN Mo Kit | ANZ958 | Licensed Representative - Responsible Officer | 4 | |
| CHEN Kai | AIC597 | Licensed Representative - Responsible Officer | 9 | |
| CHEUNG Man | AWL487 | Licensed Representative - Responsible Officer | 9 | |
| CHOI Chi Tsung, Eric | ANX201 | Licensed Representative - Responsible Officer | 1, 2 | |
| CHONG Alvin | AZJ073 | Licensed Representative - Responsible Officer | 4 | |
| CHONG Chin | AAC622 | Licensed Representative - Responsible Officer | 4 | |
| CHONG Wah Yeung | AJH301 | Licensed Representative - Responsible Officer | 4 | |
| CHOW Alice Wai Yin | AMO986 | Licensed Representative - Responsible Officer | 4 | |
| CHU Chun Yi | ARM915 | Licensed Representative - Responsible Officer | 1, 4 | |
| CHUNG Scott Young | BCI169 | Licensed Representative - Responsible Officer | 1, 4 | |
| CHUNG Yi To | ADQ004 | Licensed Representative - Responsible Officer | 4 | |
| DAVIES Anthony Miles | AAV788 | Licensed Representative - Responsible Officer | 4 | |
| DESMIDT Marc Bovell Paul | ACP019 | Licensed Representative - Responsible Officer | 1, 2 | |
| DO Khiem Trong | ADT127 | Licensed Representative - Responsible Officer | 2 | |
| HASHIZUME Kenji | APF662 | Licensed Representative - Responsible Officer | 1 | |
| HAU Chun Wai, William | ACX033 | Licensed Representative - Responsible Officer | 9 | |
| HEUNG Ho Pong | ATL988 | Licensed Representative - Responsible Officer | 2 | |
| HO Chi Ming, Tony | APH801 | Licensed Representative - Responsible Officer | 4 | |
| HO Hin Hang | AVH028 | Licensed Representative - Responsible Officer | 4, 5 | |
| HUANG Da Wei | BCC169 | Licensed Representative - Responsible Officer | 4 | |
| IP Hung Kai | ARO056 | Licensed Representative - Responsible Officer | 1 | |
| KONG Jin Jean | AOU116 | Licensed Representative - Responsible Officer | 1 | |
| KWAN Ka Chung | AEE606 | Licensed Representative - Responsible Officer | 4 | |
| KWAN Lim Pong | ALL139 | Licensed Representative - Responsible Officer | 5 | |
| LAM Chat Yu | ADB487 | Licensed Representative - Responsible Officer | 4 | |
| LAM Frewen | AOY572 | Licensed Representative - Responsible Officer | 1, 9 | |
| LEE Man Kit, Peter | AYV999 | Licensed Representative - Responsible Officer | | 1, 4 |
| LEE Wai Man | ACR865 | Licensed Representative - Responsible Officer | 4, 5 | |
| LEUNG Chi Ming | AAF501 | Licensed Representative - Responsible Officer | 9 | |
| LU Yilin | AOG682 | Licensed Representative - Responsible Officer | 4 | |
| LUI Chi Lung Louis | AGT091 | Licensed Representative - Responsible Officer | 2, 5 | |
| LUI Kin Wai | ANM045 | Licensed Representative - Responsible Officer | 4 | |
| MA Kam Chuen | AAW418 | Licensed Representative - Responsible Officer | | 2, 5 |
| MATHUR Rajnish Dayal | AQH125 | Licensed Representative - Responsible Officer | 4 | |
| MING Xiaochong | AON935 | Licensed Representative - Responsible Officer | 5 | |
| NG Hong Wing | ADU475 | Licensed Representative - Responsible Officer | | 2 |
| NG Shaw Yun | BGH309 | Licensed Representative - Responsible Officer | 1, 9 | |



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| CE Name | CE No. | License Type | Types of Regulated Activity Added | Types of Regulated Activity Removed |
|--------------------------|--------|-----------------------------------------------|-----------------------------------|-------------------------------------|
| NGUYEN Gia Vinh, Patrick | ALI719 | Licensed Representative - Responsible Officer | 4 | |
| PANG Lai Kwan | AUV853 | Licensed Representative - Responsible Officer | 4 | |
| PAO Lik | AEY552 | Licensed Representative - Responsible Officer | 9 | |
| RENNIE Andrew Kenneth | AYR079 | Licensed Representative - Responsible Officer | 2 | |
| SCHWARTZ III Harold Alan | BCI160 | Licensed Representative - Responsible Officer | 1, 4 | |
| SHI Zhen | AYK898 | Licensed Representative - Responsible Officer | 5 | |
| SHIMODE Tetsuya | BCI692 | Licensed Representative - Responsible Officer | 1 | |
| SIU Kai Chi, Jimmy | ADF274 | Licensed Representative - Responsible Officer | 4 | |
| TANG Chi Hong | AAF883 | Licensed Representative - Responsible Officer | 2, 5 | |
| TANG Kwan Hui, Ronny | AEP269 | Licensed Representative - Responsible Officer | 9 | |
| TSANG Man Sang | AFC688 | Licensed Representative - Responsible Officer | 9 | |
| VOURLUMIS Andreas | ANL079 | Licensed Representative - Responsible Officer | 1 | |
| WANG Li-wen | AGP525 | Licensed Representative - Responsible Officer | | 6 |
| WONG Ching Him | AEB025 | Licensed Representative - Responsible Officer | 1 | |
| WONG Shing Kit, Shirley | APL786 | Licensed Representative - Responsible Officer | 9 | |
| WONG Siu Leung | ANK932 | Licensed Representative - Responsible Officer | 9 | |
| WONG Wah | AFD156 | Licensed Representative - Responsible Officer | 4 | |
| YANG Wenhuan | ALL166 | Licensed Representative - Responsible Officer | 3 | |
| YAO Sze Ling | ABQ898 | Licensed Representative - Responsible Officer | 4 | |
| YEUNG Wan Yiu | ADY321 | Licensed Representative - Responsible Officer | 1, 4 | |
| YU Jin | AQP649 | Licensed Representative - Responsible Officer | 4 | |
| HUANG Qiqi | BIO245 | Licensed Representative (Provisional Licence) | 2 | |
| LIANG Yue | BIL738 | Licensed Representative (Provisional Licence) | 4 | |
| Barclays Bank PLC | AAJ160 | Registered Institution | | 9 |