



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 02/2017

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
FountainCap Research & Investment (Hong Kong) Co., Limited	BEW803	Licensed Corporation	4	
Hong Kong Asset Management Limited	ABI734	Licensed Corporation	1	
Huizhi International Capital Holdings Co., Limited	ADZ820	Licensed Corporation	1	
Kilmorey Securities Limited	AEI546	Licensed Corporation	4	
Norman Kong Securities Company Limited	AGB342	Licensed Corporation		2
Shenwan Hongyuan Research (H.K.) Limited	ADW588	Licensed Corporation	5	
SSG Capital Management (Hong Kong) Limited	ASS687	Licensed Corporation	4	
Tang Ping Kong Limited	ACV070	Licensed Corporation	4, 9	
Unicorn Securities Company Limited	ACD947	Licensed Corporation	4, 9	
ADAMS David John Stuart	AZL710	Licensed Representative	4, 5	
ARNAVUT Alev Mete	BEJ792	Licensed Representative	9	1
AU-YEUNG Wai Kai, Angus	AJH211	Licensed Representative		4
BATTENFELD Brenton George	AOP135	Licensed Representative	9	1, 2
BRIDOUX Christophe Francois	AUK048	Licensed Representative	2	
BRUCHET David, Dominique, Nicolas	ATH183	Licensed Representative		7
CHAE Jong-Yoon	AQO462	Licensed Representative	1, 9	4, 6
CHAN Cambie Kam Pui	BBD735	Licensed Representative	9	
CHAN Candace	BHS151	Licensed Representative	3	
CHAN Chi Wing	ATX898	Licensed Representative	9	
CHAN Chi Yung	APR959	Licensed Representative	4	
CHAN Ching Sum Sam	AWO231	Licensed Representative	4	
CHAN Chiu On	BGH366	Licensed Representative		2
CHAN Chun Wing	BEE942	Licensed Representative	4	
CHAN Ka Fai, Stephen	AOS673	Licensed Representative		4, 5, 9
CHAN Kei	AEY425	Licensed Representative		3
CHAN Kin Kwan	AUN432	Licensed Representative	4	
CHAN Long Ho, Ronald	BGR509	Licensed Representative	3	
CHAN Shek Hong, Raymond	AEP119	Licensed Representative	2	
CHAN Shing Yan	AGE665	Licensed Representative	1, 9	4
CHAN Shue Keung	AND696	Licensed Representative		2
CHAN Wai Ching	AVF224	Licensed Representative		4
CHAN Wai Ho	AQO428	Licensed Representative		1, 4
CHAN Wai Lun	ARD531	Licensed Representative	4	
CHAN Wing Yu	BBT845	Licensed Representative	5	
CHAN Yi	APG474	Licensed Representative	9	
CHAN Yin Bing	AHX701	Licensed Representative	1	
CHANG Matthew	BEE545	Licensed Representative	1	
CHEN Dexin	BAZ282	Licensed Representative	2	
CHEN Jinsha	AVQ343	Licensed Representative	9	
CHEN Tao	AZY872	Licensed Representative	6	4
CHEN Wan	ALV331	Licensed Representative	1	
CHEN Xue Liang	BBW890	Licensed Representative	9	
CHEUNG Chung Fan	AYW110	Licensed Representative	9	
CHEUNG Hong	ASO010	Licensed Representative	1	
CHEUNG Wai Chung	AAJ186	Licensed Representative		2
CHEUNG Xin	BGG512	Licensed Representative	5	
CHEUNG Alex Ricardo	BEA302	Licensed Representative	4	9
CHEUNG Ho Chuen	BHR928	Licensed Representative	1	4, 9
CHEUNG Kam Hong	AVT081	Licensed Representative	1	
CHEUNG Tomo-hito	AUS139	Licensed Representative	5	1
CHEUNG Wa Ching	BIQ610	Licensed Representative	2	
CHEUNG Wai Hung	AGY670	Licensed Representative	4	
CHEUNG Wai Kwok, Gary	AAC469	Licensed Representative	9	
CHIU Im Seong, Jo Jo	AQC495	Licensed Representative		2
CHONG Wai Shing	BFO619	Licensed Representative		2
CHONG Wee Khoon	AWT864	Licensed Representative	4	



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CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
CHOW Chin Shuen, Stella	AGO293	Licensed Representative	1, 4	2, 5
CHOW Man Yee, Kitty	AMZ977	Licensed Representative		1
CHOW Siu Hang	ANI744	Licensed Representative		4
CHOW Yat Chun	ANA606	Licensed Representative		1
CHU Chun Hung	AXK728	Licensed Representative		1
CHU Mei Fong	BCZ103	Licensed Representative	2	
CHU Wai Pang	ABF141	Licensed Representative		6
CHUNG Hiu Mei	BGA487	Licensed Representative	9	
CHUNG Taeyoung	BGC192	Licensed Representative	9	
DENG Jun	APZ630	Licensed Representative	6	
DING Wenjie	BFZ549	Licensed Representative		1
DING Yihua	AQQ496	Licensed Representative	9	
DING Yuqian	AVD302	Licensed Representative	1	
DONG Jiawei	BHB765	Licensed Representative	2	
FANG Dongming	AFE991	Licensed Representative	2	
FOO Siang Min	BGH800	Licensed Representative		5
FRANCOIS Antoine, Albert, Gunefort, Marie, Joseph	AUD883	Licensed Representative		7
FU Wing Yan, Rebecca	AFE899	Licensed Representative	2, 4	7
GAO Qifan	BHE173	Licensed Representative		2
HAN Longkai	BEZ375	Licensed Representative	5	
HERSEY Steven James	APK597	Licensed Representative		4, 5
HO Chun Man	ARJ714	Licensed Representative		1
HOSHI Masahide	APH011	Licensed Representative		5
HOU Yiyun	BIU737	Licensed Representative	4	
HUANG Bi-Chen	BAI188	Licensed Representative	2	
HUANG Chengyu	BHJ591	Licensed Representative		1
HUANG Sike	BHI178	Licensed Representative	1	
HUANG Yutian	BIJ696	Licensed Representative	1, 3	
HUI Quincy Kwong Hei	ANZ768	Licensed Representative		1
IP Heung Wing, Barry	ALU866	Licensed Representative	1	
JIANG Feng	AXO926	Licensed Representative		1
JIANG Zhengtai	BGX573	Licensed Representative	1, 4	
JIANG Zhitong	AZY142	Licensed Representative	9	
JINDLE Kunal	BDL108	Licensed Representative	1	
KAO Hiu Hing Stanley	ATM450	Licensed Representative		2
KIM Chung Wan	AGE497	Licensed Representative	9	
KLIP Donald William	ADI595	Licensed Representative		4
KOU (HUANG) Rakuhei (Leping)	AUZ066	Licensed Representative	1	
KWOCK Mei Shan, Michelle Joyce	ARQ020	Licensed Representative	4	1, 2
KWOK Chung Ming, Thomas	BIM262	Licensed Representative	6	1, 2
KWOK Ying Cheuk	AKU150	Licensed Representative		4, 9
LAI Kong Keung Louis	BEL006	Licensed Representative	2	
LAI Chun Hing	AVM461	Licensed Representative	9	
LAI Hoi Yan, Patricia	ARR637	Licensed Representative	4	
LAI Kin Chung	BEB796	Licensed Representative	4	
LAI Ming Hon, Justin	AWY011	Licensed Representative		4, 6
LAI Wing Hung	ANH142	Licensed Representative		2
LAM Chi Hung	AGX704	Licensed Representative	2	
LAM King Kui, Clive	AME106	Licensed Representative	9	
LAM King Wu	ANK149	Licensed Representative	9	
LAM Siu Yan, Cathy	BFJ754	Licensed Representative	1, 2	
LAU Chi Wah Alex	ABT429	Licensed Representative		4
LAU Pak Sun	AMF528	Licensed Representative	4, 6	
LAU Wai Chun	ACY158	Licensed Representative	9	
LAW Tsz Shing	BGB433	Licensed Representative	2	
LEE Brian Po Wing	AML715	Licensed Representative	4	
LEE Chun Leung	ABM913	Licensed Representative	2	



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 02/2017

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
LEE David	AHX965	Licensed Representative	4	
LEE Ho	BHN975	Licensed Representative	3	
LEE Ka Ho	AWE955	Licensed Representative		2, 5
LEE Tin Yau, Eugene	ADV918	Licensed Representative	1	
LEUNG Chun Wa	AJF048	Licensed Representative		1, 4
LEUNG Ho Ming	AJH302	Licensed Representative	9	
LEUNG Kai Chung	AQR032	Licensed Representative		4, 5
LEUNG Kai Hung	AMX297	Licensed Representative	1, 2	9
LEUNG Shing Wing, Andy	AML171	Licensed Representative		2
LEUNG Sui Pan	AXF284	Licensed Representative	1, 4	
LEUNG Sung Yeung, Roger	AAH546	Licensed Representative		1
LEUNG Yiu Bong, Raymond	AOS223	Licensed Representative		9
LI Kai Yin	AAA183	Licensed Representative	2	
LI Kit Lan	BAN027	Licensed Representative	2, 4	
LI Lok Man	AQE947	Licensed Representative	4	
LI Nailin	BHB964	Licensed Representative		7
LI Shuk Wa, Vivian	ANY054	Licensed Representative	9	
LI Ting	AZX480	Licensed Representative	4	
LI Xin	ANY390	Licensed Representative		1
LI Yao Jun	APB923	Licensed Representative	1, 2	
LI Yongde	BFP145	Licensed Representative	9	
LIANG Fuyin	BHJ475	Licensed Representative		1
LIN Ching Wen	BHE032	Licensed Representative		4
LIU Kao-Jen	AQA155	Licensed Representative	2	
LIU Wing Chung	AZM892	Licensed Representative	4	
LIU Yingshi	BIB397	Licensed Representative		3
LO Ho Tak	AVR437	Licensed Representative	4	
LO Kin On, William	AXV216	Licensed Representative	1, 9	
LO Y Yu, Thomas	AFR473	Licensed Representative		1
LUO Yuhui	BEI699	Licensed Representative	1, 4	
LY Laurent Huai Eng	ATW215	Licensed Representative		6
MA Kit Sum Isis	AYD565	Licensed Representative	9	
MA Xiaoqi	BGH607	Licensed Representative	1, 4	
MADDURI Pooja Grover	BDH854	Licensed Representative	2	
MAK Chi Leung	ACZ471	Licensed Representative		4
MAK Ho Yin	BAU424	Licensed Representative	3	
MALONEY Patrick Nicholas	AVD511	Licensed Representative		1, 4
MAN Kon Sum	AFI890	Licensed Representative		1
MIMAKI Hiroyuki	AQD034	Licensed Representative	6	
MIU Tsz Wai, Fanky	AML491	Licensed Representative	2	
MOHAMED IBRAHIM Mariana Binte	BEM359	Licensed Representative	9	1, 2
MOK Chue Man	AZL410	Licensed Representative	2	4
MORIN Douglas Craham	AEJ927	Licensed Representative		1
MOYNIHAN Daniel John	BDM186	Licensed Representative	2	
NG Chi Cheng	ALK588	Licensed Representative	2, 9	
NG Chi Him, Sam	ANQ542	Licensed Representative	4	
NG Lai Man, Carmen	AFT874	Licensed Representative	1	
NG Ming Hang	AUQ159	Licensed Representative	9	1, 2, 4
NG Wing Tai	AUZ073	Licensed Representative		1
NGAI Sze Man	BGH932	Licensed Representative	2	
NGAN Or	BCW210	Licensed Representative		1
PAN Dengke	BIC438	Licensed Representative	1, 3	
PANG Yu Fai Ray	BFN019	Licensed Representative		4, 5
POON Shing Chi	BDD899	Licensed Representative	9	
SHEK Sai Lok Edmond	BFR586	Licensed Representative	3	
SHEK Wing Kit	ANR257	Licensed Representative		2
SIT Hau Yi	BEE951	Licensed Representative	9	



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 02/2017

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
SIU Sun Bun	BGY614	Licensed Representative	2	
SIU Wai Kit	AFM549	Licensed Representative		4, 9
SO Kin	AID232	Licensed Representative		1
SO Pui Fung	AMY275	Licensed Representative		1
SONG Weiguang	BAZ639	Licensed Representative	9	1
STUART Lisa Jane	BGM923	Licensed Representative	4	
SU Yi	AOZ134	Licensed Representative	9	
SUI Xiaomeng	BHS630	Licensed Representative		1
SUN Chuen Wah, Anthony	AFP060	Licensed Representative		4
SURATKAL Kishore Sheena	AFE831	Licensed Representative		1
TAM Man Hong	AFY709	Licensed Representative		1
TANG Tianyi	BFY437	Licensed Representative	9	
TANG Weicheng	BCC392	Licensed Representative	1	
TANG Yuk Fan	AKS769	Licensed Representative		1
TIAN Hanlin	BDZ941	Licensed Representative	4	6
TO Wai Hung, Anson	AFK975	Licensed Representative		1
TONG Tsz Chun	ATS073	Licensed Representative	1	4, 9
TONG Yat Lai, Elliot	AMM328	Licensed Representative		4, 5
TSANG Chun Fai	BEQ486	Licensed Representative	4	
TSANG Chung Wah	BDY893	Licensed Representative	2	
TSANG Hung Fai	AUD149	Licensed Representative	2	
TSANG Ka Kan, Edmund	ALG188	Licensed Representative		4
TSANG Wing Kai	BCN378	Licensed Representative	9	
TSE Cho Wan	AVD685	Licensed Representative		4
TSE Christopher Shing-kwun	BFN119	Licensed Representative	2, 5	1
TSE LEE KUEN	AXO645	Licensed Representative	4	
TSOI Kwok Chun	BID087	Licensed Representative	2	
WAN Hei Yeung	AZF510	Licensed Representative		1, 4
WANG Chong	AYS816	Licensed Representative		1, 4
WANG Hong	ALQ657	Licensed Representative		4, 9
WANG Ke	BAF971	Licensed Representative	9	
WANG Zichao	BIW223	Licensed Representative	9	
WIEMER Charles Daniel	ANQ742	Licensed Representative		2
WONG Benny	BIT228	Licensed Representative	1	
WONG Cheuk Ki	BHO299	Licensed Representative	4, 9	
WONG Chi Chiu	AJB477	Licensed Representative	1	
WONG Ching Yuen, Eric	BAP941	Licensed Representative	9	1, 6
WONG Cho Wai	AUG836	Licensed Representative	3	
WONG Jeremy	AEA858	Licensed Representative		1, 9
WONG Ka Shing	AOY331	Licensed Representative	4	
WONG Kin Ning	APW465	Licensed Representative	5	
WONG Man Lee	BIA103	Licensed Representative	3	
WONG Shu Sing	APD420	Licensed Representative		5
WONG Yan Tung	BGK392	Licensed Representative	2	
WONG Yin Kwan, Brenda	ARH793	Licensed Representative	1	
WU Hao	BBP022	Licensed Representative	4	
WU King Cheung	BBF564	Licensed Representative	1, 4	
WU Linpeng	BGA438	Licensed Representative	4, 9	1
XIAO Xiaochuan	BGD218	Licensed Representative		1
YAN Renyuan	BIB907	Licensed Representative	9	4
YANG YUE Nin Yen, Gigi	AGP929	Licensed Representative	1, 4	
YAU Shu Cheung	AAJ570	Licensed Representative		1
YE Zhu	ASZ086	Licensed Representative	5	
YEUNG Chi Hong	BIQ873	Licensed Representative	1, 4	9
YEUNG Kwok Kei	BBB086	Licensed Representative	4	
YEUNG Lam Lam	ANN551	Licensed Representative	4	
YEUNG Yiu Wah, Francis	ACG885	Licensed Representative		1



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CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
YICK Kit Sum, Winsome	AOB610	Licensed Representative		1
YIM Chi Hang	BBY539	Licensed Representative	1, 4	
YIP Man Wai	AEY361	Licensed Representative	2	
YIP Thomas Ho Fai	AXD289	Licensed Representative		1
YU Hongchen	BDV510	Licensed Representative	1	6
YU Jiayan	BHF578	Licensed Representative	9	
YU Man Ting Loretta	AWE558	Licensed Representative	9	
YUNG Cheuk Yin	BHV021	Licensed Representative	1, 2	
ZHAN Congcong	BCP843	Licensed Representative	6	1, 2, 3
ZHANG Chunxin	BAM431	Licensed Representative		1
ZHANG Jingkun	BGG673	Licensed Representative	9	
ZHANG Yanuo	BII014	Licensed Representative	4, 9	
ZHANG Yun	AXZ985	Licensed Representative		1
ZHANG Yuting	BBM640	Licensed Representative	2	
ZHANG Zhixiang	AVA347	Licensed Representative	1, 9	
ZHAO Tianming	BGX249	Licensed Representative	6	2, 5
ZHAO Wei	BEE813	Licensed Representative	1	
ZHONG Ye	BDP512	Licensed Representative	1	
ZHOU Zitao	BIJ004	Licensed Representative	2	
ZHU Jiayuan	BIU924	Licensed Representative	9	
ZHU Yuxiang	BER747	Licensed Representative	5	
ZOU Keith Ke	BIE434	Licensed Representative	1	
CAIRNS Peter Christopher	ADN194	Licensed Representative - Responsible Officer	4	
CHAN Kai Ming, Ricky	AOU629	Licensed Representative - Responsible Officer	9	
CHAN Kar Lun, Colin	ABY630	Licensed Representative - Responsible Officer	4	
CHAN Leong Sek, Freddy	ADW083	Licensed Representative - Responsible Officer	4	
CHAN Ming Yan	ACD664	Licensed Representative - Responsible Officer	5	
CHAN Shu Kai	AAJ626	Licensed Representative - Responsible Officer	9	
CHAN Yue Yuen	ANM307	Licensed Representative - Responsible Officer	1	
CHANG Tin Duk, Victor	ADL704	Licensed Representative - Responsible Officer	9	
CHAU Kai Wing	AFS381	Licensed Representative - Responsible Officer	4	
CHAU Mei Yu	ADB668	Licensed Representative - Responsible Officer	5	
CHEUNG Wai Kwok, Gary	AAC469	Licensed Representative - Responsible Officer	2	9
CHOW Yat Chun	ANA606	Licensed Representative - Responsible Officer	4, 9	
DENG Haifeng	AJN297	Licensed Representative - Responsible Officer	4	
DENG Jun	APZ630	Licensed Representative - Responsible Officer	1	
DING Xiaofang	AEL268	Licensed Representative - Responsible Officer	4	
FAN King Chi, Kenneth	ANH531	Licensed Representative - Responsible Officer	1	
HO Chun Hung	BBN267	Licensed Representative - Responsible Officer	1	
HO Sin Cheung	ABP225	Licensed Representative - Responsible Officer	2, 4, 9	
HO Wing Chiu	AXU901	Licensed Representative - Responsible Officer	4	
HUNTER David	AIR826	Licensed Representative - Responsible Officer		4
JAQ Fang-Ming	BEZ036	Licensed Representative - Responsible Officer	4, 9	
JAQ Meng Yu	ABZ024	Licensed Representative - Responsible Officer	9	
KAO Hiu Hing Stanley	ATM450	Licensed Representative - Responsible Officer	5	
KONG Mo Nga	ABM473	Licensed Representative - Responsible Officer		2
KONG Sinclair	ABG660	Licensed Representative - Responsible Officer		2
KWAI Ni	ALV039	Licensed Representative - Responsible Officer	7	
KWAN Wai Kuen, Freddie	AAE275	Licensed Representative - Responsible Officer	4, 5	
KWOK Chi Wai	ANA838	Licensed Representative - Responsible Officer	4	
KWOK Ying Cheuk	AKU150	Licensed Representative - Responsible Officer	2	
LAM Yuk Ying, Elsa	AFU002	Licensed Representative - Responsible Officer	4	
LAN Qingwen	AWW400	Licensed Representative - Responsible Officer	4	
LEE Tsz Ho	APJ560	Licensed Representative - Responsible Officer	5	
LEUNG Yiu Bong, Raymond	AOS223	Licensed Representative - Responsible Officer	1	
LI Cheuk Fai	AYK176	Licensed Representative - Responsible Officer	4	
LO Chin Cheung	APC270	Licensed Representative - Responsible Officer	5	



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CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
LO Y Yu, Thomas	AFR473	Licensed Representative - Responsible Officer	9	
NG Wing Keung	AQX239	Licensed Representative - Responsible Officer	1	
OLIVER James Campbell	ARW738	Licensed Representative - Responsible Officer		2
SHAMSUDDIN Doni	AZB289	Licensed Representative - Responsible Officer	9	
TSANG Siu Hung, Simon	AAJ982	Licensed Representative - Responsible Officer	4, 5	
VOURLLOUMIS Andreas	ANL079	Licensed Representative - Responsible Officer	4	
WANG Li-wen	AGP525	Licensed Representative - Responsible Officer	6	
WONG Ching Him	AEB025	Licensed Representative - Responsible Officer	4	
WONG Wai King, Mona	ACG986	Licensed Representative - Responsible Officer	4	
XU Lingyan	ARI518	Licensed Representative - Responsible Officer	4	
XU Ying	ANK771	Licensed Representative - Responsible Officer	4	
YANG Kane	AUT778	Licensed Representative - Responsible Officer	1	
YIP Thomas Ho Fai	AXD289	Licensed Representative - Responsible Officer	4	
YIU Ho Yin	AEI004	Licensed Representative - Responsible Officer	4	
ZHANG Ning	AGD246	Licensed Representative - Responsible Officer	4	
ZHANG Yun	AXZ985	Licensed Representative - Responsible Officer	4, 9	
ZHU Yong	AJD985	Licensed Representative - Responsible Officer	1	
KUK Wing Yee	BIZ359	Licensed Representative (Provisional Licence)	1, 4	
Natixis	AGJ912	Registered Institution	6	
Wing Lung Bank Limited	AAF294	Registered Institution		9