



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
China Times Securities Limited	AWO418	Licensed Corporation	2	
Dongxing Securities (Hong Kong) Company Limited	BBY779	Licensed Corporation	4	
Fairwin Broking Limited	ABA943	Licensed Corporation	2	
Forthright Securities Company Limited	BGP713	Licensed Corporation	4	
Legal & General Investment Management Asia Limited	BBB488	Licensed Corporation	2	
Morgan Fuel Go Securities Limited	AAK738	Licensed Corporation	9	
Ord Minnett Hong Kong Limited	BAI183	Licensed Corporation	9	
Pacific International Securities Limited	BHO434	Licensed Corporation	4, 9	
Solaris Capital Advisors (HK) Limited	BES440	Licensed Corporation	4	
Sunfund Securities Limited	BHV050	Licensed Corporation	4	
Three Stones Capital Limited	BGC399	Licensed Corporation	4, 5	
Tianda Securities Limited	AVT666	Licensed Corporation		2
ASJJA Sahil Kumar	AYR644	Licensed Representative	2, 4, 5	
AU Hin Kwong	AZK297	Licensed Representative	9	1, 4
AU Yu Him	BFC651	Licensed Representative	5	
CAI Yibo	BCN610	Licensed Representative	9	
CAO Lei	BDI403	Licensed Representative		2
CAO Lei	BGB371	Licensed Representative	9	6
CHAN Chau Kam	BHP654	Licensed Representative	2	
CHAN Chi Hei Andrew	BJV729	Licensed Representative	4	
CHAN Chi Kan	BAA072	Licensed Representative		2, 9
CHAN Ching Sum	BIY455	Licensed Representative	4	
CHAN Chiu Kwan, Tony	AEZ398	Licensed Representative		3
CHAN Cho Yan	BID789	Licensed Representative		2, 9
CHAN Hoi Chun	ARP732	Licensed Representative	1, 4	
CHAN Hung Nam	BBW538	Licensed Representative	2, 5	
CHAN Ka Fung	BJG131	Licensed Representative		9
CHAN Kai Cheung	APO196	Licensed Representative		5
CHAN Kei Shu	AOC991	Licensed Representative		2, 3, 4
CHAN Lai Ming	AOD290	Licensed Representative	2	
CHAN Lai Shan	BIS306	Licensed Representative	9	
CHAN Pak Hei	BBJ062	Licensed Representative		5
CHAN Shut Sang	BIH308	Licensed Representative	9	
CHAN Tai Yu	AWI794	Licensed Representative	9	10
CHAN Wai Fung	ARB852	Licensed Representative		2, 3
CHAN Wing Chee, Gigi	ARA111	Licensed Representative		1, 4
CHAN Yat Lam	AOW942	Licensed Representative		3
CHAN Yau Hin	AVY759	Licensed Representative		1, 4
CHAN Yee Mee, Emily	AAE427	Licensed Representative		2
CHAN Yi, Vivien	ANZ527	Licensed Representative		9
CHANG David Da-Wei	BBH818	Licensed Representative	4, 9	
CHANG Man Wai, Lawrence	AWF164	Licensed Representative	4	
CHAU Wai Kin	BGB955	Licensed Representative		2
CHEN Baileng	BGO833	Licensed Representative	1	
CHEN Chih-Kuo	AKW443	Licensed Representative		4
CHEN Hao	BGQ543	Licensed Representative	1	
CHEN Ken An	ANX752	Licensed Representative	1	4
CHEN Wenlai James	AUB795	Licensed Representative		1, 2
CHEN Xiaohua	BAM436	Licensed Representative	9	
CHENG Chi Kin	BKV086	Licensed Representative	3	
CHENG Chiu	BJM355	Licensed Representative	2, 5	
CHENG Chung Fan	AYW110	Licensed Representative		1
CHENG Ka Ho	AQU090	Licensed Representative		2, 4
CHENG Kai Man, Raymond	AHC103	Licensed Representative		3, 5
CHENG Pui Lai	ACT389	Licensed Representative	2	
CHENG Wing Yee	ATO959	Licensed Representative	4	
CHESTER Daphne Reynolds	BCG584	Licensed Representative	4	



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CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
CHEUNG Chi Yu	APM054	Licensed Representative	1, 2	4
CHEUNG Jonathan Che Wing	BHG129	Licensed Representative	4, 9	1
CHEUNG Kit Man	APF463	Licensed Representative	4	2
CHIU Kit	BHK613	Licensed Representative	2	
CHOI Lai Hang, Vanessa	BGL470	Licensed Representative	2	
CHONG Wai Shing	BFO619	Licensed Representative	2	
CHOW Sze Wan	AJ676	Licensed Representative	4, 5, 9	2
CHOY Siu Kwan	AVJ413	Licensed Representative		1
CHU Chaoyang	BDM532	Licensed Representative	1	
CHUANG Min I, Zoe	BGB071	Licensed Representative	1	
CHUNG Ming	APQ667	Licensed Representative		1
DAVIS Bernard Steven	AWZ387	Licensed Representative	4	
DE PREE Oliver Harry Jameson	AIR402	Licensed Representative	1	
DENG Yi	BAT630	Licensed Representative	9	4
DIAO Zhihai	BGU213	Licensed Representative	2, 4	
FAN See Hang	ARM892	Licensed Representative		1, 4
FANG Zhiying	AWK007	Licensed Representative		3
FARTHING Jon Kristofer	BBC926	Licensed Representative	2	
FUNG Koon Yan	AWS896	Licensed Representative		2
GAO Qifan	BHE173	Licensed Representative	2	
GILL Amar Singh	AHB999	Licensed Representative	1, 6	
GU Yuanmin	BJP645	Licensed Representative	2, 9	4
GUAN Lei	BGM931	Licensed Representative	9	1, 2
HENG Mui Gek	ANM460	Licensed Representative	1	
HO Chung	BCR059	Licensed Representative		2
HO Hung Wei	BDI075	Licensed Representative	6	2, 5
HO Kwan Hung	AMC556	Licensed Representative		3
HO Lok Shan	BJP426	Licensed Representative		1
HO See Pui, Christie	BIV192	Licensed Representative	1	
HO Ting Kit	ALW988	Licensed Representative		2
HOCK Wai Hou	AZH640	Licensed Representative	1	
HON Kai Lai	APC068	Licensed Representative		4
HON Yam Ip	AOQ555	Licensed Representative	4, 9	
HONG Kanghee	BFP215	Licensed Representative	4	
HU Yi	BGM033	Licensed Representative	2	
HUANG Tingting	BEQ564	Licensed Representative	2	
HUANG Xinjun	BJK614	Licensed Representative	2	
HUANG Xinyi	BIE349	Licensed Representative	9	
HUI Chun	AWQ526	Licensed Representative	4	
HUI Hon Yuen, Benedict	AGQ352	Licensed Representative	1, 4	
IP Po Wun	BEC783	Licensed Representative	1, 4	
IP Shun Yin	AMK305	Licensed Representative		3
JIN Yueqi	BFJ580	Licensed Representative	9	1
JING Ruochong	BDO877	Licensed Representative	1	
KAM Kwan Kin	BBR458	Licensed Representative	2	
KAN Yuk Ling	ADT715	Licensed Representative		4, 6
KITNEY Paul Michael	AKX577	Licensed Representative		9
KO Wai Chun	AON561	Licensed Representative		4
KONG Luhua	AOL209	Licensed Representative	2	9
KOO Siu Kong	BJY470	Licensed Representative	9	
KUNG Andre Hoi Hang	BFT022	Licensed Representative		9
KWOK Chiu Ting	BEN180	Licensed Representative	9	
KWOK Kwan Kit	ART041	Licensed Representative	5	
KWOK Simon	AVQ920	Licensed Representative		1
LAI Kam Hung	BGE016	Licensed Representative	10	4
LAM Chi Lam	AYJ114	Licensed Representative	9	1
LAM Sui Hong	BIX243	Licensed Representative		4



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
LAM Tze Him, Timothy	ASU235	Licensed Representative	1	
LAM Wilson	AAM293	Licensed Representative	4	
LAU Cheuk Ho	AZL247	Licensed Representative		4
LAU Chi Ching	APF062	Licensed Representative		1
LAU Ching Yin Judy	AFT514	Licensed Representative	4, 9	
LAU Ka Yu	BGL391	Licensed Representative	4	
LAU Kwun Shing	AYG096	Licensed Representative	3	
LAU Siu Ki	AAW465	Licensed Representative		4
LAU Sze Man, Geri	BIX784	Licensed Representative		4
LAU Wa Ching	BDJ444	Licensed Representative	4	
LAU Wai Ho	BIJ840	Licensed Representative	1	
LAW Fung Ling, Viola	AME281	Licensed Representative	2	
LAW I Lung	BFN654	Licensed Representative		2, 4, 9
LAW Man Fai	BHL026	Licensed Representative		2
LAW Pui Fai	BAL426	Licensed Representative	3	
LE Ying	BBZ172	Licensed Representative	4	
LEAREY Dominic	BJQ653	Licensed Representative	1, 7	
LEE Hoi Ying	AOV787	Licensed Representative		2
LEE Jae Ho	BHO393	Licensed Representative		1, 9
LEE Ji Su	BDE438	Licensed Representative		2
LEE Ka Wo	AUX259	Licensed Representative	2	
LEE Kin Ming, Emily	ACJ595	Licensed Representative		9
LEE Shu Fan	AVZ082	Licensed Representative		3
LEE Wai Kin	AYA158	Licensed Representative	4	
LEE Wai Kit	AEY372	Licensed Representative	4	
LEE Wo Chiu	BCM667	Licensed Representative	1	
LEE Yick Chung	AEE525	Licensed Representative	4	
LEI Ho Chun	ATY002	Licensed Representative	9	
LENTON James Christopher	AZC997	Licensed Representative	9	2
LEUNG CHAN Jaime	AOA960	Licensed Representative	2, 4, 5	
LEUNG Ka Yee Andrew	ALK461	Licensed Representative	1	
LEUNG Man Wai	AEU886	Licensed Representative		1, 2
LEUNG Wai Ting	BAV467	Licensed Representative	1	4, 9
LEUNG Yan Kin	ARI557	Licensed Representative		2
LEUNG Yin Wing	ACD641	Licensed Representative		1, 2
LI Binhan	BGQ760	Licensed Representative		2
LI Chun	BJA050	Licensed Representative	2	
LI Ho Fung	AZS874	Licensed Representative	1, 4	
LI Hoi	BBR401	Licensed Representative	4	
LI On Ki	ANA057	Licensed Representative	1	
LI Wai Kwan	ALU154	Licensed Representative	6	1, 9
LI Yu Wing	BBX327	Licensed Representative	5	
LI Ziyong	AYS196	Licensed Representative		1, 4
LIAO Chien Chang	BHM367	Licensed Representative	4, 9	1
LIEM Chung Wong, Jasper	APY809	Licensed Representative		1
LIN Chi-Hsuan	BHF100	Licensed Representative	2	
LIN Chun Keung	BBH297	Licensed Representative	3	
LIN Yen Yu	BJH129	Licensed Representative	6	
LIN Yongqin	BHH381	Licensed Representative	1, 4, 5	
LIU Dongbo	BAP245	Licensed Representative	4	
LIU Hanhua	AUW243	Licensed Representative		1, 4
LIU Shuk Ming, Angie	AYW745	Licensed Representative	3	
LIU Yingxi	BFZ062	Licensed Representative	9	1, 2
LIU Yu	BFW672	Licensed Representative	9	
LIU Zhihan	BCY179	Licensed Representative	6	4
LO Chau Wai	ASJ879	Licensed Representative	4	
LO Pik Ha, Helen	ANA705	Licensed Representative		2



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
LO Shuk Man, Charmaine	ANT856	Licensed Representative	4	
LOK Chi Lai, Jason	ALO210	Licensed Representative	4	
LOK Chin Tung, Terence	BAI193	Licensed Representative	1, 6	4
LU Shiwei	BFZ179	Licensed Representative		4
LUI Chit Kin	BGQ580	Licensed Representative	4, 5	
LUI Kwok Him	BCL478	Licensed Representative	2	
LUO Junyao	BGB505	Licensed Representative	1	10
MA Jin	BCZ314	Licensed Representative	6	
MA Man Chi	ADL656	Licensed Representative		2
MAK Pui Hang Eric	APQ674	Licensed Representative	4	2
MAK Yin Chong	ATX309	Licensed Representative		4
MEI Yuan	BGI023	Licensed Representative	1	
MILES Ashley James	ARD708	Licensed Representative		2
MOK Yue Pang	APJ712	Licensed Representative	2, 5, 9	
MOLDOVAN Jonathan	ASZ094	Licensed Representative	9	1, 2, 7
MOTOTANI Daisuke	AZU889	Licensed Representative		2, 5
MURPHY Donough Thomas	AOX162	Licensed Representative		1, 2
NG Ka Chon	BCC410	Licensed Representative	4	2
NG Kim Fung, Jason	BGG503	Licensed Representative		2, 4
NG Kwok Kit	AYZ317	Licensed Representative		1
NG Man Ho	BEZ150	Licensed Representative	1, 9	
NG Siu Hin, Stanley	APC625	Licensed Representative	1	
NG Siu Wai	AWX842	Licensed Representative	4	
NG Suk Yee, Amanda	ATO201	Licensed Representative	4	
NIU Nianzong	AZN490	Licensed Representative	4, 6	
PAN Yunxiu	BHI165	Licensed Representative		4, 6
PANG Chi Wing, Victor	AKL738	Licensed Representative	1, 4	
PARK Carol Lee	AGL373	Licensed Representative	1	
PARK Gregory	AEI659	Licensed Representative	1	
PATTAR Jasvinder Singh	ALE828	Licensed Representative	1	
PENG Xiaoting	BGN039	Licensed Representative	4	
PIDGEON Andrew Geoffrey	APZ788	Licensed Representative	9	1, 2
POON Ka Wing	ATS954	Licensed Representative	5	
POON Po Lan	ABV535	Licensed Representative	2	
QIN Fen	BGA853	Licensed Representative	4	
QUAN King Yut	BIL826	Licensed Representative		4
REN Huajin	BBB773	Licensed Representative	4	
SANDERSON Edward John	BEC483	Licensed Representative		7
SANDHU Palbinder	BAB479	Licensed Representative	9	
SANFT Erwin Ralph	AED179	Licensed Representative	4, 9	
SHAO Dan	BFH489	Licensed Representative	2	
SHAO Yuancheng	BFE479	Licensed Representative		1
SHEK Wing Kei	BAC230	Licensed Representative	4	
SHU Liangfeng	BGB337	Licensed Representative	6	2
SHUM Kit	AJD416	Licensed Representative	9	1, 4
SINGH Kaanhari	BHC208	Licensed Representative	7	
SNELGROVE Paul Rodger	AEE375	Licensed Representative		4
SO Po Ching	ALD639	Licensed Representative	4	
SONG Ting-Wen	APH123	Licensed Representative	2	
SONG Yingxi	BFE170	Licensed Representative	6	2
SU Xiaofan	BGN063	Licensed Representative	4, 6	
SUN Yuyin	BFP849	Licensed Representative	9	1, 4
SUNDARAM Roshan Ramesh	BF1969	Licensed Representative	7	
SUNG Siu Chung	BAE505	Licensed Representative	1	
SZE Chik Lim Jerry	BBY741	Licensed Representative		4
SZE Wai Lun	AZB035	Licensed Representative	9	
TAM Kai Yi, Kelly	AVE810	Licensed Representative		2



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
TAM King Yin, Kenneth	AQA664	Licensed Representative	2	
TAM Shing Tak	AUI999	Licensed Representative		2
TAN Honghong	AQM615	Licensed Representative		2
TAN Shih Min	BDF564	Licensed Representative		9
TAN Tian	BFZ369	Licensed Representative	4	
TANG Bolun	BGD485	Licensed Representative	9	
TANG Guyang	AVO764	Licensed Representative		2
TING Sai Man	ADZ993	Licensed Representative	5	
TO Pui Yan, Jessica	BGI638	Licensed Representative	2	
TO Ting Fung	AWJ946	Licensed Representative		3
TSANG Chi Keung	BJZ713	Licensed Representative	9	
TSANG Chui Wa	BGI770	Licensed Representative		9
TSANG Kwong Sun Patrick	BJI359	Licensed Representative		3
TSEA Po Kwan	AFT942	Licensed Representative	1, 4	
TSENG Chang Chun	BHG321	Licensed Representative	2, 5	1, 4
TSENG Tzu Wen, Maryann	AKI550	Licensed Representative		2
TSOI Hiu Ping Icey	BJT917	Licensed Representative	9	
TSUI Ho Yin	BIN084	Licensed Representative		1
TSUI Tung Hang	BIY626	Licensed Representative	4	
WAN Mengqi	BFY675	Licensed Representative	9	1, 4, 6
WANG Ao	BGT419	Licensed Representative		1
WANG Chenyi	BHO294	Licensed Representative		4
WANG Fang	BGV049	Licensed Representative		4
WANG Li	BIL829	Licensed Representative	6	9
WANG Liliang	BCY117	Licensed Representative	4	
WANG Yichen	BHF434	Licensed Representative	4	
WANG Yimin	AYC366	Licensed Representative		4
WANG Yuan	BFY612	Licensed Representative	9	6
WENG Wing Yee	BBT192	Licensed Representative		1
WENG Xingyu	BHT182	Licensed Representative	3	
WONG Anthony Way-choy	BHV377	Licensed Representative	1, 4, 5	
WONG Benny	BIT228	Licensed Representative	1	9
WONG Chi Yeung, Jackson	AHT199	Licensed Representative	4	
WONG Hoi Ki	AJO046	Licensed Representative		2
WONG Ka Hei	AVL307	Licensed Representative	2	
WONG Long Chun	BIO909	Licensed Representative	1, 3	
WONG Pik Yan	BHQ193	Licensed Representative		1
WONG Sung Chun	AVD101	Licensed Representative		2
WONG Wai Ho	BGK894	Licensed Representative		3
WONG Wai Wan	BHD770	Licensed Representative		4
WONG Wei Man	ANR767	Licensed Representative		3
WONG William	AQQ330	Licensed Representative	9	
WONG Yat Fun, Alfred	ALV390	Licensed Representative	9	
WOO Chi Wai	AFC530	Licensed Representative		4, 9
WOO Peter	ACY383	Licensed Representative		4
WU Lan	AXC526	Licensed Representative	1	
WUN Wai Yee, Duncan	AAD933	Licensed Representative		1, 4
XIA Danning	BHY439	Licensed Representative	2	
XIA Tenglei	BIH760	Licensed Representative	3	
XIA Yang	ALN489	Licensed Representative		1
XIAO Qian	BGA973	Licensed Representative	1, 6	4
XIONG Liting	AWT047	Licensed Representative	2, 5, 6	
XU Wenyan	BHL202	Licensed Representative		6
YANG Guang	BEK836	Licensed Representative	9	1
YANG Zijiang	BEW109	Licensed Representative	1	
YAU Chung Wai	AYF518	Licensed Representative		1, 2
YE Haodi	BCC156	Licensed Representative		4, 6



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CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
YE Peilin	BGD803	Licensed Representative	1, 4	
YEUNG Hon Keung	AHZ655	Licensed Representative		4
YEUNG Kai Yin	ADU464	Licensed Representative	2, 9	
YEUNG Kim Wa	AWJ986	Licensed Representative		2
YEUNG Man Wai Winnie	BHU833	Licensed Representative	1, 9	
YEUNG Sau Yin	BBJ902	Licensed Representative		2
YEUNG Yim Ying	AFO268	Licensed Representative	2	
YIM Siu Hong	AIC803	Licensed Representative		1, 2
YIU Chin Keung	APN538	Licensed Representative		1
YU Lidong	BGG859	Licensed Representative	9	
YU Meiqin	BBU306	Licensed Representative	1	
YU Tianbo	BIO480	Licensed Representative		1
YU Wan Fung	BEJ358	Licensed Representative		2, 9
YU Wei Sung, Vivien	AVN406	Licensed Representative		9
YU Xue	BEV969	Licensed Representative	1	
YU Yang	BKB919	Licensed Representative	9	
YU Yuk Ching	BFJ165	Licensed Representative	9	
YUAN Yixuan	BHU675	Licensed Representative	4, 6	
YUEN Ka Chung	ARD624	Licensed Representative	4, 9	
YUNG Wan Seen Stephanie	BGL306	Licensed Representative		9
YUNG Yu Ming	AMU880	Licensed Representative		1
ZENG Dezheng	BEG597	Licensed Representative	9	1, 2
ZENG Zixiao	BJA041	Licensed Representative	1, 2	9
ZHANG Ningxiang	APZ631	Licensed Representative		4, 5
ZHANG Ruizhi	BIY029	Licensed Representative		2
ZHANG Ruolan	BER414	Licensed Representative	2	