


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



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017

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



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017

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



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017

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



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017

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



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2017

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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CE Name	CE No.	Licence Type	Types of Regulated Activity
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



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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 Qiuje	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
CONNELY 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 shihujun	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 Siang 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	AZ1961	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 Gooek	BLD547	Licensed Representative (Temporary Licence)	4
JIP Allan	AGL440	Licensed Representative (Temporary Licence)	2, 5
KAROFISKY 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 Yukihiko	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 Hauston	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**

CE Name	CE No.	Licence Type	Types of Regulated Activity
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