



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

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



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CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
CHIN Yin Chong	BDX129	Licensed Representative	2	
CHIU Wing Nga, Rita	AUR827	Licensed Representative		1
CHO Chun Yin	BGA971	Licensed Representative	4	
CHO Lok Sze, Rozina	AEH807	Licensed Representative	4, 9	
CHOI Yun Jung	BDY634	Licensed Representative	1, 4	
CHONG Wah Yeung	AJH301	Licensed Representative		2
CHOW Chi Wing, Simon	ALH859	Licensed Representative		2
CHOW Lai Yan	BHU751	Licensed Representative	2	
CHOW Wing Yan, Joseph	AQZ664	Licensed Representative		1
CHOY Ching Fai	BBL230	Licensed Representative	9	1
CHU Chun Hin, Steven	AMS312	Licensed Representative		6
CHU Yat Ming	ARB850	Licensed Representative	9	
DA Yang	BBZ357	Licensed Representative		1, 2, 4
DAMEK Tobias Ernst Chun	AOE807	Licensed Representative	1	
DAVIES Anthony Miles	AAV788	Licensed Representative		2
DENNIS Michael Richard	BBG661	Licensed Representative		9
DHARMA Ronny Budi	ARQ974	Licensed Representative	4, 5	
DONG Gang	AYN373	Licensed Representative		1
DONG Xiaohui	AZX292	Licensed Representative		6
FAN Kwan Ho	AQL336	Licensed Representative	9	
FANG Cheng	AKP392	Licensed Representative		1
FENG Sib0	AYO564	Licensed Representative		4
FONG Wai Lok, Raymond	AFT306	Licensed Representative		2, 4, 9
FUNG Ka Wan	BBK338	Licensed Representative	2	
FUNG Yuen Ying	BFS536	Licensed Representative	4	6
GAN Ching Wai	AOG220	Licensed Representative	1, 9	
GAO Fei	BHU674	Licensed Representative	2	
GAO Wen	BHR562	Licensed Representative	1	
HAU Chun Wai, William	ACX033	Licensed Representative		1, 2
HEUNG Ho Pong	ATL988	Licensed Representative	4	
HO Kwok Kei	ACI600	Licensed Representative	1	
HO Sancho Shang Da	AZB616	Licensed Representative		1
HO Ting Kay	AEH400	Licensed Representative		1
HO Ting Kit	ALW988	Licensed Representative	4	
HU Yang	BEB771	Licensed Representative	1, 4	
HUA Zhenyu	BGF983	Licensed Representative	1	
HUANG Huei-Hung	ATM961	Licensed Representative	4, 9	2
HUI Po Ming	AVU821	Licensed Representative	9	
HUI Sai Kit	BHQ315	Licensed Representative		2
HUO Xintong	BCE499	Licensed Representative	6	
JI Weiqing	BGM937	Licensed Representative	9	
KAN Tung Fai	AOQ748	Licensed Representative	2	4
KO Oi Na	ALF942	Licensed Representative		1, 2, 5
KO Ying, Christine	ARI201	Licensed Representative		1
KONG Ming Yee	AUJ982	Licensed Representative		4
KUANG Tao	AWL776	Licensed Representative	4	
KUNGSEN David Sinyuan	BDI064	Licensed Representative	4	
KWAN Lim Pong	ALL139	Licensed Representative		1, 4
KWONG Wang Pok	AAD943	Licensed Representative	4, 9	6
LAI Chi Hoi	APW068	Licensed Representative	4	
LAI Gordon Yat Hung	AQS197	Licensed Representative	2	
LAI Ka Chung	BFU181	Licensed Representative		9
LAI Wen Ting	BII960	Licensed Representative	2	
LAM Chi Yeung	BBL717	Licensed Representative	1, 9	
LAM King Wu	ANK149	Licensed Representative	1	
LAM Man Kwong, David	ADI854	Licensed Representative	1, 4	
LANE Graeme John	AOG216	Licensed Representative		4



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

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
LAU Cheung Kei	BEJ195	Licensed Representative		2
LAU Ka Ho	API028	Licensed Representative	2	
LAU Ka Pan	AXS397	Licensed Representative		2
LAU Kendrick Nam Fun	BAU635	Licensed Representative	4	1, 2
LAW Chi Ho	BGC796	Licensed Representative	1	
LAW Raphael Benjamin Charles	AXS913	Licensed Representative	2, 7	
LEE Chun Him	BCE890	Licensed Representative	4	
LEE Kwok Kin Dominic	BDE577	Licensed Representative	2	
LEE Man Wai	AXE876	Licensed Representative	5	
LEE Mona	BBP018	Licensed Representative		1
LEE Siu Tung Close	BIJ781	Licensed Representative	2	
LEE Wai Fun	ACK112	Licensed Representative	9	
LEE Wai Man	ACR865	Licensed Representative		4
LEUNG Hung Kit	ARO391	Licensed Representative	2	
LEUNG Ka Man	ANG569	Licensed Representative	2	
LEUNG Kit Yee, Elka	AMW549	Licensed Representative		1
LEUNG Ming Hin, Terence	BGZ164	Licensed Representative		2, 5
LEUNG Pak Wah	ANO983	Licensed Representative		2, 4
LEUNG Terence Ho Chi	APF834	Licensed Representative	9	1, 4, 6
LI Chun Wai	AOL205	Licensed Representative	4	
LI Lok Tao, Louis	BCP052	Licensed Representative	9	
LI Qiaohan	BBS888	Licensed Representative		9
LIANG Liang	AUM947	Licensed Representative	1	
LIM Julian Frederick Yu	AVW353	Licensed Representative		2
LIN King Ham, Kingston	AEF252	Licensed Representative		4, 9
LIN Yinfu	BCO458	Licensed Representative	2	
LING Man Ping	AZB304	Licensed Representative		4
LING Wai Yan, Erica	AXM306	Licensed Representative	1, 4	
LIU Ren	AZC071	Licensed Representative		2, 4, 9
LIU Steven	BEZ294	Licensed Representative	9	1, 6
LIU Xiaoxin	BGC394	Licensed Representative		1
LO Kai Chung	AJN343	Licensed Representative	1	
LOK Chiu Chan	BBB171	Licensed Representative		1, 2
LOK Siu Kee	ACQ301	Licensed Representative		2, 4
LU Hsiao-Wen	AMT861	Licensed Representative		9
LUI Kin Wai	ANM045	Licensed Representative		1
LUI Kwan Kit	ASF503	Licensed Representative	2, 5	
MAN Kong Sing	BBQ351	Licensed Representative	9	1, 4, 6
MAN Kong Yui	ABV019	Licensed Representative		4
MAN Sing Wa	AOX779	Licensed Representative	9	1, 2
MIU Tsz Wai, Fanky	AML491	Licensed Representative	4	
MOHINANI Pradeep	AEN512	Licensed Representative	1	
MOK Tsz Ho	BBY219	Licensed Representative	1, 6	
MORRIS Robert	AZM831	Licensed Representative	4, 5, 9	1, 2
NG Chak Chung	AGK907	Licensed Representative		6
NG Siu Kei	AUD457	Licensed Representative	9	
NG Wai Kit	AVT524	Licensed Representative		2
NGAI Chun Tong	BCD707	Licensed Representative	9	
NGAN Kin Fung	AMI028	Licensed Representative		4
NI Xiang Feng	AFY231	Licensed Representative		2
NIE Shengshen	AVL824	Licensed Representative	9	
PAN Xingdong	BAA717	Licensed Representative	1, 4	
PAPADOPOULOS Jessica Carolyn Cutrera	AQS802	Licensed Representative		6
POON Tin Ching	APR858	Licensed Representative		2
POULIOT Stefan Andre	BEU006	Licensed Representative	1, 2	6
QIAO Ke	BGR513	Licensed Representative		5
REN Yi	BBQ302	Licensed Representative	4	



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

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
SAMUEL Jacob	ANJ557	Licensed Representative	1	
SHAM Ho Lun, Hans	AUX151	Licensed Representative		9
SHAO Wei	BCI337	Licensed Representative	4	
SHERRILL Andrew	ABR572	Licensed Representative		4, 6
SHI Lingyi	AZR299	Licensed Representative	4	
SHUM Fuk Min	BID161	Licensed Representative	2	
SIEH Ching Ha, Sandy	ADE343	Licensed Representative	2	
SINN Tak Yu	AFN202	Licensed Representative	2	
SO Hing Fai	BDQ948	Licensed Representative	2	
SO Kwok Keung	ABP335	Licensed Representative		2, 4, 9
SO Man Ying	BHR648	Licensed Representative		1
SO Shun Tak	ANJ837	Licensed Representative	9	
SUN Qiwen	BHZ320	Licensed Representative	2	
SUN Ziyi	BHQ132	Licensed Representative	4	
TAM Cheung Wan	BDO128	Licensed Representative	4, 9	1, 2
TAM Lik Wai, Aleck	AMM346	Licensed Representative	4	2
TANG Kin Chor	ACH809	Licensed Representative	4	
TANG Kwan Hui, Ronny	AEP269	Licensed Representative	6	
THAM Wai Ming	BAZ626	Licensed Representative	4	
TING Wai Lok	BAG338	Licensed Representative	2	
TONG Hoi Wang	BAB483	Licensed Representative	2	
TONG Leung Kwing	AIL180	Licensed Representative		1
TSAI Jack Du	AHR672	Licensed Representative	9	
TSANG Man Shun	AFS253	Licensed Representative		1
TSANG Ming Fung	ANR264	Licensed Representative	4, 9	
TSE Shuk Yee Connie	ADK260	Licensed Representative	2	
TUNG Peter Tze-Chung	ACO908	Licensed Representative	1	
UMALI Jonathan Espinili	AYA900	Licensed Representative	4	
VIJAYANT Aashutosh	AVA402	Licensed Representative	9	1, 2
WANG Dong	BHR911	Licensed Representative		1
WANG Hongrui	BFH177	Licensed Representative	3	
WANG Li-Jen	AVH868	Licensed Representative		1, 2
WANG Pingping	AQI580	Licensed Representative	1, 4	
WANG Xiaofan	ATR687	Licensed Representative		2
WANG Xingxing	AWS124	Licensed Representative	4, 5, 9	2
WANG Ya Ya	ARO574	Licensed Representative		2
WANG Yayuan	ARM817	Licensed Representative	9	
WIJONO Rizal	ADT339	Licensed Representative		1
WONG Chung Hym	AOP206	Licensed Representative	2	
WONG Foelan	ADQ592	Licensed Representative		2, 5
WONG Kin Chun, Gilbert	AAI303	Licensed Representative		9
WONG Kin Wai	BHQ336	Licensed Representative	4	
WONG Mei Ning	AXJ864	Licensed Representative		2
WONG Tsz Wai	AYJ435	Licensed Representative		2
WONG Wai Ching, Kenman	ADJ032	Licensed Representative		1
WONG Wai Ho	AUQ931	Licensed Representative	5	
WONG Wing Kwan	AXH995	Licensed Representative	4, 9	
WU Qian	BCB896	Licensed Representative		1
WU Shanshan	ATQ890	Licensed Representative	7	
XIANG Yuqiu	ARF778	Licensed Representative		1, 6
XU Yimei	BEO864	Licensed Representative	1, 4, 9	10
YABUT Vivian Chan	ASM299	Licensed Representative	7	
YAN Han	BFN097	Licensed Representative	4	9
YAU Wai Ching, Vincent	AYB009	Licensed Representative		4
YEO Zhi Aik	AVN113	Licensed Representative	9	
YEUNG Wai Fai, Andrew	AFU161	Licensed Representative		1
YING Yik Hung	AAK817	Licensed Representative	9	



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

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
YIP Ho Pak	BFU720	Licensed Representative		1
YIP Ka Lung	ADZ376	Licensed Representative		2
YIP Lai Sang, Kelvin	AHG862	Licensed Representative	4	
YIU Ka Po	BGE288	Licensed Representative	1	
YOU Jian	BDD076	Licensed Representative		1
YU Chung Hang	AXF399	Licensed Representative	1	
YU Ka Ho, Bernard	AQR189	Licensed Representative	2	
YU Lijie	AUX358	Licensed Representative	9	
YU Xiaojing	BDV518	Licensed Representative	9	1, 4, 6
YU Ziyi	BFX990	Licensed Representative	4	
YUAN Yongsheng	BHV552	Licensed Representative	2	
YUEN Che Hay	AWA517	Licensed Representative		1
YUEN Zit Tun	BFH968	Licensed Representative		1
ZANG Junyi	AZX276	Licensed Representative	9	6
ZENG Lu	BBB067	Licensed Representative		5
ZHANG Jialin	AYM827	Licensed Representative		4
ZHANG Jingyan	BEJ967	Licensed Representative	4	
ZHANG Lily Xun	AIR660	Licensed Representative	6	
ZHAO Wenxiu	BBU280	Licensed Representative	1	4, 9
ZHOU Yanwei	BHF307	Licensed Representative	4	
ANANTHARAM Vishweshwar	ATM017	Licensed Representative - Responsible Officer	9	
CAIRNS Peter Christopher	ADN194	Licensed Representative - Responsible Officer	1	
CHAN Chi Bun	AZR722	Licensed Representative - Responsible Officer	4	
CHAN Chi Hang	AVA036	Licensed Representative - Responsible Officer	2	
CHAN Lai Man	ASS908	Licensed Representative - Responsible Officer	4, 5	
CHAN Mo Kit	ANZ958	Licensed Representative - Responsible Officer	4	
CHEN Kai	AIC597	Licensed Representative - Responsible Officer	9	
CHEUNG Man	AWL487	Licensed Representative - Responsible Officer	9	
CHOI Chi Tsung, Eric	ANX201	Licensed Representative - Responsible Officer	1, 2	
CHONG Alvin	AZJ073	Licensed Representative - Responsible Officer	4	
CHONG Chin	AAC622	Licensed Representative - Responsible Officer	4	
CHONG Wah Yeung	AJH301	Licensed Representative - Responsible Officer	4	
CHOW Alice Wai Yin	AMO986	Licensed Representative - Responsible Officer	4	
CHU Chun Yi	ARM915	Licensed Representative - Responsible Officer	1, 4	
CHUNG Scott Young	BCI169	Licensed Representative - Responsible Officer	1, 4	
CHUNG Yi To	ADQ004	Licensed Representative - Responsible Officer	4	
DAVIES Anthony Miles	AAV788	Licensed Representative - Responsible Officer	4	
DESMIDT Marc Bovell Paul	ACP019	Licensed Representative - Responsible Officer	1, 2	
DO Khiem Trong	ADT127	Licensed Representative - Responsible Officer	2	
HASHIZUME Kenji	APF662	Licensed Representative - Responsible Officer	1	
HAU Chun Wai, William	ACX033	Licensed Representative - Responsible Officer	9	
HEUNG Ho Pong	ATL988	Licensed Representative - Responsible Officer	2	
HO Chi Ming, Tony	APH801	Licensed Representative - Responsible Officer	4	
HO Hin Hang	AVH028	Licensed Representative - Responsible Officer	4, 5	
HUANG Da Wei	BCC169	Licensed Representative - Responsible Officer	4	
IP Hung Kei	ARO056	Licensed Representative - Responsible Officer	1	
KONG Jin Jean	AOU116	Licensed Representative - Responsible Officer	1	
KWAN Ka Chung	AEE606	Licensed Representative - Responsible Officer	4	
KWAN Lim Pong	ALL139	Licensed Representative - Responsible Officer	5	
LAM Chat Yu	ADB487	Licensed Representative - Responsible Officer	4	
LAM Frewen	AOY572	Licensed Representative - Responsible Officer	1, 9	
LEE Man Kit, Peter	AYV999	Licensed Representative - Responsible Officer		1, 4
LEE Wai Man	ACR865	Licensed Representative - Responsible Officer	4, 5	
LEUNG Chi Ming	AAF501	Licensed Representative - Responsible Officer	9	
LU Yilin	AOG682	Licensed Representative - Responsible Officer	4	
LUI Chi Lung Louis	AGT091	Licensed Representative - Responsible Officer	2, 5	
LUI Kin Wai	ANM045	Licensed Representative - Responsible Officer	4	



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CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
MA Kam Chuen	AAW418	Licensed Representative - Responsible Officer		2, 5
MATHUR Rajnish Dayal	AQH125	Licensed Representative - Responsible Officer	4	
MING Xiaochong	AON935	Licensed Representative - Responsible Officer	5	
NG Hong Wing	ADU475	Licensed Representative - Responsible Officer		2
NG Shaw Yun	BGH309	Licensed Representative - Responsible Officer	1, 9	
NGUYEN Gia Vinh, Patrick	ALI719	Licensed Representative - Responsible Officer	4	
PANG Lai Kwan	AUV853	Licensed Representative - Responsible Officer	4	
PAO Lik	AEY552	Licensed Representative - Responsible Officer	9	
RENNIE Andrew Kenneth	AYR079	Licensed Representative - Responsible Officer	2	
SCHWARTZ III Harold Alan	BCI160	Licensed Representative - Responsible Officer	1, 4	
SHI Zhen	AYK898	Licensed Representative - Responsible Officer	5	
SHIMODE Tetsuya	BCI692	Licensed Representative - Responsible Officer	1	
SIU Kai Chi, Jimmy	ADF274	Licensed Representative - Responsible Officer	4	
TANG Chi Hong	AAF883	Licensed Representative - Responsible Officer	2, 5	
TANG Kwan Hui, Ronny	AEP269	Licensed Representative - Responsible Officer	9	
TSANG Man Sang	AFC688	Licensed Representative - Responsible Officer	9	
VOURLUMIS Andreas	ANL079	Licensed Representative - Responsible Officer	1	
WANG Li-wen	AGP525	Licensed Representative - Responsible Officer		6
WONG Ching Him	AEB025	Licensed Representative - Responsible Officer	1	
WONG Shing Kit, Shirley	APL786	Licensed Representative - Responsible Officer	9	
WONG Siu Leung	ANK932	Licensed Representative - Responsible Officer	9	
WONG Wah	AFD156	Licensed Representative - Responsible Officer	4	
YANG Wenhuan	ALL166	Licensed Representative - Responsible Officer	3	
YAO Sze Ling	ABQ898	Licensed Representative - Responsible Officer	4	
YEUNG Wan Yiu	ADY321	Licensed Representative - Responsible Officer	1, 4	
YU Jin	AQP649	Licensed Representative - Responsible Officer	4	
HUANG Qiqi	BIO245	Licensed Representative (Provisional Licence)	2	
LIANG Yue	BIL738	Licensed Representative (Provisional Licence)	4	
Barclays Bank PLC	AAJ160	Registered Institution		9