



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2017

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
Abundancia Global Asset Management (Hong Kong) Limited	BBT933	Licensed Corporation		5
ADS Securities Hong Kong Limited	AXC847	Licensed Corporation	6	
Cazenove Capital Management Asia Limited	BAS656	Licensed Corporation	1, 4	
China Goldjoy Securities Limited	AEZ062	Licensed Corporation	6	
China Silk Road International Capital Limited	AEG139	Licensed Corporation	1	
Eastern Marathon Investment Management (Hong Kong) Company Limited	AQS566	Licensed Corporation		4
HGNH International Asset Management Co., Limited	AXY831	Licensed Corporation	4	
Holly Su Futures (Hongkong) Co., Limited	AYT086	Licensed Corporation	1	
Panhou International Securities Limited	BHJ191	Licensed Corporation	2	
ALBERGO Christopher John	APN792	Licensed Representative		1, 6
ALLDIS Theron Charles	BDM985	Licensed Representative	9	
AU Andrew	AGA691	Licensed Representative	1, 4	
AU Kin Tak	ANQ975	Licensed Representative	4	
BLENNERHASSETT David James	ADF976	Licensed Representative	4	1
CAO Wenwen	BEE556	Licensed Representative	4	
CHAN Chi Keung	ARJ968	Licensed Representative		2
CHAN Hiu Shan	AXG598	Licensed Representative	4	
CHAN Hon Fai	BEC879	Licensed Representative	9	2, 4
CHAN Lap Chung	AIJ099	Licensed Representative	1	
CHAN Pak Ming	AXI906	Licensed Representative	3	
CHAN Ping Ling	AIJ333	Licensed Representative	2	
CHAN Shu Fung	BDJ926	Licensed Representative	5	
CHAN Siu Kuen	AOU141	Licensed Representative	4	
CHAN Tsang	AOR054	Licensed Representative	4	
CHAN Yuk Sing	BFD659	Licensed Representative		1, 3
CHANG Chun Ming, Jeffrey	BDZ172	Licensed Representative	2	
CHANG Yan Wing	ADX897	Licensed Representative		2, 4
CHEN Ying	AYR997	Licensed Representative	1	
CHEN Yu-Wen	BEH823	Licensed Representative	10	4
CHENG Andes	AEJ691	Licensed Representative	4	
CHENG Cheng	BGE030	Licensed Representative		6
CHENG Kwok Sum	AXR842	Licensed Representative	4, 9	1
CHENG Tze Bun	AZC905	Licensed Representative		2
CHEUNG Hung Fat	AAA157	Licensed Representative		1
CHEUNG Ka Ho	AYH663	Licensed Representative	4, 5	
CHEUNG Pui Kwan	ACT768	Licensed Representative		2
CHEUNG Wai Kwok, Gary	AAC469	Licensed Representative		2, 3
CHIANG Kam Wah	BFL529	Licensed Representative	9	
CHIN Michael Geng	AYR641	Licensed Representative	1	4
CHIU Wei Long, Antony	AXC275	Licensed Representative		7
CHIU Yen-Jung	AYA137	Licensed Representative	2, 5	
CHOI Kam Yan Simon	BFY151	Licensed Representative		2
CHOW Wai Kei, Ricky	ACG060	Licensed Representative		4, 6
CHRISTIANAKIS Leonidas Ioannis	ABM128	Licensed Representative		2
CHUI Chun Kit	AZW913	Licensed Representative	5	
CHUI Tat Fai	AGO748	Licensed Representative	4	
CHUI Ting On	AVI585	Licensed Representative	9	
CHUN Jongbo	BDR033	Licensed Representative		2
DAVID Martin	ASF044	Licensed Representative	9	
DENG Yuekai	BGE282	Licensed Representative		2
DOOLEY Daniel Joseph	BCI179	Licensed Representative	1, 4	
DOU Dou	BHY623	Licensed Representative	4	
EGUCHI Sei	BCD377	Licensed Representative	1	
FANG Xiangying	BGK323	Licensed Representative	4	
FENG Li	BFN011	Licensed Representative	4	
FENG Zhongyang	AMD115	Licensed Representative		4



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CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
FOK Mei Kwan Anna	AYT875	Licensed Representative	1, 2	
FONG Hi Man	BHM953	Licensed Representative	2	
FONG Kam Yiu	AYK944	Licensed Representative		3
FOO Cheuk Hang, Frankie	AFG802	Licensed Representative	9	
FU Ming	ATI402	Licensed Representative	9	
FU Pingcheng	BGB981	Licensed Representative		1, 2
FUNG Kin Wing	ANY399	Licensed Representative	1, 9	
FUNG Wing Kit	ALY311	Licensed Representative		2
GE Yao	BDY307	Licensed Representative	9	
GORDON Glen	AWT838	Licensed Representative		1
GUO Lulu	BBU880	Licensed Representative	1, 9	
GUO Ying	BEW199	Licensed Representative	9	1, 2
HAN Tongli	AZI771	Licensed Representative		1
HE Siyang	BGE017	Licensed Representative	1	
HO Chi Ming, Tony	APH801	Licensed Representative	9	
HO Hung Wei	BDI075	Licensed Representative	2, 5	
HO Kum Loon, Patrick	AGH918	Licensed Representative		1
HO Shing Yan William	BED044	Licensed Representative		2
HO Tsz Shek	BAM248	Licensed Representative	9	2
HOR Kin Hung	AOT575	Licensed Representative	9	
HSU Jeffrey	AOX188	Licensed Representative		2
HU Kailun	BGI934	Licensed Representative	6	2
HUANG Suling	BGZ774	Licensed Representative	4	
HUANG Wei Meng	BFD871	Licensed Representative	9	
HUANG Xiaoyi	BFA540	Licensed Representative	1, 2, 4	9
HUI Ka Yan	BEX260	Licensed Representative		2
HUI Kin Hei, Kenneth	AFE701	Licensed Representative	4	
IP Kwai Chun	BEO313	Licensed Representative	5	
IP Ming Kin	AKT999	Licensed Representative		2
JEON Woonki	BFT921	Licensed Representative	9	1, 2
JIA Maoshi	BBY632	Licensed Representative		6
JIN Xiaojing	BIG115	Licensed Representative	9	1, 6
JING Jing	BDM055	Licensed Representative	9	
JONES Edward Harry James	AVV550	Licensed Representative	4	2, 7
KIM Sung Gi	BBN655	Licensed Representative		2
KONG Billy	BHZ645	Licensed Representative	9	
KONG Chiu San, Raymond	AAH157	Licensed Representative		9
KUNG Wai Ling	AEU211	Licensed Representative		4, 9
KWOK Chi Yeung	AOV745	Licensed Representative		2, 4, 5
KWOK Suk Yu	ASS940	Licensed Representative		2
KWOK Sze Kong	AJO748	Licensed Representative		1, 2, 3, 5
KWONG Wai Chun	BHX280	Licensed Representative	2	
LAI Yuen Chun	AMO727	Licensed Representative	2	
LAM Chi Wai	AKX862	Licensed Representative		2, 3
LAM Choi Wan	AXZ195	Licensed Representative	6	
LAM Chun Kwok, Jimmy	AEY314	Licensed Representative	1, 9	
LAM Fat, Charles	AGQ583	Licensed Representative		4, 6, 9
LAM Ka Li	BDX792	Licensed Representative	2	
LAM To Hing	BCT899	Licensed Representative	1	
LAM Yik Wa	AWH855	Licensed Representative	4, 9	
LANG Zhen	ATY003	Licensed Representative	4	1
LAO Helen Hon Lam	BGN421	Licensed Representative	1, 2	
LAO Woon Yu, Susan	ADF381	Licensed Representative		1, 4
LAU Nam Lung, Humphrey	ALK811	Licensed Representative		2
LAU Siu Fai	ADA388	Licensed Representative	9	
LAU Wai Kin, Jennifer	AQD869	Licensed Representative	1, 2	
LAU Wai Ming, Patrick	AFM339	Licensed Representative		4, 9



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2017

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
LAU Yau Wai, Jimmy	AHS952	Licensed Representative		1
LAW Fung Ling, Viola	AME281	Licensed Representative		2, 4
LAW Ka Lin, Louies	AFS788	Licensed Representative		4
LEE Ka Lun, Alan	APY434	Licensed Representative	9	
LEE Man Ho	BFW318	Licensed Representative	9	
LEE Shu Fan	AVZ082	Licensed Representative	3	
LEE Tin Yau, Eugene	ADV918	Licensed Representative		4
LEE Wing Shing	AJD174	Licensed Representative		2
LEUNG Chi Yung	BGE648	Licensed Representative		2
LEUNG Hiu Yen, Noel	AQF075	Licensed Representative		1
LEUNG Ho Wing	BHR780	Licensed Representative	9	
LEUNG Jason Cheuk-man	BHD226	Licensed Representative		2
LEUNG Su Lung	BGA561	Licensed Representative		2
LEUNG Yun Lung	ADI458	Licensed Representative		4
LI Chendi	BGB023	Licensed Representative	2	
LI Chi Ping	BCZ784	Licensed Representative	9	
LI Qiqi	BFO348	Licensed Representative	4	
LI Shuwan	BDK082	Licensed Representative		4
LI Tsz Keung	BGM151	Licensed Representative		1
LI Wing Chung	AVV403	Licensed Representative		4
LI Xin	BHY625	Licensed Representative	4	
LI Zhifeng	BAI763	Licensed Representative		4
LI Zhuoning	BHY505	Licensed Representative	6	4
LIANG Bingyu	BEL611	Licensed Representative		2
LIM Tak Hung	AXP028	Licensed Representative	4	2
LIN Diane Tingjun	BGH954	Licensed Representative	4	
LIN Kana	BDO347	Licensed Representative	1	
LIN Shan-Chih	BGY428	Licensed Representative	9	
LIN Xiaohan	BCH562	Licensed Representative	1	
LIN Ziqiao	BIG915	Licensed Representative		1
LING Yee Man, May	ANG116	Licensed Representative		2
LIU Chang	BAQ804	Licensed Representative	9	
LIU Fei	BDE493	Licensed Representative	4	
LIU Ta-Pei	ALL251	Licensed Representative		4
LIU Wing Yi	ARC090	Licensed Representative	4	
LIU Yun	AHS958	Licensed Representative		1
LO Chi Chung	ATJ130	Licensed Representative	1, 2	
LO Wai Lun	AVM934	Licensed Representative	5	
LO Yu Hin, Alvin	BHD848	Licensed Representative	4	
LONG Weili	ARM296	Licensed Representative		6
LU Yifu	BFM415	Licensed Representative	9	
LUCHANGCO Charles Ramon	ACN576	Licensed Representative		9
LUK Chin Man	BIE369	Licensed Representative	9	
LUK Ping Kwan	ATS091	Licensed Representative	5	
MA Lai Wan	APV055	Licensed Representative	9	
MACFARLANE Richard James	AAY378	Licensed Representative		2, 4, 7
MAK Tin Chak	BHP830	Licensed Representative	4	
MCDONALD Nicholas William	BBZ140	Licensed Representative		1, 4
MCDONOUGH Sean Joseph	APY383	Licensed Representative		7
MITCHELL Rupert Douglas Alexander	AFE722	Licensed Representative	4	1
MOK Wing Yan	BHL172	Licensed Representative	3	
MONDEN Yoshiaki	ADZ974	Licensed Representative	1, 2	
MYOUNG Cholong	BCF603	Licensed Representative		2
NAM Ka Keung	ABP669	Licensed Representative		1
NESBITT David McWilliams	AAH622	Licensed Representative		4, 6
NG Wai Ho	AVL488	Licensed Representative	5	
NGUYEN Ignace Nam	BAM034	Licensed Representative		4



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2017

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
NISHIO Yuki	ARW150	Licensed Representative	9	
OR Chi Hang	AOL351	Licensed Representative		4
OUYANG Puxi	BHV628	Licensed Representative		6
PALLET Todd Barry	ALN132	Licensed Representative		6
PANG Ching Yin	BGM277	Licensed Representative	2	
PANG Ka Kin	BBW419	Licensed Representative	1, 4	
PIH Hao Ming, Lawrence	ARN984	Licensed Representative	4	
PING Chi Chiu	BER405	Licensed Representative		1
QIN Xiaoxiao	BGJ086	Licensed Representative	4	
RAN Miao	BBN537	Licensed Representative	4	
ROBERTS John James	AQF225	Licensed Representative	1, 2	
ROGERS David Andrew	ATM320	Licensed Representative	2	
SHEN Xiaofeng	BCG366	Licensed Representative		1
SHEN Xiaomin	AJN697	Licensed Representative	4	
SIT David Zhe Ming	ASF399	Licensed Representative		2
SIU Tsi Ki, Queenie	ALQ743	Licensed Representative	2	
SIU Wing Hay	AEK600	Licensed Representative		1
SO Pui Yin	APO857	Licensed Representative	2	
STRABO Benjamin	ATO956	Licensed Representative		2, 7
SUEN Kin Pong	ACO272	Licensed Representative		2
SZE Kwan Yu, Jason	AXD898	Licensed Representative		2
SZE Ue Tung	BDU223	Licensed Representative	1, 2	
TAI Chuan-Huang	AQJ712	Licensed Representative	9	
TAM Mei Ki Cynthia	BF1754	Licensed Representative		4
TANG Ching Man, Cally	ABR236	Licensed Representative		4
TANG Kwan Wai	AOX764	Licensed Representative		9
TAY Soo Meng	AIC182	Licensed Representative	4, 9	
TIN Ka Ho, Edmond	AMJ254	Licensed Representative		1, 4
TING Po	BGT845	Licensed Representative	9	
TIU Chi Shing	AQZ645	Licensed Representative	4, 9	
TJIU Cheung Yung	BGF034	Licensed Representative		2
TONG Ngar Shun	AQP756	Licensed Representative	2	
TSANG Mo Chi	BF1060	Licensed Representative		2
TSANG Siu Hung, Simon	AAJ982	Licensed Representative		9
TSE King Fai, Philip	AGG695	Licensed Representative		9
TSE Wai Chor	BDL744	Licensed Representative	4, 9	
WANG Rui	BGP155	Licensed Representative	1	
WANG Shoulei	BDF251	Licensed Representative		6
WANG Yinghao	BGE289	Licensed Representative		2
WANG Zhe	BFG506	Licensed Representative	9	
WAT Hin Tat	AHJ231	Licensed Representative	4	
WONG Cheuk Wing	AVR144	Licensed Representative		3
WONG Ho Wai	BHJ814	Licensed Representative	1	
WONG Hon Kit	AHF688	Licensed Representative		1, 4
WONG Kim Sing	ALF360	Licensed Representative	4	2
WONG Kwok To	BIC259	Licensed Representative		6
WONG Man Ho	BEV529	Licensed Representative	1	9
WONG Man Yee, Paula	AQE956	Licensed Representative	1, 2	9
WONG Mei Ning	AXJ864	Licensed Representative	4, 9	
WONG Shu Sing	APD420	Licensed Representative	1, 4, 9	
WONG Tung	ANA986	Licensed Representative		1
WONG Wai King, Mona	ACG986	Licensed Representative		9
WONG Yan Shun	AXV863	Licensed Representative		9
WU Jianfei	BAZ794	Licensed Representative	4	
WU Xiyang	BFB077	Licensed Representative		1
WU Yanan	BHU997	Licensed Representative		6
XU Ce	ARG809	Licensed Representative		1



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CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
XU Chongfan	BBX582	Licensed Representative		1
YANG Chengcheng	BFY996	Licensed Representative	6	
YANG Xiaojing	AWN157	Licensed Representative		9
YAO Li	BGB019	Licensed Representative	4	
YEUNG Chin Fai	BID614	Licensed Representative		4, 5
YEUNG Tak Wah	ATR495	Licensed Representative	4	
YEUNG Wai Shum	APC729	Licensed Representative		9
YEUNG Yu Ching, Eugene	AKX412	Licensed Representative	4	
YIP Kai Pong	ATH923	Licensed Representative		4, 9
YIP Wing Chuen	AQO150	Licensed Representative	4, 9	
YOSHINO Ai	ARO626	Licensed Representative	1, 2	
YOUN Un Sik, Christian	ALV179	Licensed Representative	1, 2	4
YU Pak Lun	BBL881	Licensed Representative	3	
ZENG Linli	AXF647	Licensed Representative	9	
ZENG Youye	BFP406	Licensed Representative		9
ZHANG Feiran	BFU387	Licensed Representative	4, 9	1, 6
ZHANG Yuting	BBM640	Licensed Representative		2
ZHENG Boqing	BFE587	Licensed Representative	4	9
ZHONG Hao	BDB919	Licensed Representative	5	
ZHOU Yaxing	BGQ925	Licensed Representative	5	
ZHOU Zhou	BGL491	Licensed Representative	4	
ZHU Diyi	BEM409	Licensed Representative	4	1
ZHU Fengyin	BAF197	Licensed Representative	2, 4	
ZHU Wei	BFK558	Licensed Representative	9	6
BERY Varun Kumar	AEN850	Licensed Representative - Responsible Officer	9	
CHAN Nap Kee, Joseph	ABT746	Licensed Representative - Responsible Officer	4	
CHAU Yueh Jen	ACE585	Licensed Representative - Responsible Officer	1, 4	
CHEN Chien Chih	AKX325	Licensed Representative - Responsible Officer	4	
CHEUNG Chi Kong, Ronald	AEE551	Licensed Representative - Responsible Officer	4, 9	
CHEUNG Hung Fat	AAA157	Licensed Representative - Responsible Officer	9	
CHEUNG Yui Kai, Warren	ACX305	Licensed Representative - Responsible Officer	1	
CHOW Man Lung	AYA769	Licensed Representative - Responsible Officer	4	
CHU Kar Son	AUZ444	Licensed Representative - Responsible Officer	9	
CHUNG Man Him, James	ANK917	Licensed Representative - Responsible Officer	4	
COHEN Timothy Michael	BHS742	Licensed Representative - Responsible Officer	4	
DUDGEON Alexander Stewart	BAS658	Licensed Representative - Responsible Officer	1, 4	
FAN Chun Chiu	AXN054	Licensed Representative - Responsible Officer	1, 4, 5	
FOURDAN Jean-Francois Louis	ABW218	Licensed Representative - Responsible Officer	9	
HO Pak Hang	AOS315	Licensed Representative - Responsible Officer	2	
HO Wai Lun, Alan	AFA202	Licensed Representative - Responsible Officer	1	
HUI Chi Sum	AME974	Licensed Representative - Responsible Officer	4	
HUNG Hing Man	ABM858	Licensed Representative - Responsible Officer	9	
IP Chun Ho	ACJ705	Licensed Representative - Responsible Officer	5	
KONG Chiu San, Raymond	AAH157	Licensed Representative - Responsible Officer	6	
KONG Peng	AYA282	Licensed Representative - Responsible Officer		4
KWOK Wing Lun	AND706	Licensed Representative - Responsible Officer	9	
LEUNG Hiu Yen, Noel	AQF075	Licensed Representative - Responsible Officer	9	
LEUNG Pui Man	AFG786	Licensed Representative - Responsible Officer	9	
LEVIN Michael	AOT552	Licensed Representative - Responsible Officer	9	
LI Po Yi	AWQ112	Licensed Representative - Responsible Officer	4, 5	
LIM Tak Hung	AXP028	Licensed Representative - Responsible Officer	1	
LIN Xiaodong	AQU519	Licensed Representative - Responsible Officer	9	
LO Suet Ting, Sharon	AWH053	Licensed Representative - Responsible Officer	4	
LOO Chi Hang	AOC939	Licensed Representative - Responsible Officer	9	
LUCHANGCO Charles Ramon	ACN576	Licensed Representative - Responsible Officer	1	
MCDONALD Nicholas William	BBZ140	Licensed Representative - Responsible Officer	9	
NG Ka Wing	ARB120	Licensed Representative - Responsible Officer	2	

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CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
NG Tai Chiu	AAV210	Licensed Representative - Responsible Officer		5
PONG Sau Kwok	AMB713	Licensed Representative - Responsible Officer	1	
POON WONG Yee See	AAC361	Licensed Representative - Responsible Officer	4	
RIDLAND Robert James	BAS793	Licensed Representative - Responsible Officer	1, 4	
SONG Zhengtang	AY1404	Licensed Representative - Responsible Officer	1	
TANG Chu, Leonard	AFC962	Licensed Representative - Responsible Officer	1, 4	
TSUI Chi Gai	AVQ208	Licensed Representative - Responsible Officer	4, 9	
WONG Wan Men, Margaret	APQ819	Licensed Representative - Responsible Officer	1	
YU Zhenzhou	AQH374	Licensed Representative - Responsible Officer	4	
YUEN Sze Fun, Keith	ASP615	Licensed Representative - Responsible Officer	1, 4	
ZHANG Wenjun	AVR821	Licensed Representative - Responsible Officer	4	
ZHONG Zhaomin	AQS573	Licensed Representative - Responsible Officer		4
AU Fai Kit, Jeffrey	BIV452	Licensed Representative (Provisional Licence)	3	
PUN Chun Tung	BIT810	Licensed Representative (Provisional Licence)	3	