



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2017

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
CM Securities (Hongkong) Company Limited	BBK541	Licensed Corporation	4, 6	
Easy One Securities Limited	BHC102	Licensed Corporation	4	
LERTHAI Asset Management Limited	BFW987	Licensed Corporation	4	
MTI Management (HK) Limited (trading as Megatrust Investment (HK))	BHG071	Licensed Corporation	4	
Northern Trust Company of Hong Kong Limited, The	ACO807	Licensed Corporation	4	
SP Securities Limited	BGB351	Licensed Corporation	9	
Yunfeng Securities Limited	AYT670	Licensed Corporation	4	
AU Antares	AOV394	Licensed Representative	4	
AU Ho Cheung	BGB836	Licensed Representative		4, 9
AU Ka Ki	AWW584	Licensed Representative	3	
CHAI Pui Pui, Pamela	ADT113	Licensed Representative	4, 9	
CHAN Chi Chuen	AGF194	Licensed Representative		4
CHAN Chi Leung, Philip	APC865	Licensed Representative		2
CHAN Choi Hung	APO018	Licensed Representative	6	
CHAN Fung Chu	ANW378	Licensed Representative		4
CHAN Hui	APR220	Licensed Representative	4	
CHAN Kai Chun	APQ512	Licensed Representative	2, 5	
CHAN Lap Chung	AJ099	Licensed Representative		9
CHAN Leong Hei	BIV626	Licensed Representative	2	
CHAN Man Fung	AUE707	Licensed Representative	4	
CHAN Man Tik	BBS455	Licensed Representative	4	
CHAN Sai Yee, Vincent	ABM105	Licensed Representative		2
CHAN Sau Han	AUM922	Licensed Representative		2
CHAN Wah Lee	AWJ776	Licensed Representative		2
CHAN Wai Sze	BIN990	Licensed Representative	9	
CHAN Ying Sin	BGE633	Licensed Representative		2
CHAN Yuet Hang, Danny	AJ615	Licensed Representative	6	
CHANG Jennifer Ting	AVN307	Licensed Representative		4
CHANG John Jae	BDY729	Licensed Representative	4	
CHANG Pei Hua	AOX639	Licensed Representative	1	
CHAY Lei	BID402	Licensed Representative	1	
CHEN Bin	BIH025	Licensed Representative	9	1
CHEN Hsi-An	ALB958	Licensed Representative		4
CHEN Jennifer	BGL046	Licensed Representative		4
CHEN Leimiaojie	BFZ048	Licensed Representative	1, 2	4, 9
CHEN Si	BIS449	Licensed Representative	1	
CHEN Tzu-ming, Daphne	BIR629	Licensed Representative	2	
CHEN Xi	BFZ506	Licensed Representative		2
CHEN Yaping	AYJ789	Licensed Representative	5	
CHENG Chi Keung	BIC344	Licensed Representative	4	1
CHENG Man Kwong	AXL920	Licensed Representative	4	
CHEUNG Sau Chu	BEN531	Licensed Representative	2, 4, 5, 7	
CHEUNG Ting Yan	BJA730	Licensed Representative	1	
CHEUNG Wing Kwan, Louis	AAH791	Licensed Representative		2, 4, 5, 9
CHEW Wei Yang, Stanley	ASQ192	Licensed Representative	2	
CHIN Hsuan-Wei	ATY272	Licensed Representative		1
CHIN Man Yi	AMR267	Licensed Representative		5
CHIU Kit	BHK613	Licensed Representative		9
CHIU Wing Nga, Rita	AUR827	Licensed Representative	1	
CHOI Man Ching	BIO285	Licensed Representative		4
CHONG Chi Shing	BET661	Licensed Representative	9	
CHOW Hau Fan	AXZ765	Licensed Representative	4	
CHU Chun Hin, Steven	AMS312	Licensed Representative	9	
CHU Edmund Kinwin	BFD305	Licensed Representative	6	4
CHU Kam Hung	BEN845	Licensed Representative	1	
CHUI Chun Kit	AZW913	Licensed Representative		1



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CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
CHUN Kwang Hyuk	AME482	Licensed Representative	1, 4	
CHUNG Hee Young	BEN019	Licensed Representative	1, 4	2
CHUNG Lai Yung	AGM626	Licensed Representative		2
DAMEK Tobias Ernst Chun	AOE807	Licensed Representative	4	
DE RIQUET DE CARAMAN DE GANAY Philippe, Jean, Maurice, Gerhard	AXQ559	Licensed Representative	1	
DEGNEY Lauren Kimberly	AQS567	Licensed Representative	7	
DOONG Keng Ming, David	AAF397	Licensed Representative	1	
DYMOND Nicholas James	AVV851	Licensed Representative	9	
FAN Kung Sheng	BFK814	Licensed Representative	4	9
FAN Yang	AUT752	Licensed Representative	9	1, 6
FITZGERALD Michael Charles	BGP129	Licensed Representative	1	
FOO Siong Min	BGH800	Licensed Representative	9	
FU Jinfeng	ATR255	Licensed Representative		1, 5
FUNG Long Chuen, Ronny	AVT463	Licensed Representative	1	2
GUAN Tingbin	BBR197	Licensed Representative	4, 9	2
GUO Lulu	BBU880	Licensed Representative		4
GUO Xinxin	BEM326	Licensed Representative	4, 9	1, 6
GUPTA Shivam	APC574	Licensed Representative		4
HAN Bin	AQD385	Licensed Representative	9	
HAU Siu Laam	AXL892	Licensed Representative		9
HEW Yew Wah	AWE266	Licensed Representative		4
HO Chi Ho	AEH818	Licensed Representative		4
HO Hoi Lam, Anita	AOC914	Licensed Representative		2, 4, 5, 9
HO Kwan Yung	AVS378	Licensed Representative		4
HO Tak Yiu, Edmund	AHA804	Licensed Representative		1, 2
HO Wai Lun	ASZ191	Licensed Representative	4, 6	
HO Yui Him	BGB436	Licensed Representative	2	
HON Wai Lin, William	BDD014	Licensed Representative	7	
HUANG Wei Meng	BFD871	Licensed Representative		1
HUI Ka Ka	AYJ245	Licensed Representative	1	
IP Fai Kit	BBY803	Licensed Representative		2
IP Tsz King	BFL255	Licensed Representative	4, 9	
JIN Chenghua	BDQ952	Licensed Representative		9
JONES Nicholas Paul	BBS616	Licensed Representative	1	2
KO Lap Chuen	AIH610	Licensed Representative	2	
KO Tai Fun	ABD420	Licensed Representative	3	
KONG Xiangming	AZW193	Licensed Representative	4, 9	1
KUO Anthony Chuanjie	BFW602	Licensed Representative	4	9
KWOK Kelvin Chun Hung	BGO336	Licensed Representative	4, 9	
KWOK Lok Wa	BDU844	Licensed Representative	4	
KWOK Man Chun, Felix	AWS974	Licensed Representative	4	
KWOK Oi Yee	AAI571	Licensed Representative	2	
KWONG Wai Fong	AFJ234	Licensed Representative	2	
LAI King Man	ABX825	Licensed Representative		4
LAI Siu Lun	BDF470	Licensed Representative	1, 4	
LAI Tai Yan	BF1937	Licensed Representative	4	
LAI Tianyuan	BIV292	Licensed Representative	2	
LAM Cheung Kit, Jacky	APW826	Licensed Representative	4	
LAM Chi Hin, Stanley	AHD635	Licensed Representative		1
LAM Hoi Ying	BIT747	Licensed Representative	9	
LAM Muk Kin	BFT910	Licensed Representative		1
LAM Norman Kwok	AZT024	Licensed Representative	6	1, 2, 9
LAM Pui Yan	BBL852	Licensed Representative	9	
LAM Tsz Lung	BGT436	Licensed Representative		1
LAM Wai Kwong, Alfred	AFP975	Licensed Representative		4
LAM Yik Fun	ACF555	Licensed Representative		1
LAU E Lei	AVC029	Licensed Representative	4, 5	



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CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
LAU Fung Ngor, Swan	ARQ530	Licensed Representative		2
LAU Ho To	AQD647	Licensed Representative	9	1
LAU Kwok Hei	AOQ599	Licensed Representative	9	
LAU Lik Kin	ANY140	Licensed Representative	9	
LAU On Wah	AAD083	Licensed Representative		4
LAU Suk Tung	AFD150	Licensed Representative	3	
LAU Yan Ting	BAX545	Licensed Representative	4, 9	
LAU Yiu Wai	ACI099	Licensed Representative		1
LAW Lap Kau	AVH515	Licensed Representative		4
LE Di	BHC107	Licensed Representative		1
LEE Chen Kwok, John	ACI535	Licensed Representative		1, 4
LEE Chun Fai	BCF870	Licensed Representative	2	
LEE Helmut Inn Man	BHL036	Licensed Representative	1	
LEE Sin Yee	AWR726	Licensed Representative	2	
LEE Wai Man, Priscilla	ALL041	Licensed Representative		9
LEONG Sio Choi	AFU673	Licensed Representative	4, 9	1
LEUNG Chi Hin	BBK455	Licensed Representative	1	
LEUNG Ka Leung	AWJ764	Licensed Representative	5	
LEUNG Tat Pui	ADR699	Licensed Representative	4	2
LEUNG Winnie	AOD441	Licensed Representative	5	
LI Alexander William	AWZ383	Licensed Representative		4
LI Cheng	BDT950	Licensed Representative	2	4
LI Hang	AWK314	Licensed Representative	2	
LI Ji	BCE400	Licensed Representative		1
LI Kai Yin	AAA183	Licensed Representative		2
LI Kim Ping	ATS380	Licensed Representative	9	
LI Kwok Tai, James	AFS293	Licensed Representative		6
LI Michael Man Toa	BAH857	Licensed Representative	4	
LI Zhuo	BFX716	Licensed Representative	4	
LIM Dao Xuan	BFY969	Licensed Representative	9	1, 6
LIM Yui Sing	BGU684	Licensed Representative	4	
LIN Tun	AWE515	Licensed Representative	1	
LIN Xiaohong	BAA341	Licensed Representative	1	
LIU Jintao	BHW678	Licensed Representative	4	
LIU Shih-yen	BFH203	Licensed Representative	1	
LIU Xiaoji	BEN198	Licensed Representative	4	
LO Sau Wai	AFK054	Licensed Representative	9	
LO Tzan Hong, Thomas	AYW277	Licensed Representative	1	
LOKE Wai Ming	AIB803	Licensed Representative	4	
LU Mei Ying	AHY761	Licensed Representative	1	
MAK Kwok Leung	APF173	Licensed Representative	4	
MAN Yuen Ting	AVP643	Licensed Representative	9	1
MISRA Arup Ashim	AVP714	Licensed Representative	2	
MOHINANI Pradeep	AEN512	Licensed Representative	4	
MURPHY Daniel Joseph	ASI403	Licensed Representative	7	4, 5
NAH Wee Ping	ADU947	Licensed Representative	4	
NG Ka Wing	ARB120	Licensed Representative		4, 9
NG Kai Chong	AVV236	Licensed Representative		2
NG Shui Cheong	AQD381	Licensed Representative		1
PEI Lin	BFC689	Licensed Representative	1, 4, 6	10
PENG Bo	BIA035	Licensed Representative	4	
POON Yin Ling	ALQ658	Licensed Representative	1, 2	
QIAN Shanjing	BBM291	Licensed Representative		9
REN Dongyang	BHS243	Licensed Representative	9	1
SANFT Erwin Ralph	AED179	Licensed Representative	1	4
SHARMA Nikhil Balakrishnan	BGP026	Licensed Representative		4
SHEK Wing Man	AVU639	Licensed Representative	9	



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CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
SHUM Kai Fung	APV084	Licensed Representative		2
SIT Hon	BIX237	Licensed Representative	1, 4	
SIT Yiu Cho, Jeffrey	AVP014	Licensed Representative		4
SO Po Ching	ALD639	Licensed Representative		1
SONG Ting	BGA886	Licensed Representative		1, 2, 5
SU Kai Hung	AXT095	Licensed Representative		1
SUN Yuen Han	AGN808	Licensed Representative		2
TAM Kenney	ANH001	Licensed Representative		1
TAM Mayce	ADW542	Licensed Representative		6
TAM Mei Woon, Peggy	AEA816	Licensed Representative	1	
TANG Chak Hung	BCC666	Licensed Representative	4	
TANG Wing Chung	AFG775	Licensed Representative		1
TAO Meng	BDU845	Licensed Representative	4	
TIAN Yajing	BHQ343	Licensed Representative		4, 9
TIAN Yu	BDX197	Licensed Representative	4, 9	6
TO Kai Ming	BIX262	Licensed Representative	1, 4	
TO Koon Hung, Andrew	AAD599	Licensed Representative		9
TONG Siu Cheung	AON938	Licensed Representative	9	2
TSANG Chun Fai	BEQ486	Licensed Representative	2	
TSANG Ka Kit	AXD389	Licensed Representative		2
TSANG Kong Kiu, Balder	BIH023	Licensed Representative	1	
TSANG Wai Yan, Wayne	AIH007	Licensed Representative		1, 4
TSE Ming Pong	BBD859	Licensed Representative	2	
TSE Siu Yuen	AQA082	Licensed Representative		5
TSEUNG Choi Wing Queenie	AVH555	Licensed Representative		4, 5
TSUI Pak Fai	ANK382	Licensed Representative		4, 9
TSUI Wing Wun	BAI855	Licensed Representative		2
U Pou Keong	AWY617	Licensed Representative	4, 5	
USHIYAMA Masaharu	ABA459	Licensed Representative	9	
WAKAO Tetsuji	AQQ076	Licensed Representative	9	
WAN Kwok Fung	AEG678	Licensed Representative		1, 2
WANG Shuo	BHP870	Licensed Representative	1	4, 9
WANG Xiaoxian	BCY754	Licensed Representative	2, 4	
WANG Xu	BFG300	Licensed Representative	1	
WANG Yinxiao	AVL554	Licensed Representative	4	
WANG Zixi	BHE069	Licensed Representative	2	
WANG Ziyun	BCF919	Licensed Representative	4	1
WEI Xiao	BIX272	Licensed Representative	1, 4	
WONG Cho Shing	BGX923	Licensed Representative		1
WONG Chun Lang, Johann	AWJ931	Licensed Representative		2
WONG Chun Ming	BGM912	Licensed Representative	1	
WONG Ka Hei	AVL307	Licensed Representative		2
WONG Kin Sun	APA699	Licensed Representative		4
WONG Kwai Chiu	ACC061	Licensed Representative		2
WONG Muk Wing Jimmy	AWF681	Licensed Representative	2	
WONG Nga Lun	ANQ199	Licensed Representative		2, 4, 5
WONG Roger Chi-him	AYQ842	Licensed Representative	5	1
WONG San Ngai	BAD848	Licensed Representative	9	1, 2, 3
WONG Shing Ho	AKJ167	Licensed Representative	9	
WONG Shing Kit	BHZ124	Licensed Representative		4
WONG Siu Kin	AML390	Licensed Representative		4, 9
WONG Wing Hon	AJB434	Licensed Representative	1	
WOO Ki Ki	BIO655	Licensed Representative	2	1, 4
WU Chia Fen	AZW080	Licensed Representative		1
WU Jie	BEO932	Licensed Representative		1, 4
WU Lulu	BBJ798	Licensed Representative	4	
WU Tzu Kuan	AYK003	Licensed Representative		1, 2



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CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
WU Ying Bong	BFM946	Licensed Representative	4	10
WU Yuao	BBP744	Licensed Representative	9	1, 2
WUN Tsz Hin	BGE372	Licensed Representative	1	4, 9
XIA Yuan	BHU711	Licensed Representative	4	
XIE Jinchao	BEN368	Licensed Representative		6
XIE Zhihao	BCT158	Licensed Representative	2	
XU Dan	BFB174	Licensed Representative		4, 9
XU Ting Li	APH128	Licensed Representative		4
YAN Po Kwan	ADP430	Licensed Representative	1	
YAN Weiyang, Grace	ATQ907	Licensed Representative		1
YAN Yiran	BGD658	Licensed Representative	4	7
YANG Jie	AXW975	Licensed Representative	9	4, 5
YANG Lujia	BBU233	Licensed Representative		4
YEE Richard Jim	ATR214	Licensed Representative	4	
YEUNG Kin Lun	BFX009	Licensed Representative	4	
YEUNG Po Yi	BHK902	Licensed Representative		4, 9
YIP Chi Ming	BIX790	Licensed Representative	1	
YIP Yuen Man, Letitia	AIY988	Licensed Representative	1	
YU Hiu To	AGM902	Licensed Representative	4	
YU Jianlei	BHU451	Licensed Representative	5	
YU Kim Ho, Douglas	ABF198	Licensed Representative	6	1, 9
YU Shui Sang, Bernard	AEO855	Licensed Representative		4, 9
YU Tak Hei	BFT922	Licensed Representative	9	6
YU Tat Chi, Michael	AFM499	Licensed Representative		6
YU Yu Kin	APR199	Licensed Representative	2, 5	
YUE Yi	BHK601	Licensed Representative	4	2
YUEN Ka Leung	ANV050	Licensed Representative	9	
ZHANG Huachen	BGU214	Licensed Representative	2	1, 2
ZHANG Jie	BHA636	Licensed Representative	4	
ZHANG Junyi	BCH497	Licensed Representative	1, 4	3
ZHANG Qing	BF928	Licensed Representative	9	
ZHANG Xingdong	BFE203	Licensed Representative		4
ZHANG Yu	BDN241	Licensed Representative	5	
ZHAO Lei	BIX254	Licensed Representative	1, 4	
ZHONG Jing	BHU874	Licensed Representative	4	
ZHOU Silong	BCE950	Licensed Representative	2	
AU King Lun	ABL820	Licensed Representative - Responsible Officer	5	
CHAN Chi Fung	AJE865	Licensed Representative - Responsible Officer	4	
CHAN Chi Hung	AAB402	Licensed Representative - Responsible Officer	4	
CHAN Hon Ming	AAK045	Licensed Representative - Responsible Officer	4	
CHAN Lap Chung	AIJ099	Licensed Representative - Responsible Officer	9	
CHAN Pui Yi	AUM181	Licensed Representative - Responsible Officer	4	
CHEN Yu	AQS372	Licensed Representative - Responsible Officer	5	
CHIN Hsuan-Wei	ATY272	Licensed Representative - Responsible Officer	4	
CHOW Ka Man	AAY115	Licensed Representative - Responsible Officer	4, 9	
CHOY Yau Fai	AQQ237	Licensed Representative - Responsible Officer	4	
CHUNG Lai Yung	AGM626	Licensed Representative - Responsible Officer	4	
DA Yang	BBZ357	Licensed Representative - Responsible Officer	1, 4	
FUNG Wei Lung, Brian	AAX341	Licensed Representative - Responsible Officer	4, 9	
GRABNER Heinrich	AEN772	Licensed Representative - Responsible Officer	9	
HO Shu Lung	AEE580	Licensed Representative - Responsible Officer	4	
KONG Chiu San, Raymond	AAH157	Licensed Representative - Responsible Officer	9	
LAI Chi Kin	AIR705	Licensed Representative - Responsible Officer	1	
LAI Kwai Chun	AAF785	Licensed Representative - Responsible Officer	4	
LAU Kai Yeung	ARA400	Licensed Representative - Responsible Officer	4	
LAU Yiu Wai	ACI099	Licensed Representative - Responsible Officer	4	
LEE Siu Ming, Kenneth	ACC420	Licensed Representative - Responsible Officer	4	

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<b>CE Name</b>	<b>CE No.</b>	<b>License Type</b>	<b>Types of Regulated Activity Added</b>	<b>Types of Regulated Activity Removed</b>
LIANG Liang	AUM947	Licensed Representative - Responsible Officer	6	
LU Min	AJE091	Licensed Representative - Responsible Officer	1	
LUI Chi Chung, Josaphat	AAD557	Licensed Representative - Responsible Officer	4	
MCFARLAND Christina Ma	ADU896	Licensed Representative - Responsible Officer	4	
MURAI Toshiyuki	ASX490	Licensed Representative - Responsible Officer	1	
OYANG Wiley	AEH460	Licensed Representative - Responsible Officer	1	
POON Ching Yee, Joey	AXD834	Licensed Representative - Responsible Officer	4, 9	
SILVER Nicholas Eugene	AOU413	Licensed Representative - Responsible Officer	7	
SUNG Ching Hua	AOT500	Licensed Representative - Responsible Officer		9
TAI Yiu Kuen, Kevin	AFY190	Licensed Representative - Responsible Officer	4	
TSE Ming Kwong	ABE299	Licensed Representative - Responsible Officer	9	
TSE Siu Yuen	AQA082	Licensed Representative - Responsible Officer	1	
WAN Kwok Fung	AEG678	Licensed Representative - Responsible Officer	9	
WANG Qi	ALB737	Licensed Representative - Responsible Officer	4	