



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 06/2017

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
Enhanced Securities Limited	AWP684	Licensed Corporation	2	
KEYSTONE CAPITAL LIMITED	BGQ802	Licensed Corporation	1	
Nexus Investment Advisors Limited	BCO948	Licensed Corporation	1	
Yinhua International Capital Management Limited	BDO590	Licensed Corporation	1	
AHYA Chetan Kishore	ALI601	Licensed Representative	5	
ARDON Jean-Denis Etienne	AZY381	Licensed Representative	2, 5	
AU Cheuk Hei	AVP020	Licensed Representative	4	
AUGARDE Thomas William	BHJ582	Licensed Representative	7	
BUTLER Joseph John	AVF494	Licensed Representative	4, 5	
CAI Zhipeng	BJF184	Licensed Representative	5	
CHABANE Ilyas	BAP105	Licensed Representative	4, 9	2
CHAN Cheuk Ki, Christy	AWX086	Licensed Representative	4	2
CHAN Chi Hang	ALH858	Licensed Representative		4
CHAN Ching On, Rico	AVW193	Licensed Representative	1	
CHAN Chun Yin	BAF372	Licensed Representative		2
CHAN Fung Yu	AAK854	Licensed Representative		2
CHAN Kam Yee	BHZ339	Licensed Representative	4	6
CHAN Kiu Kwong	BEB409	Licensed Representative		1
CHAN Kwok Dik	AYF149	Licensed Representative	4, 9	
CHAN Kwong Wa	BBR086	Licensed Representative		1, 4
CHAN Man Hei	BFV937	Licensed Representative	2	
CHAN Rita Wing-Yee	AIU378	Licensed Representative		9
CHAN Sau Him	AQF608	Licensed Representative		2
CHAN Shue Keung	AND696	Licensed Representative	9	
CHAN Siu Wai	AUB313	Licensed Representative		1
CHAN Tsang Shing	AOT840	Licensed Representative		1
CHAN Tsz Him, Anthony	BEM407	Licensed Representative	4, 9	
CHAN Wai Fung	ARB852	Licensed Representative	9	
CHANG Moon Suk, John	AMI423	Licensed Representative		9
CHANG Vivian Ming-yin	ASI105	Licensed Representative	9	
CHAU Chi Kan	BHZ243	Licensed Representative	4	
CHAU King Fai	ABI141	Licensed Representative	1, 4	
CHEN Chun Hung	BGK285	Licensed Representative		1, 4
CHEN Han	AVI643	Licensed Representative	1	
CHEN Kuan-Yu	BIM498	Licensed Representative	1, 4	
CHEN Shuqi	BGQ883	Licensed Representative		4
CHENG Man Tat, Tacky	AIC943	Licensed Representative		4, 5
CHENG Pui Lai	ACT389	Licensed Representative		2
CHENG Sharon	BFB173	Licensed Representative	2	
CHEUNG Chin Kan	BBH439	Licensed Representative	2	4, 5
CHEUNG Chun Tsung	AXZ233	Licensed Representative	1, 4	
CHEUNG Jonathan Lok-yin	BIA117	Licensed Representative	5	
CHEUNG Ka Man	BFZ630	Licensed Representative		2
CHEUNG Kit Shing	BEJ868	Licensed Representative	1	
CHEUNG Man Chung	BAL345	Licensed Representative	2, 7	
CHEUNG Shing Chun	ANY134	Licensed Representative		2
CHEUNG Shing Kit	BDF108	Licensed Representative	4	
CHING Man Wai, Raymond	AOG184	Licensed Representative	9	4
CHIU Yan Kit	ANK160	Licensed Representative		6
CHIU Yau Chun, Jackie	ARN620	Licensed Representative	1	
CHOI Shing Yan	AUM819	Licensed Representative	2	
CHONG Ming Hang	AWJ006	Licensed Representative	1, 9	
CHONG Sheung Tat	BGB437	Licensed Representative	4, 9	
CHOW Wing Keung	AJB214	Licensed Representative		9
CHU Kin Cheung	ARQ377	Licensed Representative		1
CHU Sunghan	BFE576	Licensed Representative	1	9
CHU Yu Man Pricilla	AOA610	Licensed Representative	4	



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 06/2017

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
CHUA Zi Wen	BE1192	Licensed Representative	2	
CHUNG Chi Hang	BIA002	Licensed Representative	1	
CHUNG Wai Shing	AMF222	Licensed Representative	1, 4	
DAI Zhijie	BEQ286	Licensed Representative	1, 9	9
DE JAILLON Julien Pierre Jeremie	AY1892	Licensed Representative	1	
DING Chenying	ARP182	Licensed Representative	4	
FALLOON Benjamin John	AIS085	Licensed Representative		2
FAN Ching Yee	AHR797	Licensed Representative	1	
FENG Yibiao	BHV159	Licensed Representative	1, 9	
FONG Wai Ying, Vivian Catherine	BBT305	Licensed Representative	6	
FOORD Tara Michelle	BFE629	Licensed Representative	7	
FUNG Man Heng	BDN973	Licensed Representative	1, 4	
FUNG Tat Chung	AMQ345	Licensed Representative		2
FUNG Wing Yee	AVH672	Licensed Representative	1	
GAO Linda Hui Feng	BBP528	Licensed Representative		2
GE Jingjing	BFN385	Licensed Representative		1
GENG Bofeng	BDD894	Licensed Representative	1, 6	4, 9
GUO Hanze	BIE895	Licensed Representative		1, 2
GUPTA Rahul	AGZ998	Licensed Representative	1, 4	9
HE Yulin	ARG517	Licensed Representative	6	2
HENDERSON Sarah	ALZ867	Licensed Representative	4	
HIL Chi Yung	AAJ464	Licensed Representative	2	
HO Garrick Chun Lim	BHA268	Licensed Representative		6
HO Hui Ching, Alice	AEA194	Licensed Representative		9
HO Wing Yuen	ADJ692	Licensed Representative	1, 4	9
HO Wun Kuen	BHU595	Licensed Representative	2, 4	
HOLLOWAY Mitchell Leslie	BGV233	Licensed Representative		2
HOU Yiyun	BIU737	Licensed Representative	6	1, 4
HSIEH Shan Man	AJD195	Licensed Representative	4	
HUANG Chu An	BIT808	Licensed Representative	1, 4	
HUANG Xiaobo	ALZ455	Licensed Representative		1
HUI Sai Kit	BHQ315	Licensed Representative	2	
HUNG Elaine	AVJ425	Licensed Representative	1, 4	
HUNG Ho Lam	APK784	Licensed Representative	9	
JEFFREY Kevin Alan	BFX287	Licensed Representative	1	
JIANG Jiixin	BES117	Licensed Representative		1
JIN Jiaying	BGZ757	Licensed Representative	1	9
KAM Lam, Gordon	BII907	Licensed Representative	9	
KAM Yong Kang Derrick	AXH544	Licensed Representative	5	
KE Wing Shuen	AFD507	Licensed Representative	9	
KEI Tan Na	AQF600	Licensed Representative	4	
KIM Lee Seul	BAZ737	Licensed Representative		4, 9
KIM Seung Wook	BDF810	Licensed Representative		1
KIM Young June	BII793	Licensed Representative		4
KO Che Yeung	ADV077	Licensed Representative	4	
KWAN Kit Ling	BIX484	Licensed Representative	2	
KWAN Tsun Man	AWA326	Licensed Representative	1	
KWOK Chee King, Stephen	AJF051	Licensed Representative	3	
KWOK Danny	ARB760	Licensed Representative		2, 4
KWOK Ho Yin	BFA974	Licensed Representative	4	
KWOK Kai Wai	ACL567	Licensed Representative		1
KWOK Shun Hei, Simon	AYO398	Licensed Representative	1	
KWONG Ho Kei, Emily	AGB307	Licensed Representative	4	
KWONG Siu Hang	BHM642	Licensed Representative	4	6
LAI Bertram	AGM550	Licensed Representative	1	
LAI Chui Shan	BGT651	Licensed Representative	5	
LAI Kok Yuen	BGE139	Licensed Representative	1, 9	



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 06/2017

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
LAI Man	AVD562	Licensed Representative	4, 6	
LAM Chi Fu	ABS052	Licensed Representative	4, 9	
LAM Chun Yim	AUO078	Licensed Representative	9	
LAM Ka Ling	AYC315	Licensed Representative	4	
LAM Ka Yu	AXG492	Licensed Representative	9	1
LAM Lok Tin, Timothy	ANY093	Licensed Representative	2	
LAM Pui Yan	BHV688	Licensed Representative	2	6
LAM Sui Lung	BHJ694	Licensed Representative	1	
LAM Wang Tat	AOE015	Licensed Representative		2
LAM Yim	AQA846	Licensed Representative	4	2
LAU Hiu Wai	AOD527	Licensed Representative	3	
LAU Kai Yam	BBA472	Licensed Representative	2	
LAU Lap Kwan	AEU810	Licensed Representative		4, 6
LAU Siu Ming	APH264	Licensed Representative	9	
LAU Tat Wai	BHC101	Licensed Representative	1, 4	
LAU Yue Wah, Brian	AFS902	Licensed Representative	4	
LAU Yuet Chiu	BEI688	Licensed Representative	2	
LAW Shun Hang	BCZ517	Licensed Representative	2	
LEE Chun Hin	BIT239	Licensed Representative	1, 4, 9	2
LEE Ki Cheong	BHM253	Licensed Representative	2	
LEE Liang-Teh	AEQ246	Licensed Representative		9
LEE On Yi	BIX820	Licensed Representative		4
LEE Sze Chung, Henry	AWV262	Licensed Representative	1	
LEE Tanya Marie	AGN874	Licensed Representative		9
LEE Tse Ting	BFY805	Licensed Representative	4	
LEE Wai Kin, Dennis	ARB726	Licensed Representative	1, 2	9
LEUNG Chun Wa	AJF048	Licensed Representative	1	
LEUNG Michelle Yan	AXV599	Licensed Representative	5, 9	1
LEUNG Pak To	AAG760	Licensed Representative		4, 9
LEUNG Tsz Wing	BDC611	Licensed Representative		1
LEUNG Wing Ho	BFN867	Licensed Representative	2	
LI Hao	AWZ990	Licensed Representative	1	
LI Haoyi	ASF604	Licensed Representative		2
LI Huan	BCF504	Licensed Representative	1	
LI Jian	AGO919	Licensed Representative		9
LI Ka Ying	ANM710	Licensed Representative	4, 9	
LI Kai Yun	AYM794	Licensed Representative		4
LI Kam Fung	BHN004	Licensed Representative	9	
LI Qi	AGM782	Licensed Representative	4, 9	
LI Qihui	BGT837	Licensed Representative	1	
LI Xiao	AOH927	Licensed Representative	1	
LIM Robert Warren	ARJ311	Licensed Representative		4
LIN Hoi Andy	BFR912	Licensed Representative	4, 9	6
LIN Peicong	ANB735	Licensed Representative		6
LIU Chi Yeung	AHW147	Licensed Representative		1
LIU Junxian	BFW869	Licensed Representative		4
LIU Ka Ho Kenny	BFA621	Licensed Representative	4, 9	
LIU Shih-yen	BFH203	Licensed Representative		1
LIU Shuk Hin	AUW342	Licensed Representative	9	
LIU Wai Hung	ANK399	Licensed Representative	4	2
LO Chun Wah	AJD784	Licensed Representative		1
LU Jianan	BBU782	Licensed Representative	2	
LU Yi	AVE820	Licensed Representative	4, 9	6
LU Yuan	BEZ159	Licensed Representative	6	
LUI Man Lung, Jeremy	ALW479	Licensed Representative	1	
LUI Sung Hing	BEZ147	Licensed Representative		2
LYU Xinze	BGK503	Licensed Representative		6



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 06/2017

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
MA Jingjing	BAF630	Licensed Representative		4
MA Ka Man	BAC046	Licensed Representative	4, 9	
MAK Raymond	AMF438	Licensed Representative		1
MAN Hoi To	BHC470	Licensed Representative	2	
MEI Yuan	BGI023	Licensed Representative	1	
MENG Zijin	BID723	Licensed Representative	1, 2	4, 9
METHAJARUNON Kasidit	BEZ233	Licensed Representative	4, 5	1
MOK Chit Hang	BBG397	Licensed Representative		2
MOK Hiu Lam	AJE368	Licensed Representative		2
MOK King Lun, Philip	AWF599	Licensed Representative		4
MORIUCHI Kenya	BGH052	Licensed Representative	9	1, 4
NG Hon Keung, Jeremy	ACO692	Licensed Representative		3
NG Wing Shan	AXI704	Licensed Representative	4	
NGAN Chiu Chun	BAE640	Licensed Representative	4	
OR Victor	AWN871	Licensed Representative	4	
PAISLEY Michelle Maria	AOB636	Licensed Representative		4
PAN Chenyue	AWE766	Licensed Representative	1, 9	
PANG On Ki	AFN684	Licensed Representative	4	
PENG Shuo	AQX906	Licensed Representative	7	
POIROT Laurent Marie Bernard	ALY828	Licensed Representative	1	
POON Siu Yan	AZW079	Licensed Representative	2	
QIN Qian	ANR972	Licensed Representative	4	
RAINEY William Martin	BJC051	Licensed Representative	1	
ROOTH Jean Jesper	BFY797	Licensed Representative	5	
SHEN Wenting	AWI982	Licensed Representative	9	
SHI Huijun, Michelle	AMW880	Licensed Representative		9
SHI Mingda	BDK856	Licensed Representative	9	
SHIU Chun Ho, Wesley	APC472	Licensed Representative		9
SIT Ko Wai	BEC410	Licensed Representative		4
SIT Yat Cheong	BHS318	Licensed Representative		4, 9
SIU Wing Kin	BBF653	Licensed Representative		4, 9
SO Chi Chiu	AOG783	Licensed Representative	4	
SO Kuen Kei	ANR645	Licensed Representative		2
STOEHR Carsten Hideki Alois	AGN718	Licensed Representative		2
STREUN Olivier Robert	ACU279	Licensed Representative		9
SUEN Tin Yan	AXR986	Licensed Representative	9	
SUH Bo Goog	BHT539	Licensed Representative		9
SUN Kin Nam, Jenny	AGZ149	Licensed Representative	4	
SUN Yu Feng	ALG408	Licensed Representative		1
TAM Kin Man, Arthur	ANM878	Licensed Representative		4
TAM Tsz Fung	BBT567	Licensed Representative		9
TAM Wai Chi, Elly	ABS460	Licensed Representative	4, 9	2
TAM Yuk Yin, Denise	AQW022	Licensed Representative		4
TAN Eugenio T.	ACM304	Licensed Representative	1	
TAN Siew Shen	ALJ824	Licensed Representative	1	4, 9
TANG Hao	AOL324	Licensed Representative	6	
THIAN Sum	BCU789	Licensed Representative	9	
TO Kwok Chien, Ronald	AEN382	Licensed Representative	1	
TONG Leo	BBU281	Licensed Representative	4	
TSANG Chi Ming	AAC019	Licensed Representative		1
TSANG Ming Fung	ANR264	Licensed Representative		4, 9
TSE Win Yee, Annie	ACR126	Licensed Representative	1	
TSOI Fai Tin, Andes	ABN399	Licensed Representative		4
TSUI Dick Yee, Daisy	AMJ137	Licensed Representative	1, 4	
TSUI Pui Ming, Teresa	ACJ926	Licensed Representative		3
TURNER Alfred Martin	AJM026	Licensed Representative	1, 4	
VIJAYANT Aashutosh	AVA402	Licensed Representative	1, 2	9



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 06/2017

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
WAN Shuk Ting	BGT430	Licensed Representative	2	
WANG Dawei	BGL038	Licensed Representative		1
WANG Feng	ARB922	Licensed Representative	1, 4	
WANG Hongrui	BFH177	Licensed Representative		3
WANG Liliang	BCY117	Licensed Representative		4
WANG Nathan	ADJ636	Licensed Representative		1, 4
WANG Wanyi	BBP319	Licensed Representative	9	
WANG Wenli	AYK358	Licensed Representative		4
WANG Xinxin	BGN342	Licensed Representative	1, 4	
WANG Yuxin	BIN996	Licensed Representative	9	
WANG Zhen	AZC796	Licensed Representative	1	6
WEI Chen	BHX382	Licensed Representative		2
WEN Chen	BFL265	Licensed Representative	4, 9	1
WHITE Adam Craig Tremain	ATF122	Licensed Representative		2
WILLIS Benjamin Adam	BEV552	Licensed Representative	2, 5	
WONG Anthony Way-choy	BHV377	Licensed Representative	9	
WONG Cheuk Wing	AVR144	Licensed Representative	3	
WONG Chiu Hoi, Frederick	ACG597	Licensed Representative		1
WONG Chun Kong	ATM806	Licensed Representative		3
WONG Man Ho Henry	BDJ300	Licensed Representative		1
WONG Pak Suet, Elsa	AEY493	Licensed Representative	9	
WONG Richard	AFQ365	Licensed Representative	9	1, 6
WONG Wai Man	AEZ021	Licensed Representative		2
WONG Ying Kit	APH572	Licensed Representative		9
WOO Chi Wai	AFC530	Licensed Representative		1
WU Lishan	BEX966	Licensed Representative		4
WU Qiang	ADT384	Licensed Representative	1	
XIE Yijing	BGI283	Licensed Representative		6
YAO Kuo Yi, Patterson	AAH645	Licensed Representative		4
YAO Tianjiao	ARF350	Licensed Representative	9	
YEUNG Chun Yu	BGC808	Licensed Representative		4
YEUNG Chung Lung	AQX406	Licensed Representative		4, 9
YI Rui	BGA678	Licensed Representative	4, 6	
YI Xingxing	BGC842	Licensed Representative	1, 4	
YIN Ruihan	BDE131	Licensed Representative	4, 9	
YIN Yue	AXZ897	Licensed Representative		4, 9
YING Po Suen	AXT593	Licensed Representative		1, 4
YIP Kit Man, Karen	AET381	Licensed Representative		2
YIP Wai Kei	BGU286	Licensed Representative	4	
YOW Chee Kim	AUN750	Licensed Representative		1, 4
YU Hsueh-yu	AXY698	Licensed Representative	4	
YU Lifeng	AYA736	Licensed Representative	4	9
YU Wai Chiu	AXI616	Licensed Representative		4
YU Yee Fung	BAZ969	Licensed Representative	1	
YUEN Ka Leung	ANV050	Licensed Representative		5
YUEN Wing Ho	BIC868	Licensed Representative	9	
ZHA Lingrui	BEE650	Licensed Representative	1	
ZHAN Congcong	BCP843	Licensed Representative	1, 4	
ZHANG Meng	AOB546	Licensed Representative	4	
ZHANG Yige	BIL592	Licensed Representative	1	4, 9
ZHANG Yilan	BEE664	Licensed Representative	1	
ZHANG Yu	BDN241	Licensed Representative	1	
ZHONG Shan	AJN966	Licensed Representative	4	
ZHOU Yifeng	AVD686	Licensed Representative		1
ZHU He	BHP157	Licensed Representative	9	
ZHU Xinyuan	BEB980	Licensed Representative	4	
ZHUANG Yiping	BGZ458	Licensed Representative		4



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CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
CHAN Chun Yin	BAF372	Licensed Representative - Responsible Officer	4	
CHAN Kwok On	AEK476	Licensed Representative - Responsible Officer	2	
CHENG Sze Ming, Rebecca	AAE443	Licensed Representative - Responsible Officer	4	
CHEUNG Man Yu	ADV638	Licensed Representative - Responsible Officer	9	
DESHMUKH Aniruddha Ravindra	ANG434	Licensed Representative - Responsible Officer	1	
FAN Ying Fai	AWV270	Licensed Representative - Responsible Officer	5	
FUNG Geoffrey	ALO578	Licensed Representative - Responsible Officer	4	
FUNG Siu Wah, Stephen	AAE419	Licensed Representative - Responsible Officer	4	
FUNG Yu Wai, David	ADY240	Licensed Representative - Responsible Officer	1	
HE Leqiang	BGK550	Licensed Representative - Responsible Officer	4	
HUANG Xiaobo	ALZ455	Licensed Representative - Responsible Officer	4, 9	
HUI Hon Wing	ACV341	Licensed Representative - Responsible Officer	2	
KWONG Kit Ying, Kitty	BDQ940	Licensed Representative - Responsible Officer	1	
LAM Lok Yee, Yvonne	API272	Licensed Representative - Responsible Officer	1	
LAU Kai Yeung	ARA400	Licensed Representative - Responsible Officer		4
LAU Siu Fai	ADA388	Licensed Representative - Responsible Officer	4	
LAU Wing Shan	AFE210	Licensed Representative - Responsible Officer	4, 9	
LAU Yiu Wai	ACI099	Licensed Representative - Responsible Officer	1	
LEE Ka Lun, Alan	APY434	Licensed Representative - Responsible Officer		2
LEE Tak Long, Felix	AWX605	Licensed Representative - Responsible Officer	6	
LEE Wai Man, Priscilla	ALL041	Licensed Representative - Responsible Officer	2	
LI Yin Hei, David	AVT129	Licensed Representative - Responsible Officer	4	
LIN Ni	BAL766	Licensed Representative - Responsible Officer	9	
LOK Suen Hong	AJB468	Licensed Representative - Responsible Officer	4	
LU Yilin	AOG682	Licensed Representative - Responsible Officer	9	
MA Tengying	AZD807	Licensed Representative - Responsible Officer	4	
MAK Raymond	AMF438	Licensed Representative - Responsible Officer	4	
NG Shung Kai	ARE819	Licensed Representative - Responsible Officer	4	