



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2017

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
E D & F Man Capital Markets Hong Kong Limited	BBD066	Licensed Corporation		1
Fruit Tree Securities Limited	BGX710	Licensed Corporation	4	
Gayang Securities Limited	AFW106	Licensed Corporation	9	
Joyee International Asset Management Co. Limited	BHV354	Licensed Corporation	4	
Righteous Capital Limited	BHN808	Licensed Corporation	1, 4	
AN An	BHK900	Licensed Representative	1	
AU Kam Pui, Clarence	AHC169	Licensed Representative	2	
BHAGAVATH Sunil Sudhakar	BDR859	Licensed Representative	2, 5	
BYRNE Anthony John	AXT652	Licensed Representative	9	1, 2, 4, 5
CHAI Jun	BID608	Licensed Representative	4, 5, 9	
CHAN Charmaine Ching Man	BBJ888	Licensed Representative		9
CHAN Ho Lam, Ronald	BAR258	Licensed Representative	2	
CHAN Ka Ming	BAK267	Licensed Representative		4
CHAN King To, Ronald	AFC960	Licensed Representative	1	5, 9
CHAN King Yuet	AHF243	Licensed Representative	1, 9	
CHAN Kwok Wai	ARE605	Licensed Representative	3	
CHAN Man Li	BEF802	Licensed Representative	9	
CHAN Pak Sun	BI1618	Licensed Representative	4, 9	6
CHAN Ping Lit, Victor	AEZ466	Licensed Representative	9	1, 2
CHAN Ting Yan	BLK726	Licensed Representative	4	
CHAN Tsz Hon	ANW417	Licensed Representative		1, 2, 4
CHAN Tsz Man	AXP990	Licensed Representative		1
CHAN Wing Lam Linda	ANA238	Licensed Representative		2
CHEN Bin	BIH025	Licensed Representative	1	
CHEN Shujin	BDZ961	Licensed Representative	4	
CHEN Siguo	BAE279	Licensed Representative	1, 9	
CHEN Wan	ALV331	Licensed Representative	4	
CHEN Wen-Liang	BHE181	Licensed Representative	9	
CHEN Ying	AYR997	Licensed Representative	4	
CHEN Yujia	BIH327	Licensed Representative	1	
CHEUNG Jazreel Yeun Yee	AHT093	Licensed Representative	4	
CHEUNG Sharon	BFB173	Licensed Representative		2, 4
CHEUNG Yuan	BBR221	Licensed Representative	9	2
CHEUNG Hung Fei	BGY944	Licensed Representative	4	
CHEUNG Kai Ming	BGB954	Licensed Representative		1, 4
CHEUNG Man Yu	ADV638	Licensed Representative		9
CHEUNG Wai Ching, Anthony	AEC908	Licensed Representative	1, 2, 4	
CHOI Chun Fat, Anderson	ANA716	Licensed Representative	2, 5	
CHOW Kam Ho	BLC130	Licensed Representative	4	
CHOW Kwok Cheung, Tony	AAE445	Licensed Representative	4	
CHOW Leung Chi	BFY425	Licensed Representative		2, 3
CHOW Sze Wan	AIJ676	Licensed Representative	2	4, 5, 9
CHU Chun Man	ASZ711	Licensed Representative	4	
CHU Lei Mei	AWJ929	Licensed Representative		9
CHUNG Ho Yee	BHH748	Licensed Representative		4
CHUNG Tony	ACJ250	Licensed Representative	2, 5	
CHUNG Wai Shing	AMF222	Licensed Representative	9	1, 6
DAVIES Chad Matthew Francis	BGV499	Licensed Representative	2, 9	
DE SOUZA Matthew Dylan	BFA918	Licensed Representative	9	
DICKS Lili	BGU589	Licensed Representative	4	
DONG Wei	BEM064	Licensed Representative	9	4, 5
DU Yunfan	AVS847	Licensed Representative	4	
EOM Ui Lim	AXN892	Licensed Representative	4	
FAN King Yip Felix	AXC707	Licensed Representative	9	
FAN Raymond Chung Yan	BFX876	Licensed Representative	2	
FENG Shiran	ARJ059	Licensed Representative	2	
FONG Chin Kong, Jason	ADT434	Licensed Representative		1



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2017

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
FONG Man Kin	APF454	Licensed Representative		2
FONG Siu Yat	AFA176	Licensed Representative		2, 5
FONG Wai Lok, Raymond	AFT306	Licensed Representative	4	
FORCIOLI Mathieu Jean	AYP973	Licensed Representative	9	
FU Chak	BJL314	Licensed Representative	1	4
FUJISAKI Daisuke	AVR204	Licensed Representative	9	
GAO Yijia	BEL955	Licensed Representative	9	
GENG Beijia	BIB699	Licensed Representative	2, 4	
GUO Xinxin	BEM326	Licensed Representative		4
GUPTA Sankalp	BCC833	Licensed Representative		1
HAR Wilson Wai Shun	BBT689	Licensed Representative	2	
HASAN Safaat	BDE810	Licensed Representative	4	
HE Xin	AWN877	Licensed Representative	1, 4	
HE Yao	AYR359	Licensed Representative	1, 4	
HO Wai Man, Raymond	AGG546	Licensed Representative		2, 3
HO Yui Him	BGB436	Licensed Representative	4	
HU Chao	BGX227	Licensed Representative	9	
HU Lingxi	BIE143	Licensed Representative		4
HUA Zhenyu	BGF983	Licensed Representative	4	
HUANG Jialin	BJI242	Licensed Representative	4	
HUANG Jingheng	BJQ666	Licensed Representative	2	
HUI Ka Yeung, Matthew	BGN150	Licensed Representative	2, 4	
HUI Wai Yan, Kelly	APZ793	Licensed Representative		1
IAN Ho On	BIX779	Licensed Representative	2	
JAMES Alun Richard	BBU307	Licensed Representative	2	
JEON Woonki	BFT921	Licensed Representative	1, 2, 4, 5	9
JIANG Peng	BFE243	Licensed Representative		1
JIANG Xiang	BDJ974	Licensed Representative	1	2
JIN Yuanjie	BIS262	Licensed Representative	4	
KAM Wing Shu, Stephen	AAI338	Licensed Representative		3
KANG In Muk	ANG413	Licensed Representative		9
KIBBE Keith	BFV938	Licensed Representative		1, 4
KIM Min	BHC342	Licensed Representative	4	
KIM Yong Moon	AEW096	Licensed Representative		4
KO Oi Na	ALF942	Licensed Representative		4
KUO Shu Chen	BIV833	Licensed Representative		2, 4, 5
KWAN Kar Ching	BFE813	Licensed Representative	9	
KWAN Ying	BBN347	Licensed Representative	1	
LAI Pei Chung	ANW203	Licensed Representative	4	
LAI Yiu Chung	BEV720	Licensed Representative	1	
LAI Yu Hin	BBY488	Licensed Representative	1, 3, 4	
LAM Chi Hung	AGX704	Licensed Representative	1	
LAM Hoi Yan, Karen	AEY346	Licensed Representative	4, 9	
LAM Kar Yee, Kelly	APG511	Licensed Representative	4	
LAM Lai Kwan	AXC908	Licensed Representative	1	
LAM Wai Hong, Edward	AFU656	Licensed Representative		2, 3, 5
LAM Wai Shing	AYJ113	Licensed Representative	2, 5	
LAN Chen-yu	BGO322	Licensed Representative	2	
LAU Chak Lam	ABU297	Licensed Representative		2, 9
LAU Hiu Wai	AOD527	Licensed Representative		3
LAU Ka Hei	BAZ979	Licensed Representative	4	
LAU Ping Yau	AFT494	Licensed Representative		2
LAU Wing Hong	AAC947	Licensed Representative		5
LAU Yan Kit	ARI646	Licensed Representative	4	2, 3
LAW Cheuk Chung	BGQ367	Licensed Representative		5
LAW Ka Fai	APH953	Licensed Representative		1, 2, 4
LAW Kit Ching	ASH464	Licensed Representative	4	



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2017

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
LAW Long Hei Adrian	BIQ843	Licensed Representative		4, 5
LEE Man Kit	APM126	Licensed Representative		7
LEE Suk Wah, Inessa	ACH127	Licensed Representative		4
LEE Vizor	AWF319	Licensed Representative	1	
LEE Yee Man, Judith	AJB233	Licensed Representative		4
LEE Yuk Nam, William	ABF182	Licensed Representative	4	
LEI Ho Chun	ATY002	Licensed Representative		1, 3, 9
LEUNG Cheuk Kuen	BIB355	Licensed Representative	1	
LEUNG Christopher Lian-ben	BBE174	Licensed Representative		2, 9
LEUNG Chun Hei, Matthias	ARE214	Licensed Representative	9	
LEUNG Ka Ming	BJU601	Licensed Representative	2	
LEUNG Pui Ling, Polly	AJB855	Licensed Representative	4	
LI Jing	AOV618	Licensed Representative	7	
LI Min	ASU506	Licensed Representative	1, 6	
LI Qiang	BAQ944	Licensed Representative	1	
LI Wai Lun	BFT930	Licensed Representative	9	
LI Wai Ming	AJE758	Licensed Representative		3
LI Xunming	BFX730	Licensed Representative	1	4
LI Yunlu	BET994	Licensed Representative		4
LI Zheng	AXW275	Licensed Representative	1	
LI Zhenyu	AKN225	Licensed Representative	2	
LIAO Wei	AYJ548	Licensed Representative		4, 5
LIM Fei Yan	BEA786	Licensed Representative	9	
LIN Jinrong	BEI714	Licensed Representative	6	
LIU Jiangyue	BEZ909	Licensed Representative	4	
LIU Kit Ling	AUI936	Licensed Representative	9	
LIU Po Wen	ATL504	Licensed Representative	1	9
LIU Tak Ho	BHG219	Licensed Representative	2	
LIU Xiangting	BDL783	Licensed Representative	4	
LIU Xiaoji	BEN198	Licensed Representative	2	
LIU Zhongwen	BID794	Licensed Representative	1, 6	
LO Wai Kiu	AYI485	Licensed Representative	4, 9	
LOU Chao	AYR613	Licensed Representative	1	
LU Jiayi	BEZ119	Licensed Representative		2
LU Lining	BGQ272	Licensed Representative		1, 9
LUI Kar Wong, Dennis	AFM600	Licensed Representative	4, 9	
LUI Sung Hing	BEZ147	Licensed Representative	2	
LUK Tan	BJV581	Licensed Representative	4, 9	
LUO Qiwen	BIE311	Licensed Representative		1, 4
MA Hing Lam	AAH838	Licensed Representative	2	
MA Wan Ki Karsic	BJO062	Licensed Representative	4	
MA Xiaoli	BJZ738	Licensed Representative		4
MA Yung-Jie	BKP540	Licensed Representative	2, 5	
MADAYAG Claro Jr Ilagan	ARD958	Licensed Representative		7
MAGNE Sylvain Pierre Aymeric	BEX060	Licensed Representative	6	
MAK Cheuk Man	BAK387	Licensed Representative	4	
MAK Tsz Fung	BGL256	Licensed Representative		1
MASCOLO Fabiano Hugues Joseph	ANE267	Licensed Representative	9	
MEEPETCHDEE Yongyut	AXV892	Licensed Representative	4	
MENG Yuan	BCG394	Licensed Representative	9	
MO Li	BEX250	Licensed Representative		4
MO Mei Ling	AZY143	Licensed Representative	9	
MU Hsuan Jui	BGR452	Licensed Representative	2	
NG King Sum	BFA285	Licensed Representative	1	
OH Min Suk	BJO636	Licensed Representative	4	
PAN Dengke	BIC438	Licensed Representative	4, 9	2, 3
PANG Chi Chung, Samson	ABB259	Licensed Representative	1	



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2017

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
PANG Sin Yee, Sheila	ANQ371	Licensed Representative	4	
PANG Wing Yi	APH599	Licensed Representative	2	4, 9
POON Wai Kit	BGZ457	Licensed Representative	1, 4	
QIAN Shanjing	BBM291	Licensed Representative	9	
SEN Tung Ning	AFI668	Licensed Representative	1	
SHAH Rajan Hemendra	BLC790	Licensed Representative	9	
SHARMA Vikas	AFH090	Licensed Representative	2, 5	
SHAW Natalie Ann	AGB890	Licensed Representative	4	
SHEN Fangzheng	BHZ444	Licensed Representative		1, 4
SHIMAMOTO Arisa	BGM560	Licensed Representative	2, 5	
SHUM Alan Koon Ho	BBV882	Licensed Representative		5
SIT Yu Hei	BIH496	Licensed Representative	2	
SIU Chun Man	AWH255	Licensed Representative		4
SIU Hi Kin, Helfen	ABR636	Licensed Representative	2	
SONG Frank	AXK328	Licensed Representative	9	
SOU Alfred Ronald	BAN234	Licensed Representative		1, 9
Sreejesh Rajan	BCO974	Licensed Representative		1
SUN Gilbert Ken Bon	AZB607	Licensed Representative	4, 5	
SUN Jianwen	BJP791	Licensed Representative	2	
SUN Sifan	BIJ549	Licensed Representative	9	
SUN Yijun	BGF968	Licensed Representative	4	
SUNG Hiu Fai, Ronald	AIU569	Licensed Representative		9
SWARBRICK Andrew Jeremy	AFF234	Licensed Representative	2	
TAM Wai Chi, Ely	ABS460	Licensed Representative		9
TANG Hon Sum	BJY466	Licensed Representative	1	
TANG Jingchen	AZX116	Licensed Representative		2
TANG Man Kwong	AEX178	Licensed Representative	2	
TANG Wai Hong	AWH057	Licensed Representative	4, 5, 9	
TANG Yushang	BJI936	Licensed Representative	1	
TONG Ngat	AHN527	Licensed Representative		2, 4
TSANG Kwun Kit	AQC647	Licensed Representative	9	
TSANG Yin Chun	AOE451	Licensed Representative		2
TSE Wai Ming	AMZ184	Licensed Representative		4
TSUEI Ko-Chin	AVD909	Licensed Representative	4	
WADLE John Allen	AGS454	Licensed Representative	4	
WAN Ka Nin, Kenneth	ANN397	Licensed Representative		4
WAN Koon Ping	BJP586	Licensed Representative	2	
WAN Ning	BIJ337	Licensed Representative	4	
WANG Bin	AZI719	Licensed Representative		2
WANG Bo	AMN889	Licensed Representative		4
WANG Hao	BFR960	Licensed Representative	9	
WANG Hao	BGD708	Licensed Representative	1, 4	
WANG Qiongyao	AWP340	Licensed Representative		1, 9
WANG Yishu	BIB432	Licensed Representative	9	
WANG Yumeng	BKI610	Licensed Representative	1	4, 9
WANG Zihao	BEA839	Licensed Representative		4, 6
WELLS Alan Frank	BFW348	Licensed Representative	2, 7	4
WILLS David Richard	ANE567	Licensed Representative	1	
WONG Chin Wai Raymond	BLE917	Licensed Representative	2	
WONG Chun Wing	AUD220	Licensed Representative		2
WONG Ho Man	BFT530	Licensed Representative		4
WONG HOI LING	BJZ254	Licensed Representative		9
WONG Ka Yi	AMX935	Licensed Representative		4
WONG Kai Siu, Kelvin	BFX834	Licensed Representative	1	
WONG Kam Shing	BEL443	Licensed Representative		3
WONG Kan Tat, Frederick	AHJ600	Licensed Representative	4	
WONG Kin Kwan	BFD581	Licensed Representative	2	



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2017

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
WONG Man Kam	BCV344	Licensed Representative	4, 9	
WONG On Ki	BAK702	Licensed Representative	2	
WONG Pui Fai	BHQ211	Licensed Representative		2
WONG Sheh Yung	ALZ810	Licensed Representative		2
WONG Tak Shing	BJD728	Licensed Representative	9	
WONG Wa Pan, Vic	BJR961	Licensed Representative	2	
WONG Yiu Man	ADA634	Licensed Representative		2
WOO Mun Chung	BKB253	Licensed Representative	2	
WRIGHT Jake Robert	AYA323	Licensed Representative	1, 2	9
WU Daniel Yang	BIQ22	Licensed Representative		1, 4
WU Hiu Fung	AOV629	Licensed Representative	9	1, 2
XIA Junhua	BIE681	Licensed Representative	9	
XIANG Xin	BFG320	Licensed Representative	1, 6	3
XIE Chaoran	BGV754	Licensed Representative	1, 9	
XU Man	BGP800	Licensed Representative	4, 9	
XU Qianru	AXR267	Licensed Representative	4	6
XU Shengjie	BIQ715	Licensed Representative	4	10
XU Zhiling	BHX269	Licensed Representative		4
XU Ziyao	BHU591	Licensed Representative	4, 9	
YAN Ming Cheung	AEA354	Licensed Representative	9	
YAN Wai Ling	BDJ573	Licensed Representative	4	
YANG Anqi	BAC523	Licensed Representative		1, 9
YANG Dongni	BAP110	Licensed Representative	9	1, 4
YANG Yichao	BJH752	Licensed Representative	4	
YEH Shu-Wei	BGE406	Licensed Representative		1, 4
YEH Wen-Kai	BIJ819	Licensed Representative	2, 5	
YING Yik Hung	AAK817	Licensed Representative		5, 9
YIP Timothy Churk Yue	APF351	Licensed Representative	2	
YIP Wing Sze, Venz	AWD043	Licensed Representative	4	
YIU Yin Man	BFU981	Licensed Representative		2
YU Kai Yin, Kenny	BIR929	Licensed Representative	2	
YU Lam	APB773	Licensed Representative	1, 2	
YU Ming Lung	AUT720	Licensed Representative	6	
YUAN Xiaoxi	BHC153	Licensed Representative	1	
YUE Pui Lam	AGA571	Licensed Representative		2
ZHANG Min	BJO850	Licensed Representative	2	
ZHANG Ruizhi	BIY029	Licensed Representative	4	
ZHANG Xiaomei	AKV310	Licensed Representative		1, 4
ZHAO Shengjie	BFW849	Licensed Representative		1
ZHENG Kexun	BFU394	Licensed Representative	4	
ZHONG Yan	BDQ097	Licensed Representative		2
ZHOU Yishi	BEL742	Licensed Representative		1, 6
ZHU Hengqiu	ALZ610	Licensed Representative		4
ZHU Jiafeng	BBQ168	Licensed Representative	4	
ZHU Zhu	BKH350	Licensed Representative	4	
BLACKWELL Michael Kevin	BCN800	Licensed Representative - Responsible Officer		1
CHEN Miao-Ju	ALJ946	Licensed Representative - Responsible Officer	6	
CHEN Wei Hsun	ARG669	Licensed Representative - Responsible Officer	4	
CHOW Leung Chi	BFY425	Licensed Representative - Responsible Officer	4, 9	
CHU Wai Pang	ABF141	Licensed Representative - Responsible Officer	4	
DING Yuchao	AQS596	Licensed Representative - Responsible Officer	1	
HO Wai Kin	AYZ335	Licensed Representative - Responsible Officer	4	
KERRIGAN Daniel Burke	BIZ540	Licensed Representative - Responsible Officer		1
KO Oi Na	ALF942	Licensed Representative - Responsible Officer	1	
KWAN Tin Pui, Andy	ARF399	Licensed Representative - Responsible Officer	5	
LAM Chi Hung	AGX704	Licensed Representative - Responsible Officer		1
LAU Chung Hing, Sammy	AAE939	Licensed Representative - Responsible Officer	1	



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2017

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
LEE Ronald Suk Bae	AEO545	Licensed Representative - Responsible Officer	2	
LUO Liuyi	AHS854	Licensed Representative - Responsible Officer	1, 4	
NG Hoi Kam	AGP053	Licensed Representative - Responsible Officer	1	
PARADISE James Richard	AHA220	Licensed Representative - Responsible Officer	5, 7	
POON Siu Kuen, Calvin	AFR783	Licensed Representative - Responsible Officer	1	
PUN Hong Hai	AHS951	Licensed Representative - Responsible Officer	6	
ROSKELL Jeffrey James	AED788	Licensed Representative - Responsible Officer		1, 2
SHEA Kwok Hing, Patrick	AAC349	Licensed Representative - Responsible Officer	9	
SHEKERDEMIAN James Yervant	BGK431	Licensed Representative - Responsible Officer	7	
SHEN Weifen	BHX436	Licensed Representative - Responsible Officer	4	
SUNG Hiu Fai, Ronald	AIU569	Licensed Representative - Responsible Officer	6	
THOMPSON Marcus David William	AOL674	Licensed Representative - Responsible Officer	1	
TSANG Yin Chun	AOE451	Licensed Representative - Responsible Officer	4	
TSUI Chi Gai	AVQ208	Licensed Representative - Responsible Officer	9	
WANG Weidong	BHX438	Licensed Representative - Responsible Officer	4	
WONG Chun Kong	ATM806	Licensed Representative - Responsible Officer	4, 5	
WONG Sheh Yung	ALZ810	Licensed Representative - Responsible Officer	4	
WOO Wai Tong	ADZ983	Licensed Representative - Responsible Officer	9	
XIE Hongjun	AQZ553	Licensed Representative - Responsible Officer	4, 5	
YAN Chi Kwan	AGL147	Licensed Representative - Responsible Officer	9	
YAN Ka Lok	AJK630	Licensed Representative - Responsible Officer	1	
YAO Sheng	ALL051	Licensed Representative - Responsible Officer	4	
YE Yuedong	BGU322	Licensed Representative - Responsible Officer	9	
YEUNG Pok Man, Harvey	AJE845	Licensed Representative - Responsible Officer		1
YU Yin Chung, Peter	AAC408	Licensed Representative - Responsible Officer	4	
ZHOU Wei	BAC428	Licensed Representative - Responsible Officer	4	
CHIU Sai Kit	BKZ194	Licensed Representative (Provisional Licence)	2	
MUNDY David James	BEX113	Licensed Representative (Provisional Licence)	1	
TO Muk Tak	BLS731	Licensed Representative (Provisional Licence)	9	