



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2018

CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
Beiniu Securities Limited	ATR516	Licensed Corporation	2	
Constance Capital Limited	BIH639	Licensed Corporation	4, 9	
GEO Securities Limited	BAI290	Licensed Corporation	9	
JuniorChina Securities (Hong Kong) Limited	BJJ179	Licensed Corporation	2, 5	
Odyssey Asset Management Limited	BHX656	Licensed Corporation	1	
Strait Capital Management (HK) Limited	BEA932	Licensed Corporation	1	
AU Chun Kit, Paul	AGN721	Licensed Representative	9	
AU Hin Kwong	AZK297	Licensed Representative	1, 4	9
BAI Shanwei	BFN095	Licensed Representative	6	
BAVIS Mark John	ALH714	Licensed Representative		7
BELZA GONZALEZ Sergio	BEA484	Licensed Representative		1
BLUMSOM David Charles	ASL757	Licensed Representative		1
BROWN Ashley James	BEE969	Licensed Representative	2	
CAI Catherine Hongjun	AFJ286	Licensed Representative		1
CAO Jun	APW805	Licensed Representative	4	
CHAK Kwok Fai, Alan	AA091	Licensed Representative		2
CHAN Christy	BHQ079	Licensed Representative		4
CHAN Kar Wah	ADS842	Licensed Representative		2, 3, 9
CHAN Kiu Yee, Eva	BEM502	Licensed Representative	1, 4	
CHAN Lai Sze	BKQ410	Licensed Representative	2	
CHAN Siu Kit	BGT717	Licensed Representative		2, 9
CHAN Siu Ling, Ascar	AVC082	Licensed Representative	9	2
CHAN Siu Ming	AEU968	Licensed Representative	9	
CHAN Tak Sum	BLZ737	Licensed Representative	2	
CHAN Tsang Tao, Oswald	AQS492	Licensed Representative	9	6
CHAN Tsz Ho	BJP438	Licensed Representative	2	
CHAN Yan	AOO247	Licensed Representative		4
CHAN Yuen Fun, Remi	ANQ011	Licensed Representative	2	
CHANG Cho Yam, Joseph	AGB116	Licensed Representative	1	
CHANG Weijun	AOV859	Licensed Representative		4, 9
CHANG Yan Wing	ADX897	Licensed Representative		1
CHANTRELL John Robert	BIB351	Licensed Representative		9
CHAU Che Huen	BKQ952	Licensed Representative	4, 9	1, 2
CHAU Sze Wan, Devan	AMH270	Licensed Representative	2	
CHAU Yiu Keung	BCC067	Licensed Representative	1	
CHEN Xiaohua	BAM436	Licensed Representative		9
CHEN Yifan	BDL756	Licensed Representative	1, 4, 6	10
CHEN Yilian	BEL109	Licensed Representative	4	2
CHENG Kam Tak, William	ACB021	Licensed Representative	2	
CHENG Pak To	ANM162	Licensed Representative		1, 2
CHENG Tsz Tsun	APP183	Licensed Representative	9	
CHENG Wing Yee	ATO959	Licensed Representative		4
CHENG Yan	AZR668	Licensed Representative	4	
CHEUNG Chi Ho	BEE471	Licensed Representative		4
CHEUNG Wai Kit	ANY303	Licensed Representative	9	
CHEUNG Wan Wah	AWA346	Licensed Representative		2



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CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
CHI Danny	AFK451	Licensed Representative	4, 9	
CHIN Chi Kui	APQ984	Licensed Representative		9
CHIN Yuan, Sef	BIN543	Licensed Representative	9	1, 4
CHOI Chor Kin	BJH948	Licensed Representative	9	
CHOI Wing Tak	AYS109	Licensed Representative		1
CHU Cheuk Hung	BDL291	Licensed Representative		2
CHUEN Ho Yin, Simon	AGO936	Licensed Representative	4	
CHUI Ka Kit	ARW180	Licensed Representative	9	
CHUI Pun Chiu	ABV675	Licensed Representative	4, 9	
CHUI Tak Mong Jodie	BIQ703	Licensed Representative	2	
CHUNG Chun Yin	BEM830	Licensed Representative		4
CHUNG Hiu Mei	BGA487	Licensed Representative		9
CHUNG Ho Lun	AUJ772	Licensed Representative		1
CHUNG Man Sun	AAI552	Licensed Representative	4	
DE JAILLON Julien Pierre Jeremie	AYI892	Licensed Representative	2	
FENG Yun	ATN364	Licensed Representative		1
FOK Wai Hung	AFN727	Licensed Representative		2, 3
FOO Tzi Chun, Wallace	ADC298	Licensed Representative	1	
FOONG Leon Chiew	APL599	Licensed Representative		1
FU Ka Ho	AOT860	Licensed Representative		1, 2
FU Pui Ling	AYU562	Licensed Representative	2	
FUNG Ka Ho, Eric	AUA455	Licensed Representative	3	
FUNG Sik Lun	ALH713	Licensed Representative	1	
FUNG Yu Keung	BLB503	Licensed Representative	2	
FUNG Yuen Yan	AUX016	Licensed Representative	4, 9	1
GAO Tingting	AQC487	Licensed Representative	4	
GAO Yijia	BEL955	Licensed Representative		9
GUO Shuang	BHF064	Licensed Representative	2	4, 5, 9
HEYLER Daniel Andrew	AGN389	Licensed Representative		4
HO Ho Ming	AGC647	Licensed Representative	2	
HO Wai Hong	AVC922	Licensed Representative		3
HONG Ru	BJC336	Licensed Representative	10	4
HU CHAI Yong Wei	AUQ515	Licensed Representative		6
HUANG Jiahao	BGT296	Licensed Representative	4, 9	
HUANG Kun-sheng	BHV143	Licensed Representative	9	1, 4
HUANG Lili	ARW734	Licensed Representative	2	
HUANG Ling Kwan	AUQ372	Licensed Representative	9	
HUANG Shu Hui	ATP059	Licensed Representative	1	
HUANG Yao	AXX667	Licensed Representative	1	
HUNG Hing Man	ABM858	Licensed Representative		9
HUNG Ho Lam	APK784	Licensed Representative		2
HUNG Ling Fai	AVT055	Licensed Representative	1	
JAWAL Anshul	ATN368	Licensed Representative		2
JEONG Jun Ho	BFO309	Licensed Representative		6
JI Meihui	BGT840	Licensed Representative	1, 9	
JIAO Qian	BII053	Licensed Representative		4, 9



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2018

CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
KWAI Ni	ALV039	Licensed Representative		2, 7
KWAN Hoi Wai	ATV559	Licensed Representative	6	
KWAN Ka Chung	AEE606	Licensed Representative		1
KWOK Kwai Ming Natalie	BLD320	Licensed Representative	2	
KWONG Chi Ki, Gary	ALC080	Licensed Representative	4	
LAI Sui Ting	BGE168	Licensed Representative	4	
LAI Wing Yin	BLP002	Licensed Representative	1	
LAM Ho Yeung	AFV159	Licensed Representative	4	
LAM Lap Yen, Roger	ACQ984	Licensed Representative		6
LAM Shiu Lung, Cyril	BCO508	Licensed Representative	4, 9	1
LAM Wai Hong, Edward	AFU656	Licensed Representative	4	
LAM Yee Yin, Dickson	ACC478	Licensed Representative	6	
LAM Yi Long	BJV075	Licensed Representative	1	
LAU Fung Ngor, Swan	ARQ530	Licensed Representative	4, 9	
LAU Ho Wai	BGB959	Licensed Representative		1
LAU Hung	BJK229	Licensed Representative	1	
LAU Yun Kit	BFK151	Licensed Representative	2	
LEE Chun Wai	AMK024	Licensed Representative		4, 5
LEE Man Lok	AVX919	Licensed Representative		4
LEE Tsz Ho	APJ560	Licensed Representative	9	
LEE Wai Keung	ANT413	Licensed Representative		2
LEE Wai Kit	AJG299	Licensed Representative	4	
LEE Wut Keung	AOB432	Licensed Representative	4	
LEE Yiu Wing	ABN714	Licensed Representative		2
LEI Ho Chun	ATY002	Licensed Representative	1, 3, 9	
LEUNG Chak Hei	AYN955	Licensed Representative	4	
LEUNG Ngai Ho, Kelvin	APJ702	Licensed Representative	1	9
LEUNG Ying Kwan	BFY311	Licensed Representative		1
LI An Kit	BIG062	Licensed Representative	1, 9	
LI Baohua	BJU349	Licensed Representative		1
LI Guangyu	BBE663	Licensed Representative		1, 5
LI Guanyu	BEF245	Licensed Representative		4, 6
LI Haihu	BBJ048	Licensed Representative	1, 4, 6	10
LI Jack C F	AIB172	Licensed Representative	1, 4	
LI Mengdi	BKJ260	Licensed Representative	4	
LI On Ki	ANA057	Licensed Representative		4, 6, 9
LI Tsz Tung	AVM767	Licensed Representative	2	
LI Xinyi	BHO437	Licensed Representative		4
LI Ying Hung	BGI458	Licensed Representative		2
LI Zhan	AZX297	Licensed Representative	4, 9	
LI Zhuozhuo	BAH969	Licensed Representative	4	
LIN Yichun	BIK419	Licensed Representative	2, 4	6
LIN Yingzi	BCL751	Licensed Representative	1	
LIU Bin	BFX534	Licensed Representative		9
LIU Fei	BDE493	Licensed Representative		2
LIU Xiaomeng	BEN196	Licensed Representative		9



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2018

CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
LIU Yan	BJO206	Licensed Representative	2	6
LIU Yin	AXR266	Licensed Representative	2	
LIU Yuan	ANM106	Licensed Representative		6
LIU Zhihong	AEC891	Licensed Representative	1, 4	9
LO Mun Keung	AFV442	Licensed Representative	2, 5	
LOK Chi Lai, Jason	ALO210	Licensed Representative		4
LUK Ka Wai	APL793	Licensed Representative		2, 3
MA Linlin	ASK727	Licensed Representative	6	
MAK Siu Chung	BIQ231	Licensed Representative		5, 9
MCCARTNEY Steven	BAF596	Licensed Representative		9
MELERO Fabien	BEN061	Licensed Representative		2, 4, 5
MICHAEL Benjamin Ross Wallington	AMI890	Licensed Representative	1, 4	
NARULA Gurpreet Singh	BEW644	Licensed Representative	2	
NG Ho Yuen, Howard	AEZ250	Licensed Representative		1
NG Ka Hing	ACU882	Licensed Representative	9	1, 2
OUYANG Chang	BLC345	Licensed Representative	2	
PAN Yunxiu	BHI165	Licensed Representative	4	
PANG Kai Chun	AOJ337	Licensed Representative		1
PANG Leung Wai, Andrew	ABK028	Licensed Representative		1
PARK Sang Jun	BBP117	Licensed Representative	6	
PUN Chun Fung	AXD515	Licensed Representative		2
PUN Tit Shan	ABR234	Licensed Representative		1
QIN Zhen	BGB949	Licensed Representative	4, 9	
ROBERTS Christopher Fenton	AAD528	Licensed Representative	9	4
RUAN Weishi	AYT644	Licensed Representative		4
SEONG Ki Yong	BJO816	Licensed Representative	1, 2, 4	
SHANG Zihan	BLW773	Licensed Representative	4, 9	
SHAO Wanqi	BJR782	Licensed Representative	9	
SHIMA Miho	BHA254	Licensed Representative	2, 7	
SHU Lulu	BKE315	Licensed Representative	9	
SHUM Ka Wai	AXQ544	Licensed Representative		2
SI Jia	BGE553	Licensed Representative	1	
SITBON Raphael Georges	BJK527	Licensed Representative		1, 4
SIU Natalie Hoi Ling	AZC479	Licensed Representative		6
SIU Po Wa Power	BGI917	Licensed Representative	9	1
SO Adrian Lap Kuen	BKR795	Licensed Representative	4	
SO Kevin Hoi Chak	AHN580	Licensed Representative		9
SONG Honghai	AME465	Licensed Representative	9	
SUEN Chi Yeung, Toby	AYI153	Licensed Representative		4
SUN Lilei	APL885	Licensed Representative		4
SZE Man Chuen	BAX676	Licensed Representative	1	3
SZE Shun Fai	BJP009	Licensed Representative		4
SZETO Chung Leung	ADN791	Licensed Representative		2
TAM Ka Hong	BIQ325	Licensed Representative	2, 3, 4	
TAM Mayce	ADW542	Licensed Representative	4	
TAM Sze Chun Christopher	BFC980	Licensed Representative	2	



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2018

CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
TANG Kwan Nin	AZK757	Licensed Representative	4	
TANG Tsz Mei	BJP054	Licensed Representative	4	
TONG Ka Wai, Geoffrey	AXG146	Licensed Representative	4	
TONG Wai Tak, William	AJB117	Licensed Representative	1, 4	
TSE King Fai, Philip	AGG695	Licensed Representative		4
TSE Yan Wah, Ivy	AZR326	Licensed Representative	1, 4	
VAN VLIET NICOLAS RUDOLF	BJH418	Licensed Representative	4	
WAN Pang Chi	BHF148	Licensed Representative	1	
WAN Yiding	BKW037	Licensed Representative	4	
WAN Yuk Ling	AGY915	Licensed Representative		9
WANG Haoyu	ARN562	Licensed Representative		1
WANG Sichen	BIM096	Licensed Representative		6
WANG Xiaojun	BFX807	Licensed Representative		6
WANG Yao	BHZ686	Licensed Representative	1	
WANG Yayuan	ARM817	Licensed Representative		4, 9
WEI Yijing	BLC321	Licensed Representative	1	
WENG Fang	BLP777	Licensed Representative	1	
WONG Chun Ming, Stephen	AAA944	Licensed Representative		1, 4, 9
WONG David Tai Wai	BBJ041	Licensed Representative		1, 4
WONG Gee Wing Melissa	BJK456	Licensed Representative	4	
WONG Hoi Ling	BJZ254	Licensed Representative		2
WONG Ka Wing	AVZ613	Licensed Representative	9	
WONG Kin Wang	AYD861	Licensed Representative	9	
WONG Ling Fung	AOX674	Licensed Representative		4
WONG Mung Yu, Daniel	BAD878	Licensed Representative	4	5
WONG Shun Hing	AOH005	Licensed Representative	4	
WONG Suling	ACJ388	Licensed Representative		2
WONG Tin Yu	AFS830	Licensed Representative		2
WONG Tsz Hung	BCS712	Licensed Representative		4
WONG Yick Lam, Vivian	BEZ798	Licensed Representative		2
WONG Yiu Kwong	BGO349	Licensed Representative		4, 9
WU Chui Ni	BGM264	Licensed Representative	9	
WU Chun Nam Dennis	BDA598	Licensed Representative		2
WU Chun-han	AXH168	Licensed Representative	1	
WU Nan	AUW139	Licensed Representative	1, 4	
WU Tsung Hsien	BHP400	Licensed Representative	4	
XIE Chaoran	BGV754	Licensed Representative		4
XIONG Linan	BFG816	Licensed Representative		1
XU Kejia	AQD990	Licensed Representative	4	
YAM Chung Wai	BIV276	Licensed Representative	4, 9	
YAM Wai Tak	AMK311	Licensed Representative		5
YANG Quanxin	AZF438	Licensed Representative		1
YANG Zhizhong	ACO050	Licensed Representative		1, 4
YAO Hongyu	BGF957	Licensed Representative	6	
YEUNG Cheuk Ki	BDO775	Licensed Representative	9	1, 2, 4
YEUNG Chung Lung	AQX406	Licensed Representative		2



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CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
YIM Wing Yu	BGZ419	Licensed Representative	1, 9	
YIP Chun Kuen, Eddy	AQP744	Licensed Representative	4	
YIP Shing Lam	BFR732	Licensed Representative	1	
YIU Pui Yee	ACY334	Licensed Representative	4, 6	
YU Hiu To	AGM902	Licensed Representative		1, 4
YU Yinghua	AUQ932	Licensed Representative		1, 4
YUEN Ka Leung	ANV050	Licensed Representative	9	
ZHANG Chunxin	BAM431	Licensed Representative	9	
ZHANG Gongbo	BGW414	Licensed Representative	4	
ZHANG Nan	BHN934	Licensed Representative	1, 9	
ZHANG Qinrui	AXQ582	Licensed Representative	1, 9	
ZHANG Shaobo	BIM865	Licensed Representative	2	4, 5, 9
ZHANG Yin	AVS035	Licensed Representative		1
ZHANG Yu	BDN241	Licensed Representative	4	
ZHENG Yuanyuan	BLB635	Licensed Representative	4	
Zheng Yuchun	AJL959	Licensed Representative	4, 9	
ZHOU Tingting	AUG803	Licensed Representative	4	6
ZHOU Yun	BGL129	Licensed Representative		1
ZHU Xingtong	AYC355	Licensed Representative	9	1, 2
BELZA GONZALEZ Sergio	BEA484	Licensed Representative - Responsible Officer	9	
CHAN Chi Hung	AMN881	Licensed Representative - Responsible Officer	4, 9	
CHAN Kwok Hay	ACA610	Licensed Representative - Responsible Officer	4, 9	
CHAN Wai Man	ACL111	Licensed Representative - Responsible Officer	5	
CHAN Wing Shing, Wilson	AFA800	Licensed Representative - Responsible Officer	9	
CHANG Yan Wing	ADX897	Licensed Representative - Responsible Officer	4	
CHEN Ronghua	BBD166	Licensed Representative - Responsible Officer	4	
CHEUNG Wah Fung, Christopher	AAE131	Licensed Representative - Responsible Officer	2	
CHIN Tak Fat	ASD647	Licensed Representative - Responsible Officer	4	
CHIU Cheuk Man	ASS493	Licensed Representative - Responsible Officer	4, 5	
CHOY Wing Sze, Rose	AIX156	Licensed Representative - Responsible Officer	9	
DELLA VEDOVA Shaun Edward	BGU590	Licensed Representative - Responsible Officer	1	
DIU Chin Fai	ACU910	Licensed Representative - Responsible Officer	4	
FANG Pei Wei	AGB884	Licensed Representative - Responsible Officer	2, 5	
GUO Yi Xi	AFB192	Licensed Representative - Responsible Officer	5	
HO King Fai	ANV293	Licensed Representative - Responsible Officer	1	
HO Lok Shan	BJP426	Licensed Representative - Responsible Officer	1	
HU Ming	BLE484	Licensed Representative - Responsible Officer	2, 6	
HU Tao	BIC655	Licensed Representative - Responsible Officer	2, 5	
HUNG Hing Man	ABM858	Licensed Representative - Responsible Officer	2	
HUNG Siu Chun, Michael	AGA524	Licensed Representative - Responsible Officer	7	
JAMES Todd Howard	AVX425	Licensed Representative - Responsible Officer	9	
JONES Mark Dean	AZQ241	Licensed Representative - Responsible Officer	6, 9	
LAI Tak Leung, Iven	AAG867	Licensed Representative - Responsible Officer	9	
LASKA Esther Jingsun	BJS885	Licensed Representative - Responsible Officer		4
LEE Hyung Jin	ADX373	Licensed Representative - Responsible Officer	2	



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CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
LEUNG Kenneth Kwun Chung	ARN820	Licensed Representative - Responsible Officer		6
LI Jia You, Leo	AYA379	Licensed Representative - Responsible Officer	4	
LIM Kin Heng	AUV550	Licensed Representative - Responsible Officer	9	
LIU Fei	BDE493	Licensed Representative - Responsible Officer	9	
LIU Yuan	ANM106	Licensed Representative - Responsible Officer	9	
LO Pui Man, Ricky	ABT327	Licensed Representative - Responsible Officer	4	
LO Sing	AEM141	Licensed Representative - Responsible Officer	4	
LUN Sheung Nim	ADR500	Licensed Representative - Responsible Officer	9	
MA Fai	AWB641	Licensed Representative - Responsible Officer	1	
MA Wing Sing	AJ1838	Licensed Representative - Responsible Officer	2, 5	
NG Ho Yuen, Howard	AEZ250	Licensed Representative - Responsible Officer	4	
PENG David Hoantee	AET830	Licensed Representative - Responsible Officer	4	
PUN Tit Shan	ABR234	Licensed Representative - Responsible Officer	4, 9	
SIU Kin Chung	ABY042	Licensed Representative - Responsible Officer		1
SUO Suo Stephen	AYV371	Licensed Representative - Responsible Officer	1	
TAM Ho Yeung	ASZ119	Licensed Representative - Responsible Officer	4	
TSANG Kim Po	AEZ492	Licensed Representative - Responsible Officer	5	
VOVIL Daniel Royden Thomas	APQ476	Licensed Representative - Responsible Officer	1	
WALKER Alexander David James	ALZ865	Licensed Representative - Responsible Officer	1	
WONG Chak Wai	ACN129	Licensed Representative - Responsible Officer	2, 5, 6, 9	
WONG Chun Wah	AAA213	Licensed Representative - Responsible Officer	2, 5	
WONG Siu Man	APR830	Licensed Representative - Responsible Officer	4	
WONG Ying Kit	APH572	Licensed Representative - Responsible Officer	2	
WU Chia Fen	AZW080	Licensed Representative - Responsible Officer	1	
WU Chun Nam Dennis	BDA598	Licensed Representative - Responsible Officer	4	
YIP Ka Lung	ADZ376	Licensed Representative - Responsible Officer	4, 9	
YUEN Chi Kwong	ART642	Licensed Representative - Responsible Officer	4	
YUEN Ying Ho	ACK266	Licensed Representative - Responsible Officer	9	
ZHOU Teng	ASL094	Licensed Representative - Responsible Officer	9	