

VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 02/2019

| CE Name | CE No. | License Type | Types of Regulated Activity Added | Types of Regulated Activity Removed |
|--|--------|-------------------------|-----------------------------------|-------------------------------------|
| CHINALIN SECURITIES (HONG KONG) COMPANY LIMITED | ADJ832 | Licensed Corporation | 2, 5 | |
| Diamond Head Capital Asset Management (HK) Limited | AZN664 | Licensed Corporation | 4 | |
| Goldhorse Capital Management (HK) Limited | BDR769 | Licensed Corporation | 1, 4 | |
| Goldin Equities Limited | AFY561 | Licensed Corporation | | 2 |
| HGC Investment Management (HK) Limited | BHP338 | Licensed Corporation | 1 | |
| Innovest Asset Management Limited | BGB564 | Licensed Corporation | 4 | |
| Max Giant Limited | BDH253 | Licensed Corporation | 4 | |
| Permira Advisers Limited | AQX038 | Licensed Corporation | 1 | |
| Po Tai Securities (Hong Kong) Limited | BJH199 | Licensed Corporation | 4 | |
| Vision Capital International Holdings Limited | BGH560 | Licensed Corporation | 4 | |
| AN Tianqiong Angel | BND227 | Licensed Representative | 4, 9 | |
| AU Tsz Chung | AWO394 | Licensed Representative | 6 | 1, 2, 3 |
| BAI Feng | BNU730 | Licensed Representative | 6 | |
| CAI Min | BJD809 | Licensed Representative | 1, 9 | |
| CHAI Sheng Min | BNV473 | Licensed Representative | 3 | |
| CHAN Jo Yan, Joanne | AFF173 | Licensed Representative | 2 | |
| CHAN Kam Pui | AVF495 | Licensed Representative | 1, 4 | |
| CHAN King Yeung | BCF239 | Licensed Representative | 4 | |
| CHAN Lung Sang | AUA794 | Licensed Representative | | 9 |
| CHAN Rocco | BFX164 | Licensed Representative | 4 | |
| CHAN Shu Fung | BDJ926 | Licensed Representative | | 5 |
| CHAN Siu Kwong | BHV687 | Licensed Representative | | 1, 4 |
| CHAN Wai Fung | ARB852 | Licensed Representative | 6 | 1, 4, 9 |
| CHAN Wai Kit, Winkins | AQD954 | Licensed Representative | | 2 |
| CHAN Wai Sze | BIN990 | Licensed Representative | 4 | |
| CHAN Yat Keung | BFK744 | Licensed Representative | 4, 9 | 1, 2 |
| CHANG Huey-Mie | APK336 | Licensed Representative | 2, 4, 5 | |
| CHARFI Hatem | BGN143 | Licensed Representative | | 1, 7 |
| CHEN Chao | BDI410 | Licensed Representative | | 1 |
| CHEN Congyan | BNO567 | Licensed Representative | 9 | |
| CHEN Siying | BMM163 | Licensed Representative | 4, 9 | |
| CHEN Yalei | ARW897 | Licensed Representative | 9 | 4 |
| CHENG Bryden Tsz Him | BNH982 | Licensed Representative | 3 | |
| CHENG Chi Bun, Brian | AGN392 | Licensed Representative | | 1 |
| CHENG Chi Sing | BMM582 | Licensed Representative | 2 | |
| CHENG Ka Wa | ABS482 | Licensed Representative | | 2, 4 |
| CHENG Man Yu, Duncan | AGH568 | Licensed Representative | 9 | |
| CHENG Richard JR | BLB110 | Licensed Representative | 4 | 6 |
| CHENG Yuen Kin | BKT548 | Licensed Representative | | 2 |
| CHEUNG Chi Shing | ATY586 | Licensed Representative | 4, 9 | |
| CHEUNG Kin Hang | ARA266 | Licensed Representative | 1 | 5 |
| CHEUNG King Kan, Eddie | BMR061 | Licensed Representative | 4 | 5 |
| CHEUNG Man Yu | ADV638 | Licensed Representative | | 1 |
| CHEUNG Mandy | BGN430 | Licensed Representative | | 1 |
| CHI Rui | AJE393 | Licensed Representative | | 1 |
| CHOI Ka Fai | AFG493 | Licensed Representative | | 2 |
| CHONG Ming Hang | AWJ006 | Licensed Representative | | 1 |
| CHONG Shing Ho | BBP101 | Licensed Representative | 10 | 4, 9 |
| CHOW Ka Man | AA115 | Licensed Representative | 6 | |
| CHU Ka Kwan, Lorraine | BCC327 | Licensed Representative | 4 | |
| CHUNG Chak Man | APH261 | Licensed Representative | | 9 |
| CURA Jerome De La Cruz | BGB050 | Licensed Representative | | 7 |
| DENG William Shijun | BGT750 | Licensed Representative | 1 | 4, 9 |
| DING Weizhi | BFK805 | Licensed Representative | | 9 |
| DORR KEVIN | BNR608 | Licensed Representative | 9 | |
| DUGGAN Edward Bernard Charles | BDD898 | Licensed Representative | | 4, 7 |
| ERSOY Alan Metin | AOY949 | Licensed Representative | 7 | |
| FAN Ching Yee | AHR797 | Licensed Representative | 1 | |
| FANG Shuyu | BF791 | Licensed Representative | 5 | |

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| CE Name | CE No. | License Type | Types of Regulated Activity Added | Types of Regulated Activity Removed |
|-------------------------|--------|-------------------------|-----------------------------------|-------------------------------------|
| FANG Zhiying | AWK007 | Licensed Representative | 9 | |
| FOK Do Ming, Gary | ASX198 | Licensed Representative | | 7 |
| FONG Man Kin | APF454 | Licensed Representative | | 4 |
| FONG Yee Tat | AUP910 | Licensed Representative | | 4 |
| FOUR Matthew | AXI468 | Licensed Representative | | 7 |
| FU Ting Ting | AAY612 | Licensed Representative | 4 | |
| FUAN Hai Tao | AQV646 | Licensed Representative | 2 | 9 |
| FUNG Wing Yee | AVH672 | Licensed Representative | | 1, 4 |
| FUNG Yuen Tsun | AWU399 | Licensed Representative | 4 | |
| GANY Yuki | BBW706 | Licensed Representative | 4 | 1 |
| GAO Lu | BNO307 | Licensed Representative | 3 | |
| GAO Qifan | BHE173 | Licensed Representative | 3 | 1, 2 |
| GUEGAN Vianney Eric | AZ601 | Licensed Representative | 1 | |
| HE Zheng | APC123 | Licensed Representative | 6 | |
| HO Chi Yun, Connie | AOA083 | Licensed Representative | 4 | |
| HO Chia-Long | ARA661 | Licensed Representative | | 1 |
| HO Mei Lok | AMY548 | Licensed Representative | 2, 3 | |
| HO Szu-hsien, Josephine | APS312 | Licensed Representative | 10 | 4, 9 |
| HO Tsz Tung | BGL231 | Licensed Representative | 2 | |
| HO Yuk Kuen | ABU329 | Licensed Representative | 2 | |
| HONG Jiabei | AYK703 | Licensed Representative | | 9 |
| HONG Minki Brian | ARE674 | Licensed Representative | 1 | |
| HSU Kuang-yao | BCI351 | Licensed Representative | | 9 |
| HUANG Tao | BNY405 | Licensed Representative | 1 | |
| HUI Chun Kwok | BKK679 | Licensed Representative | 9 | |
| HUNG Chung Hei | BAY484 | Licensed Representative | 4 | |
| HUNG King Chun | BJK405 | Licensed Representative | 1 | |
| IP Tsz King | BFL255 | Licensed Representative | 6 | 9 |
| JIANG Limin | BMA493 | Licensed Representative | 4, 9 | 6 |
| JU Sung Cheol | ANT438 | Licensed Representative | | 4, 9 |
| KONG Luhua | AOL209 | Licensed Representative | 9 | 1, 2 |
| KONG Ming Fai | ADZ902 | Licensed Representative | | 1, 2, 4, 5 |
| KUAI Chen | BGT617 | Licensed Representative | 1, 4 | |
| KUANG Kaiwen | BGB219 | Licensed Representative | | 9 |
| KUANG Tao | AWL776 | Licensed Representative | | 2 |
| KWAN Wai Shan | BJL010 | Licensed Representative | 4, 5 | |
| KWOK Yu Ho | BNP444 | Licensed Representative | 9 | |
| KWONG King Chun | BJT521 | Licensed Representative | 2, 5 | |
| LAM Cheuk Fung | AUZ013 | Licensed Representative | | 1, 4 |
| LAM Man Ho | AXI653 | Licensed Representative | 9 | 4 |
| LAM Shung Yau, Andy | ABS673 | Licensed Representative | | 2 |
| LAM Sin | BNK383 | Licensed Representative | | 1 |
| LAM Sui Lung | BHJ694 | Licensed Representative | | 1 |
| LAM Wan Yee, Cynthia | AHV111 | Licensed Representative | 4 | |
| LAM Yik Man | BNR320 | Licensed Representative | 3 | |
| LAU Kendrick Nam Fun | BAU635 | Licensed Representative | 1 | 4 |
| LAU Ming Yeung, Stephen | ANB243 | Licensed Representative | | 1, 4 |
| LAU Siu Lun | BGB187 | Licensed Representative | 1 | |
| LAU Yiu Wai | ACI099 | Licensed Representative | | 1, 4 |
| LAW Kwok Chi | AWF466 | Licensed Representative | | 9 |
| LECORNU Samuel John | ARA335 | Licensed Representative | | 1, 4 |
| LEE Chun Bong | ALR864 | Licensed Representative | | 3, 4, 5 |
| LEE Chun Yin, Wesley | ANS288 | Licensed Representative | 9 | |
| LEE Kin Chun | ARH236 | Licensed Representative | 4 | |
| LEE Lok Hin, Clement | BHZ872 | Licensed Representative | 4 | 9 |
| LEE Tsi Bun, Benjamin | AQM594 | Licensed Representative | | 2 |
| LEE Tsz Hong | BLV467 | Licensed Representative | | 1 |
| LEE Wai Tsang, Rosa | AIZ436 | Licensed Representative | | 1 |
| LEE Wai Yip | AWX944 | Licensed Representative | | 2, 4 |

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| CE Name | CE No. | License Type | Types of Regulated Activity Added | Types of Regulated Activity Removed |
|--------------------------------|--------|-------------------------|-----------------------------------|-------------------------------------|
| LEE Wing Ki | BNU621 | Licensed Representative | 3 | |
| LEUNG Chin Hung | ANF148 | Licensed Representative | 4 | |
| LEUNG Chiu Ni | BI982 | Licensed Representative | | 1 |
| LEUNG Chun Wa | AJF048 | Licensed Representative | 1 | |
| LEUNG Soi Chi | BKW301 | Licensed Representative | 5 | 1 |
| LEUNG Tze Ying Gwen | AYQ010 | Licensed Representative | 1 | |
| LEUNG Yuen Kwan | AKP198 | Licensed Representative | 1 | |
| LI Jingming | BNV899 | Licensed Representative | 4 | |
| LI Ming | BEZ244 | Licensed Representative | | 6 |
| LI Siqi | BLZ748 | Licensed Representative | 4 | 6 |
| LI Xiang | BLM865 | Licensed Representative | | 1 |
| LI Yuming | BJD568 | Licensed Representative | 4, 9 | |
| LI Zhangyun | BLM932 | Licensed Representative | 9 | |
| LI Zhenyu | AKN225 | Licensed Representative | | 2 |
| LIAO Zicheng | BNC493 | Licensed Representative | | 4 |
| LIM Zhu Xiang Sandy | BGI280 | Licensed Representative | 10 | 4, 9 |
| LIN Gin Chi | BHJ032 | Licensed Representative | | 4 |
| LIN Ye | BAM249 | Licensed Representative | 5, 9 | 1 |
| LINE Kwai Chun | ACK809 | Licensed Representative | | 2, 9 |
| LIU Chang | BFC776 | Licensed Representative | | 6 |
| LIU Chang | BLF877 | Licensed Representative | 2 | |
| LIU Han-Chih | AWJ230 | Licensed Representative | 4 | |
| LIU Ning | ASZ222 | Licensed Representative | 2 | |
| LIU Qing | BGH970 | Licensed Representative | | 1 |
| LIU Yan | BAC176 | Licensed Representative | | 1, 6 |
| LIU Ying Chen | AHP730 | Licensed Representative | 1 | |
| LO Duke Yun-Tao | AQI549 | Licensed Representative | | 1, 4 |
| LO Mei Kan | ARB097 | Licensed Representative | 4, 9 | |
| LUK Nga Cheong | BJK529 | Licensed Representative | | 1 |
| MA Pui Keung | BFE801 | Licensed Representative | | 1 |
| MAC ALOON John Joseph | AVF623 | Licensed Representative | | 4 |
| MAK Tsz Kin | BFN917 | Licensed Representative | 2, 9 | |
| MATANEY Pankaj Gul | AWK557 | Licensed Representative | 2, 7 | 4 |
| MERNER Ken Tokugawa | BLO977 | Licensed Representative | 2 | |
| NAITO Atsushi | AKW699 | Licensed Representative | 4 | |
| NG Chun Yiu, Richard | BER542 | Licensed Representative | | 1 |
| NG Chung Pang | ACK551 | Licensed Representative | | 4 |
| NG Mei Hang | BIG096 | Licensed Representative | | 9 |
| NG Raymond Ying Wang | AEK090 | Licensed Representative | | 9 |
| NG Wing Yin | BLT285 | Licensed Representative | 2, 3 | |
| NICHOLSON Robert Kenneth | AYX579 | Licensed Representative | | 7 |
| ONG Charlie Yveline Jeanne | BLG082 | Licensed Representative | 4, 9 | 1 |
| OOI Boon Sing | BBY029 | Licensed Representative | 4 | |
| ORTON Jamie | AZD119 | Licensed Representative | | 7 |
| PAN Jingjing | AVN220 | Licensed Representative | 1 | |
| PANG Ting Ting | APH428 | Licensed Representative | 4 | |
| PIACHAUD James Anthony Charles | ARG656 | Licensed Representative | 9 | 1 |
| POON Chun Man | BJM235 | Licensed Representative | 9 | |
| REN Guohua | ADO422 | Licensed Representative | | 1, 6 |
| SEHGAL Vaibhav | BBY825 | Licensed Representative | 7 | |
| SHANG Lei | BNH677 | Licensed Representative | 1 | |
| SHAO Dan | BFH489 | Licensed Representative | | 9 |
| SHAW Benjamin John | BGN402 | Licensed Representative | | 2 |
| SHI Xiaoqing | BHY233 | Licensed Representative | 9 | 4 |
| SHU Liangfeng | BGB337 | Licensed Representative | 4, 9 | 1, 6 |
| SIM Seung Jin | BGG389 | Licensed Representative | | 7 |
| SIT Yiu Cho, Jeffrey | AVP014 | Licensed Representative | 4, 5 | |
| SO Chi Kin | ANW377 | Licensed Representative | | 6 |
| SO Hing Fai | BDQ948 | Licensed Representative | 2 | |

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|------------------------------|--------|-------------------------|-----------------------------------|-------------------------------------|
| SO Shin Yuk | AJG154 | Licensed Representative | 9 | |
| SO Wai Lun | AXD705 | Licensed Representative | | 2, 4, 9 |
| SU Tao | AUN077 | Licensed Representative | 4 | |
| TAI Pak Kin | ACE795 | Licensed Representative | | 1 |
| TAKASEKI Kotomi | ANQ443 | Licensed Representative | 4 | |
| TAKEUCHI Miki | BBP891 | Licensed Representative | 2 | |
| TAM Hui Fai | BMQ329 | Licensed Representative | | 1 |
| TAM Ka Hong | BIQ325 | Licensed Representative | 5 | |
| TAN You Khai | BFE580 | Licensed Representative | 7 | |
| TANG Kwan Nin | AZK757 | Licensed Representative | 2 | |
| TANG Man Lam | AXB290 | Licensed Representative | 2 | |
| TANG Qiuzhu | BHH841 | Licensed Representative | 4, 9 | |
| TANG Yuk Sang | ASO687 | Licensed Representative | 4, 9 | 1, 2 |
| TSANG Wing Wah | ACI994 | Licensed Representative | | 5 |
| TU Hsiu-Ying | ANH318 | Licensed Representative | | 9 |
| WAN Yee Fai | AXD737 | Licensed Representative | 1, 2 | 4 |
| WANG Feifei | AZV648 | Licensed Representative | | 1, 4 |
| WANG Wei | AKI926 | Licensed Representative | | 9 |
| WANG Zi Zhu | BDV624 | Licensed Representative | 4 | |
| WANG Zyun | BCF919 | Licensed Representative | 1 | |
| WAT Tsun Tao | BNO906 | Licensed Representative | 3 | |
| WENG Linlin | BNA779 | Licensed Representative | | 1 |
| WENHAM James Alexander Scott | AVF334 | Licensed Representative | 4 | |
| WONG Lun | BHZ924 | Licensed Representative | 4 | |
| WONG Cheuk Kwan | BCT992 | Licensed Representative | 1 | |
| WONG Cheuk Lam | ASX897 | Licensed Representative | 4 | |
| WONG Chi Shing | BJI171 | Licensed Representative | 2, 5 | |
| WONG Chiu | BHL931 | Licensed Representative | 9 | |
| WONG Faat Chi | BID535 | Licensed Representative | 3 | |
| WONG Hung Cheong | BGK607 | Licensed Representative | | 9 |
| WONG Po Chin | ALY361 | Licensed Representative | 4 | |
| WONG Wai Leung | AFQ279 | Licensed Representative | 1, 4 | |
| WONG Wing Sum | AVE603 | Licensed Representative | 4 | |
| WONG Ying Kit, William | AJ491 | Licensed Representative | 2 | |
| WOO Wai Tong | ADZ983 | Licensed Representative | | 1, 4 |
| WOOD Robert Michael | AVS462 | Licensed Representative | 1 | |
| WU Ching Hon | AUG330 | Licensed Representative | 5 | |
| WU Lishan | BEX966 | Licensed Representative | | 1 |
| XIAO Xiruo | BIW247 | Licensed Representative | 4 | |
| XIAO Yang | AOR177 | Licensed Representative | 2 | |
| XIE Jian | BGU456 | Licensed Representative | | 6 |
| XIE Jun | AOB779 | Licensed Representative | | 4, 9 |
| YANG Bingnan | APL678 | Licensed Representative | 1 | 9 |
| YANG Jian | BBH683 | Licensed Representative | 9 | |
| YANG Zixiao | BJN959 | Licensed Representative | 1 | |
| YAO Yichun | BIF180 | Licensed Representative | 4, 9 | |
| YAU Patrick | AFT664 | Licensed Representative | 9 | |
| YEUNG HEY WAI | BJG207 | Licensed Representative | | 6 |
| YEUNG Ho Chun | AXF965 | Licensed Representative | 9 | |
| YING Dan Yung | AOK932 | Licensed Representative | 4 | |
| YIP Chun | BNW221 | Licensed Representative | 3 | |
| YIU Pui Yee | ACY334 | Licensed Representative | 2 | |
| YIU Tak Yin | AGK517 | Licensed Representative | 9 | 2 |
| YU Boyang | BLE425 | Licensed Representative | 2 | 6 |
| YU Yee Fung | BAZ969 | Licensed Representative | | 1, 4 |
| YUAN Hong | BHU231 | Licensed Representative | 4 | |
| ZHANG Cheng | AYC302 | Licensed Representative | | 4 |
| ZHANG Lingling | BMT281 | Licensed Representative | 2 | |
| ZHANG Shuo | BEO244 | Licensed Representative | | 4 |

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| CE Name | CE No. | License Type | Types of Regulated Activity Added | Types of Regulated Activity Removed |
|--------------------------------|--------|---|-----------------------------------|-------------------------------------|
| ZHANG Weimin | BMP475 | Licensed Representative | 10 | 1, 4 |
| ZHANG Yin | AVS035 | Licensed Representative | | 4 |
| ZHANG Zhibin | BBT483 | Licensed Representative | | 1 |
| ZHANG Zhuowei | BJF190 | Licensed Representative | 6 | |
| ZHAO Cui | AOS271 | Licensed Representative | 4 | |
| ZHENG Zhen | BCZ940 | Licensed Representative | 4, 9 | |
| ZHOU Danqing | AYJ716 | Licensed Representative | 1 | |
| ZHOU Qicong | BMZ652 | Licensed Representative | | 1 |
| ZHOU Xuan | BDI901 | Licensed Representative | 4, 9 | |
| ZHOU Yichen | BGE919 | Licensed Representative | 9 | 6 |
| ZHOU Zhou | BGL491 | Licensed Representative | 2 | |
| AU Tsang Sang | AAF445 | Licensed Representative - Responsible Officer | 4, 9 | |
| BROTHERS Patrick Francis J. | ADG699 | Licensed Representative - Responsible Officer | 1, 4 | |
| CHAN Che Hong, Bruce | AKQ590 | Licensed Representative - Responsible Officer | 4, 9 | |
| CHAN Lap Chung | ALJ099 | Licensed Representative - Responsible Officer | | 2 |
| CHAN Pui Man, Kitty | ACG082 | Licensed Representative - Responsible Officer | 4 | |
| CHAN Wing Yam Eugenia | BAH319 | Licensed Representative - Responsible Officer | 4 | |
| CHAN Yee Pui | ABK900 | Licensed Representative - Responsible Officer | 4 | |
| CHONG Chak Man | AFT770 | Licensed Representative - Responsible Officer | 4 | |
| CHUK Chi Wing | AAI131 | Licensed Representative - Responsible Officer | 4 | |
| CHUNG Yue Ching | AZF489 | Licensed Representative - Responsible Officer | 1 | |
| EMERY Alexandre Frederic Akira | AWZ018 | Licensed Representative - Responsible Officer | 1 | |
| FUNG Ka Lok, Adams | AHN337 | Licensed Representative - Responsible Officer | 4 | |
| HO Ho Ming | AZG575 | Licensed Representative - Responsible Officer | 2, 5 | |
| HO Tak Yiu, Edmund | AHA804 | Licensed Representative - Responsible Officer | 4 | |
| IP Wai Man, Eddie | AAK709 | Licensed Representative - Responsible Officer | | 2 |
| KING Tat Hung, Alex | ABT987 | Licensed Representative - Responsible Officer | 4 | |
| KWAN Bo Ren | ACO109 | Licensed Representative - Responsible Officer | 1 | |
| KWAN Lai On, Warren | AAM201 | Licensed Representative - Responsible Officer | 4 | |
| KWAN Man Yee | BHH745 | Licensed Representative - Responsible Officer | 1, 4 | |
| KWOK Kai Wai | ACL567 | Licensed Representative - Responsible Officer | 5 | |
| KWOK Wing Lun | AND706 | Licensed Representative - Responsible Officer | 4 | |
| LASHINSKI Edward William | BHZ325 | Licensed Representative - Responsible Officer | 4 | |
| LAW Kwok Chi | AWF466 | Licensed Representative - Responsible Officer | 1 | |
| LEE Tsi Bun, Benjamin | AQM594 | Licensed Representative - Responsible Officer | 4 | |
| LEE Yuan Tat | BJO643 | Licensed Representative - Responsible Officer | 6 | |
| LI Ping Sun | AHN494 | Licensed Representative - Responsible Officer | 4 | |
| LIN King Ham, Kingston | AEF252 | Licensed Representative - Responsible Officer | 4 | |
| LUO Zhenxia | AMM420 | Licensed Representative - Responsible Officer | 2 | |
| NG Chun Yiu, Richard | BER542 | Licensed Representative - Responsible Officer | 9 | |
| NG Sai Lai | ALP914 | Licensed Representative - Responsible Officer | 5, 9 | |
| REN Hui | AOC886 | Licensed Representative - Responsible Officer | 1 | |
| SANDHU Palbinder | BAB479 | Licensed Representative - Responsible Officer | | 9 |
| SUN Yuen Han | AGN808 | Licensed Representative - Responsible Officer | 4 | |
| TANG Kai Chung | AQA983 | Licensed Representative - Responsible Officer | 4, 9 | |
| TANG Richard Hua | BBR313 | Licensed Representative - Responsible Officer | | 4, 9 |
| TSANG Hing Shun, Thomas | APJ744 | Licensed Representative - Responsible Officer | 4 | |
| WAKAO Tetsuji | AQQ076 | Licensed Representative - Responsible Officer | 2, 5 | |
| WONG Nam Fu, Andy | ADB026 | Licensed Representative - Responsible Officer | 4 | |
| WU Lishan | BEX966 | Licensed Representative - Responsible Officer | 9 | |
| WU Qingbo | BHK053 | Licensed Representative - Responsible Officer | | 2, 5 |
| XIAO Haiping | ARW593 | Licensed Representative - Responsible Officer | 2 | |
| YEUNG Sau Hung, Alex | AAD095 | Licensed Representative - Responsible Officer | 4 | |
| YEUNG Wai Fai, Andrew | AFU161 | Licensed Representative - Responsible Officer | 1 | |
| ZEE John | AAE260 | Licensed Representative - Responsible Officer | | 1, 2, 4, 5, 9 |
| ZHANG Li | ANK352 | Licensed Representative - Responsible Officer | 1, 4 | |
| ZHANG Xiaomei | AKV310 | Licensed Representative - Responsible Officer | 1 | |