

VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2019

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
China Eagle Asset Management Limited	ANR904	Licensed Corporation	4	
Deutsche Securities Asia Limited	AAJ984	Licensed Corporation		4
Diligent Success Limited	BND656	Licensed Corporation	9	
ICBC International Securities Limited	ARO299	Licensed Corporation		2
Lynx Investment Partners Limited	BG1102	Licensed Corporation		4
Mackenzie Investments Asia Limited	AFW010	Licensed Corporation	1	
Mesirow Financial Hong Kong, Limited	AYU347	Licensed Corporation	9	
Safe Gold Securities and Futures Limited	BJH966	Licensed Corporation	4, 5	
Winton Capital Asia Limited	ASS608	Licensed Corporation		1
AU Shuk Ying	BNY420	Licensed Representative	1	
BAKER Edward Daniel	AFB069	Licensed Representative		4
BIETTE Benjamin, Gerard, Philippe	ATO827	Licensed Representative		2
BROWN Ian Clement	ASH682	Licensed Representative		7
CHAK Wai Nga	BOO797	Licensed Representative	6	
CHAN Chi Yeung	BCP187	Licensed Representative	1	
CHAN Chin Tao, Thomas	AQQ120	Licensed Representative	4	
CHAN Chun King	AGQ451	Licensed Representative	4	
CHAN Kin To Christopher	BBA264	Licensed Representative	1, 4, 9	2, 5
CHAN Kwok Wai	ALG542	Licensed Representative		2
CHAN Po Ki, Tiffany	ASM076	Licensed Representative	4	
CHAN Tze Wang	BIV167	Licensed Representative		4
CHAN Wai Hing, Cookie	AZN386	Licensed Representative	4	2
CHAN Wai Ho	BFM968	Licensed Representative		4, 9
CHAN Wing Sum	BBE125	Licensed Representative		1
CHANG Xueshan	AQU414	Licensed Representative	4, 9	1, 3
CHANG Yick Wai Albert	AFA799	Licensed Representative		4
CHAU Chung Ming, Connie	ABL677	Licensed Representative	2	
CHAU Yueh Jen	ACE585	Licensed Representative		1
CHEN Jiaying	BOP063	Licensed Representative	1, 4	
CHEN Xinchen	BMT453	Licensed Representative	9	6
CHEN Xinxin	APF451	Licensed Representative	1	
CHEN Yibiao	AXN055	Licensed Representative		1
CHENG Mei Yee, Mego	AEJ078	Licensed Representative	4, 6	
CHENG Siu Wing	BIG999	Licensed Representative		4
CHENG Tinglong	BNG580	Licensed Representative	1	2
CHENG Ying Yee	BKH127	Licensed Representative	9	2, 5
CHEUNG Brian Tang Ching	BN1775	Licensed Representative		1, 4
CHEUNG Chi Hang	AWC633	Licensed Representative	4, 5	
CHEUNG Chui Chui	BID362	Licensed Representative	2	
CHEUNG Chun Mei	BLL105	Licensed Representative		2
CHEUNG Chun Yue, Anthony	AMC946	Licensed Representative		4, 5
CHEUNG How Leung	ANU361	Licensed Representative		4
CHEUNG Ming Ming	BHL200	Licensed Representative		6
CHEUNG Wing Keung	AXC714	Licensed Representative	4	
CHIU Kit	BHK613	Licensed Representative		4
CHONG Ka Hei	BCU758	Licensed Representative	3	
CHOW Shun Yip	AXJ789	Licensed Representative	4	
CHU Kin Shing Stephen	BJD164	Licensed Representative	9	
CHU Pak Ning, Patrick	AEN687	Licensed Representative	1, 4, 7	
CHU Yiu Fai	BOI194	Licensed Representative	2	
CHUNG Hiu Ying	APL398	Licensed Representative		2
CHUNG Kong Lung	BNT744	Licensed Representative	2, 4	
CHUNG Siu Hong Billy	BDH281	Licensed Representative		4

VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2019

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
DIAO Yang	AFT479	Licensed Representative		9
DU Linlin	BIM547	Licensed Representative	6	4
ESCANO Lorenzo Lim	BAZ778	Licensed Representative	9	2
FAN Jingruo	BLQ525	Licensed Representative	1	
FAN Ka Ho	BAX949	Licensed Representative		9
FANG Weiwei	BML869	Licensed Representative		4
FEI Xiang	AOV610	Licensed Representative		2
FENG Jiahui	BNJ978	Licensed Representative		4
FOK Chi Cheung, Allen	AXZ088	Licensed Representative	6	
FREYRE-SANDERS Andrew David Nuno D.S.	ANR872	Licensed Representative	2	
FU Shubang	BNV515	Licensed Representative	1	
GENG Jiachen	BNM912	Licensed Representative		1
GUAN Yaoyu	BOJ184	Licensed Representative	2	
GUY Simon Philip	ASO495	Licensed Representative		1, 2
HAN Bing	AKY573	Licensed Representative		4, 9
HE Xiaofei	BNU624	Licensed Representative	6	4
HO Hon Hoi	ANT410	Licensed Representative	4	
HO Kwok Leung	AFN809	Licensed Representative		3
HO Yan Lam	BJO317	Licensed Representative	9	
HON Hoi Kwong	BLY462	Licensed Representative	4	
HONG Shaozhi	BOE497	Licensed Representative		4
HSU Calvin James	ADM062	Licensed Representative		4, 9
HU Ningrui	BHF791	Licensed Representative	6	
HUNG Lum, Leon	ADU225	Licensed Representative	9	
IP Jimmy Chi-yung	BAE495	Licensed Representative		1
IP Pui Ling	ANA537	Licensed Representative		3
JAIN Akash	BJV458	Licensed Representative	9	1, 2
JIANG Guihong	BOL346	Licensed Representative		9
JIANG Zhengtai	BGX573	Licensed Representative		9
JIN Yuanjie	BIS262	Licensed Representative	4, 6, 9	
KEYS Malcolm James	AVF631	Licensed Representative	1, 2	9
KHO Wai	BEM972	Licensed Representative		6
KONG Yuk Chuen	AYW579	Licensed Representative	4	
KUNG Fung Chun	AJ711	Licensed Representative		4
KUNG Wai Ting	AOQ511	Licensed Representative		1
KWOK Ping	ADO003	Licensed Representative		9
KWOK Sau Kwan	AEB058	Licensed Representative	2	
KWOK Yu Ho	BNP444	Licensed Representative		4
KWONG King Chun	BJT521	Licensed Representative	9	
LAI Chun Yat	BJL811	Licensed Representative	1	
LAI Ming Tak	AAW154	Licensed Representative		3
LAI Sui Ting	BGE168	Licensed Representative		4
LAI Yan Mong	BJO678	Licensed Representative	4	
LAM Dan Leuk	AIU426	Licensed Representative		3
LAM Kam Yuen, Ronald	BMQ757	Licensed Representative	4, 9	
LAM King Wu	ANK149	Licensed Representative		2, 4, 5, 7, 9
LAM Yik Wa	AWH855	Licensed Representative		1, 4
LAU Ping Fan, Matthew	APB373	Licensed Representative		3
LAU Shu Yan	AMY735	Licensed Representative		3
LAU Yau Wai, Jimmy	AHS952	Licensed Representative	1	
LAW Hilary	BOK923	Licensed Representative	9	
LAW Kwok Chi	AWF466	Licensed Representative		1
LAW Wai Ping	AFJ941	Licensed Representative	1	

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CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
LEE Chun	AAK357	Licensed Representative	4, 5	
LEE Ka Him	AKV007	Licensed Representative		9
LEE Kam On, Vincent	AEE924	Licensed Representative		3
LEE Sing Wing	AEC775	Licensed Representative		2
LEE Wai Chung	APV528	Licensed Representative		2
LEE Wai Nam	ACI717	Licensed Representative		9
LEI Liping	BNJ405	Licensed Representative	6	2
LEUNG Chin Ho	BEJ054	Licensed Representative	2, 9	4
LEUNG Chun Wa	AJF048	Licensed Representative		1
LEUNG Ka Yee Andrew	ALK461	Licensed Representative		1
LEUNG Lai Man	BJB677	Licensed Representative	9	
LEUNG Soi Chi	BKW301	Licensed Representative	1	5
LEUNG Wing Lam	ANM627	Licensed Representative	9	
LEUNG Yin Fai	BML959	Licensed Representative		1
LI Dominic Song Ching	AAC878	Licensed Representative	1	
LI Gang	APV891	Licensed Representative	9	
LI Gen	BNJ096	Licensed Representative		6
LI Liwen	AZV309	Licensed Representative		6
LI Lu	AWW550	Licensed Representative	1	
LI Shing	AJT939	Licensed Representative		3
LI Tsz Lung, Samson	AFA429	Licensed Representative		3
LI Wei	BGL754	Licensed Representative	1	
LI Wing Chi	BMV376	Licensed Representative	3	
LIANG Heye	BIB869	Licensed Representative	4	
LIANG Yiming	AEY432	Licensed Representative	9	1, 4
LIEM Chi Kit, Kevin	AQQ003	Licensed Representative		1
LIN Huijuan	BNM899	Licensed Representative	4	
LIN Xiangli	BJP018	Licensed Representative	4	
LIU Chao	BDX543	Licensed Representative		4
LIU Feifei	BGM914	Licensed Representative	9	1, 2
LIU Haoyu	BLC497	Licensed Representative	4, 9	
LIU Ji	BMR643	Licensed Representative	1, 4	
LIU Jing	BNO984	Licensed Representative	4	
LIU Koon Ping, Anka	AGR088	Licensed Representative		3
LIU Ying	BKV274	Licensed Representative	4	
LO Cheuk Yee, Helen	ANA705	Licensed Representative	9	
LO Siu Lung	BDK089	Licensed Representative	9	
LOK Fung Kam	AHX667	Licensed Representative	9	5
LU Tao	AZP070	Licensed Representative	4, 7	
LUO Xiaorui	BHC710	Licensed Representative		4
MA Chengjunyi	BBU459	Licensed Representative		5
MA Kin Kei, Kenneth	AZW082	Licensed Representative		2
MA Kit Man, Maria	AJB850	Licensed Representative		1
MA Shuting	BOL304	Licensed Representative	1	
MAC ALOON John Joseph	AVF623	Licensed Representative	4	
MAK Terence Chung Sing	AVK467	Licensed Representative		1
MAN Mei Yuk	AFU549	Licensed Representative		3
MEAU Ambrose Yin Hung	ALY778	Licensed Representative	1, 2	
MOK Harvey Po Lun	AGG960	Licensed Representative		3
MOK Hiu Fai	BFA432	Licensed Representative	4, 9	
MOK Kin Wai	ABS374	Licensed Representative		6
MOREIRA Nicholas Hubert	ADT374	Licensed Representative		4
MOTOOKA Minoru	BJJ275	Licensed Representative	9	1, 4, 6

VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2019

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
MUI Kay Boon	AAJ763	Licensed Representative	6	
NG Tze Chung	ALA304	Licensed Representative		5
NG Yik Yau	BOJ022	Licensed Representative	9	
NGAN Man Kit	AAV957	Licensed Representative		5
NGO Tsz Fei	BBW943	Licensed Representative		2, 4
PAK Chi Wing	AGM852	Licensed Representative		1
POON Siu Yan	AZW079	Licensed Representative	2	
QIAN Yao	BHW483	Licensed Representative	4	
QIU Zhiwei	BM936	Licensed Representative	9	1, 2
RISHI Abhinav	BBH810	Licensed Representative	9	2
SHANG Pei Chun	AOM976	Licensed Representative	1, 4	9
SHI Jinjing	ADV731	Licensed Representative	1	
SHI Lei	BLE460	Licensed Representative	1, 4	
SHIAU Yann-Huei	BHX554	Licensed Representative		1
SHUM Ching Hei	AWT804	Licensed Representative		4
SHUM Chun	AMO639	Licensed Representative	1	
SO Siu Lam, Simon	AGJ086	Licensed Representative		3
SO Suet Lam	BDH015	Licensed Representative		6
STANICA Adrian	ARE767	Licensed Representative	4	
SU Ziheng	BJK655	Licensed Representative		6
SUEN Man Kit	BMW074	Licensed Representative		2
SUEN Tsz Ching	BIT861	Licensed Representative		1, 2
SUN Xiaoyu	BKP228	Licensed Representative	1, 4	
SZE Tak Kai	AJM478	Licensed Representative	4	3
TAM Kit Ling	AQS879	Licensed Representative		2
TAM Ophelia Wing Yan	AOP079	Licensed Representative	2	
TAM Wai Kei	AVH671	Licensed Representative	6	
TANG Chiu Fan	BDW212	Licensed Representative	4	
TANG Tsz Ching	AHY091	Licensed Representative		3
TANG Yat Sing	BNS762	Licensed Representative	1, 6	
TAY Hui Xin	BMV799	Licensed Representative		4
TENG Hoi Yee Carol	AXO836	Licensed Representative	4, 9	
TJIANG Man Kin	AOE020	Licensed Representative	1	
TSAI Chi Tao	BGG828	Licensed Representative		5
TSE Chau Ming	AVR835	Licensed Representative	2	
TSE Chi Shing, Christopher	BAP751	Licensed Representative	4	
TSE Wing Sze	ADP870	Licensed Representative		3
TSOI Kwan Kin	BNG892	Licensed Representative	2	
TSUI Cheung On	APH370	Licensed Representative		6
WANG Chen	BCB706	Licensed Representative	1	
WANG Haoyue	BJL966	Licensed Representative	4	
WANG Qianying	BON844	Licensed Representative	9	4
WANG Xin Long	AVM751	Licensed Representative		1
WANG Yayu	BCY189	Licensed Representative	6	1
WEN Cyrus Jun-ming	AZL288	Licensed Representative		1
WO Feng	AQH492	Licensed Representative	1	
WONG Chau Pang	BCL485	Licensed Representative	4, 9	1, 2
WONG Chi Kan	AAC576	Licensed Representative		4
WONG Ho Lap	BNB198	Licensed Representative	4, 9	
WONG Ho Wai	BHJ814	Licensed Representative	1	
WONG Jeremy	AEA858	Licensed Representative		5
WONG Ka Ho	BLK239	Licensed Representative		2
WONG Nelson Yeung Cheong	BEJ364	Licensed Representative		2, 3

VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2019

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
WONG On Ying	AWY526	Licensed Representative		1
WONG Shing Kit, Shirley	APL786	Licensed Representative		1, 2
WONG Sung Chun	AVD101	Licensed Representative		9
WONG Sze Man	ALL854	Licensed Representative		1, 2
WONG Tak Shing	BJD728	Licensed Representative	2	
WONG Theresa Yuen-tung	BFE578	Licensed Representative	4, 9	2
WONG Tsan Fai	ACS038	Licensed Representative		3
WONG Wai Chung	BFN508	Licensed Representative	1	
WONG Yin Chi	AJF259	Licensed Representative	4	
WONG Yuk Tung	ABS848	Licensed Representative		3
WONG Yung Ho	AOY487	Licensed Representative		3
WOO Ping, Peter	AAC289	Licensed Representative		2
WU Kaiyu	BFC756	Licensed Representative	4, 9	1, 2
WU Yichao	AVI107	Licensed Representative		4
XIAO Miaozen	BOA217	Licensed Representative	4	
XU Pengzi	AXT110	Licensed Representative	9	
YAN Han	BFN097	Licensed Representative		2
YAN Yichen	BKY607	Licensed Representative	4	10
YANG Xi	BMX508	Licensed Representative	9	2
YANG Yunqing	BHY837	Licensed Representative	1, 4	
YANG Zhizhong	ACO050	Licensed Representative	9	6
YAO Huiii	BIC895	Licensed Representative	1, 4	
YAU Kam Pun, Calvin	AMJ519	Licensed Representative	1	
YAU Kar Man, Karman	AFB706	Licensed Representative		3
YAU Kin Lun	AFN281	Licensed Representative		3
YEUNG Chun Kit	BGX252	Licensed Representative	7	
YIP Bun Bun	AZK893	Licensed Representative	1	
YIP Chung Hong	APH398	Licensed Representative		3
YIP Kwun Wang	AXY632	Licensed Representative		2
YIP Pui King	BHZ318	Licensed Representative	9	
YIP Wing Sze, Anita	AFU551	Licensed Representative		3
YIU Hoi Yip	BNL488	Licensed Representative		6
YONG Kok Onn	APW615	Licensed Representative	1, 9	4
YU Shuet Ying	BEN542	Licensed Representative		4, 9
YU Xingcheng	BOB673	Licensed Representative		6
YUE Chun Shun	ALQ679	Licensed Representative		3
YUEN Kin Yuk	APL591	Licensed Representative		1
YUNG Lik Hang	AVD830	Licensed Representative		3
ZHANG Fan	BAB698	Licensed Representative	1	
ZHANG Jinghao	APM160	Licensed Representative	9	
ZHANG Rujie	BIQ311	Licensed Representative		4
ZHANG Shang	BIO049	Licensed Representative	1	
ZHANG Yifan	BOB273	Licensed Representative	1	
ZHANG Yueyang	BHW836	Licensed Representative	4, 9	1
ZHAO Qing	BEJ851	Licensed Representative	1, 4	
ZHAO Wantong	BEM634	Licensed Representative	1	
ZHAO Xiaowei	BHF439	Licensed Representative	9	
ZHENG Boyu	BOB297	Licensed Representative		6
ZHENG Joanne Xisheng	BFY842	Licensed Representative	1	
ZHONG Huang	BDH767	Licensed Representative		5
ZHOU Fan	BOF086	Licensed Representative	4, 9	1
ZHOU Jian	AOY577	Licensed Representative		6
ZHOU Ye	BJI784	Licensed Representative	4	

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CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
ZHOU Yue	BKH772	Licensed Representative	4, 9	1, 2
ZHU Jiang	BBG371	Licensed Representative	1	
ZOU Chuan	AVZ312	Licensed Representative		4
ZOU Wenjia	BOX305	Licensed Representative	2	
CHAN Sin Hang	AQU095	Licensed Representative - Responsible Officer	4, 5	
CHAN Yi Sum	AAD405	Licensed Representative - Responsible Officer	4, 5	
CHANG Yung Ching	AFF918	Licensed Representative - Responsible Officer	9	
CHEN Xiao	AVA602	Licensed Representative - Responsible Officer	9	
CHENG Wing Hung	AMA065	Licensed Representative - Responsible Officer	4, 9	
CHIU Kin Fai	ADC461	Licensed Representative - Responsible Officer		4
CHOW Wing Yan, Joseph	AQZ664	Licensed Representative - Responsible Officer		4
CHU Chuang Chieh	ABE393	Licensed Representative - Responsible Officer	9	
CHUNG Hiu Ying	APL398	Licensed Representative - Responsible Officer	4, 9	
DIAO Yang	AFT479	Licensed Representative - Responsible Officer	4, 6	
GEDDES Marc Alan	BBC911	Licensed Representative - Responsible Officer	1	
GUO Jennifer Yi	BGG501	Licensed Representative - Responsible Officer	4	
GUY Simon Philip	ASO495	Licensed Representative - Responsible Officer	3	
HAN Bing	AKY573	Licensed Representative - Responsible Officer	1	
HINTERHAEUSER Gerhard Hans	AGS415	Licensed Representative - Responsible Officer	1	
KANG Wing Hong, Jansen	ACD417	Licensed Representative - Responsible Officer	4, 5	
KE Jingjing	BBQ710	Licensed Representative - Responsible Officer	4	
KEY John Richard	AOZ142	Licensed Representative - Responsible Officer		4
LAW Kwok Chi	AWF466	Licensed Representative - Responsible Officer	9	
LEI For	AIU418	Licensed Representative - Responsible Officer	1, 6	
LEI Yuen Ching	AYI786	Licensed Representative - Responsible Officer	4	
LI Pak Keung	AAE947	Licensed Representative - Responsible Officer	2, 5	
LINE Kwai Chun	ACK809	Licensed Representative - Responsible Officer	4, 5, 9	
LIU Teng	ARG107	Licensed Representative - Responsible Officer	4	
LO Cheuk Yee, Helen	ANA705	Licensed Representative - Responsible Officer	2, 4, 5	
LO Kwai Sang, Dennis	ABM989	Licensed Representative - Responsible Officer	4, 5, 9	
MA Kit Man, Maria	AJB850	Licensed Representative - Responsible Officer	9	
MATTEI Bryan	BDW243	Licensed Representative - Responsible Officer	1	
MCCARROLL Jessica Lee Temple	AAU810	Licensed Representative - Responsible Officer		4
NG Kwok Fung	ABY897	Licensed Representative - Responsible Officer		9
NG Tze Chung	ALA304	Licensed Representative - Responsible Officer	1	
PAK Chi Wing	AGM852	Licensed Representative - Responsible Officer	9	
PALMER Geoffrey Simon	ACC112	Licensed Representative - Responsible Officer		4
PANG Chun Wai, Tommy	APV527	Licensed Representative - Responsible Officer		2
SANCHEZ Marlon Mikhail	ADJ822	Licensed Representative - Responsible Officer		4
SCOTT Nicholas Peter	AFX190	Licensed Representative - Responsible Officer	1	
SHUM Alan Koon Ho	BBV882	Licensed Representative - Responsible Officer	4, 5	
TAM Yan Wang	BBI783	Licensed Representative - Responsible Officer	4, 5	
TONG Ho Yin	AQH049	Licensed Representative - Responsible Officer	4	
WONG Chi Kan	AAC576	Licensed Representative - Responsible Officer		9
WONG Wai Kwan	AWA381	Licensed Representative - Responsible Officer	4, 5	
WOO Ping, Peter	AAC289	Licensed Representative - Responsible Officer	9	
XU Yong	BMT490	Licensed Representative - Responsible Officer		2