

**VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2020**

CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
Asia Joyful Limited	BHB694	Licensed Corporation	4	
AXA Investment Managers Asia Limited	AAP809	Licensed Corporation	3	
Caitong International Asset Management Co., Limited	BBB678	Licensed Corporation	1	
CITIC Capital Real Estate Advisory Limited	AUW585	Licensed Corporation		6
GSA Capital Partners (Hong Kong) Limited	BLO675	Licensed Corporation		9
HK Noble Sky Treasure Securities Limited	BAP743	Licensed Corporation		2
Hoi Yick International Securities Limited	BHB966	Licensed Corporation		9
I-Access Investors Limited	ALV032	Licensed Corporation	4, 5	
SDG Securities (HK) Limited	BMB958	Licensed Corporation	2, 5	
Sino Suisse Financial Group (Hong Kong) Limited	BMR629	Licensed Corporation	9	
UBS Asset Management (Hong Kong) Limited	AGP568	Licensed Corporation		2
Zundiao Securities Limited	BMR631	Licensed Corporation	4	
AGRAWAL Kamlesh	BOW448	Licensed Representative	1, 2	
BHATTACHARYA Siddhartha Samir	BGX035	Licensed Representative	2	
BIAN Shanshan	BKI102	Licensed Representative		1, 4
CAI Tsz Yeung	AWH561	Licensed Representative	4, 9	
CARPENTER James Alistair	BPE998	Licensed Representative	2	
CHAN Cheuk Nam, Stanley	ATN846	Licensed Representative	1	
CHAN Chi Wing	AAK579	Licensed Representative		2
CHAN Chun Cheong	AFV795	Licensed Representative		3
CHAN Ka Wing	ADG088	Licensed Representative		2
CHAN Pui Man, Kitty	ACG082	Licensed Representative		2
CHAN Shun Yat	ACN422	Licensed Representative		3
CHAN Tien Long, Cary	BBA368	Licensed Representative		5
CHAN Wai Cheong	BFY873	Licensed Representative	2	
CHAN Wang	AEL779	Licensed Representative		3
CHAN Yan	AUG812	Licensed Representative		1, 2, 4
CHAN Yiu Cho	AGJ244	Licensed Representative		3
CHANG Yau Hing, Candy	ACV343	Licensed Representative		2
CHANG Zhixiang	BMW059	Licensed Representative		1, 4
CHAU Chin Wang	BMG151	Licensed Representative	2	
CHAU Kwok Fai	ANX794	Licensed Representative	1, 4	
CHEN Kuang Yu	ANW651	Licensed Representative	1	
CHEN Mingyue	BDI141	Licensed Representative		3
CHEN Sida	APQ831	Licensed Representative	4, 5	
CHEN Wenjun	AYY921	Licensed Representative		2
CHENEVIER Antoine Philippe Jean Marie	BMZ545	Licensed Representative		9
CHENG Martin Wing Hung	BNF294	Licensed Representative	2, 5	1
CHENG Tau Cheung	AFC185	Licensed Representative	2	
CHENG Yiu Pang	APF940	Licensed Representative		3
CHEUNG Brandon	ARV903	Licensed Representative		3
CHEUNG Hei Lung, Cykill	AGG701	Licensed Representative		3
CHEUNG Man Lee	BBS703	Licensed Representative		3
CHEUNG Wai Shan	AIK836	Licensed Representative		2
CHEUNG Wing Keung	AXC714	Licensed Representative		2
CHEW Wei Yang, Stanley	ASQ192	Licensed Representative	1, 2	
CHIM Wing Yiu, Winston	ANG395	Licensed Representative		3
CHOI Kit Wa	BOW523	Licensed Representative	2	
CHOI Tan Yee	AUM132	Licensed Representative		1
CHONG Kiu Ling, Eling	ADB369	Licensed Representative		3
CHOU David Tse Young	AEU433	Licensed Representative	4	
CHOU Pei Shen	BJB366	Licensed Representative	1, 4	
CHOW Fu Lap, Philip	BOH634	Licensed Representative	9	6
CHOW Jesson Kwok Kit	BJR310	Licensed Representative		5
CHOW Tsz Lam	AXK450	Licensed Representative		1

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CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
CHU Hon Kit	ATJ549	Licensed Representative	9	
CHU Shu Kwan	BBX967	Licensed Representative		2
CHUA Tsz Lan	AAI500	Licensed Representative		1
DENG Cuiqin	AVR640	Licensed Representative		1
DENG Kaiyuan	BOT497	Licensed Representative	4, 9	
DUHERICH Haris	BPF473	Licensed Representative	2	
ESVARAN Chendan Param	AYA084	Licensed Representative	4	
FAN Chi Man	BGP304	Licensed Representative	4	
FAN Lili	AOT501	Licensed Representative	1	
FANG Benjamin Xu	APR171	Licensed Representative	4	
FLUET Emily Facchina	BN118	Licensed Representative	7	
FORCIOLI Mathieu Jean	AYP973	Licensed Representative		4, 9
GAO Shunan	BMO301	Licensed Representative		1
GENG Wei	BHP708	Licensed Representative	6	1, 2
GONG Zhikai	BIQ827	Licensed Representative	1	
HANAFUSA Yuka	AWZ796	Licensed Representative		4
HE Rui	AZN802	Licensed Representative	1	
HEGARTY Samuel Paul	BOL450	Licensed Representative	9	
HINO Dai	AXX264	Licensed Representative	7	
HO Yui	ATI748	Licensed Representative		9
HON Chun Jenny	BJW876	Licensed Representative	9	
HON Man Kwong	ADX159	Licensed Representative		3
HONG Sin Kee	ADO273	Licensed Representative		1
HU Congli	AVA047	Licensed Representative	1	
HU Di	BBD763	Licensed Representative	9	
HUA Xueyi	BOS306	Licensed Representative	4	
HUANG Wei	BCE538	Licensed Representative	9	
HUI Ka Wah	ACJ227	Licensed Representative		2
HUNG Lum, Leon	ADU225	Licensed Representative		1
IP Ka Fai	BNB163	Licensed Representative		1
IP Tze Kai, Brian	BNR260	Licensed Representative	4	
JIANG Weiji	AZQ125	Licensed Representative	1	6
JIANG Yongliang	BMW904	Licensed Representative	5	
JIANG Yuanzhen	BLO468	Licensed Representative		1
JIE Jiagyi	BNZ878	Licensed Representative	9	
JIN Jing	BKY934	Licensed Representative	4, 9	
JOHNSON Donald Joseph	AZH721	Licensed Representative		5
JURENKO Louisa Alice	BKW654	Licensed Representative	4	2
KONG Yuen Ching	ACF193	Licensed Representative		2
KU Leung Chi	BGO676	Licensed Representative		2
KWAN Chun Fai	AQG692	Licensed Representative		3
KWAN Yuk Yin	ACJ226	Licensed Representative		2
KWOK Chun Hin	BPE160	Licensed Representative		4
KWOK Tang Hon, Steve	AEO399	Licensed Representative		1
KWONG Chin Fung	AWK998	Licensed Representative		2, 3
LAM Ho Lim	BNH278	Licensed Representative	4	
LAM Kwan Yee	ALQ828	Licensed Representative	1	
LAU Cho Fung	BLI767	Licensed Representative	2	
LAU Man	AJG153	Licensed Representative	1	
LAU Nga Yee	ANZ992	Licensed Representative		2
LAW Wai Kit	BLP749	Licensed Representative	2	
LAWRENCE Samuel Dong Yue	AYP991	Licensed Representative	2	4, 6
LEE Ho Pan	BKJ169	Licensed Representative	2, 3, 5	
LEE Hung Kong	BDI877	Licensed Representative	1, 2	3
LEE Jiwon	BLH266	Licensed Representative		4, 5

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CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
LEE Ka Ho	ATO877	Licensed Representative	1	
LEE Lai Sha	ABG336	Licensed Representative	2	
LEE Wai Ming	AER883	Licensed Representative		4
LEE Yam Hang	AKO237	Licensed Representative		1, 2
LEE Yuen Fun, Udy	BGM566	Licensed Representative		4, 6, 9
LEONG Kai Soi	ATI419	Licensed Representative		3
LEUNG Chi Chung	AJE370	Licensed Representative		1
LEUNG Ching Fai	BKJ224	Licensed Representative	1	
LEUNG Chun Hei, Matthias	ARE214	Licensed Representative		9
LEUNG Ho Ming Danny	AVV519	Licensed Representative		1
LEUNG Jensen Wang Chun	BBE752	Licensed Representative	1, 7	9
LEUNG Tai Yee Joseph	BHK409	Licensed Representative		1
LEUNG Tak Wai	AFY441	Licensed Representative		9
LEUNG Wai Shing	APS288	Licensed Representative	1	4, 9
LEUNG Yip Hang, Steven	ALW765	Licensed Representative	2	4
LEUNG Yuk Ying	BOX062	Licensed Representative	1	
LI Chi On	ADQ161	Licensed Representative		3
LI Enhui	BKT285	Licensed Representative	1	
LI Hiu Fai	AIC115	Licensed Representative	2	
LI Jiewei	BNL142	Licensed Representative	4, 9	
LI Ka Wai	BOT810	Licensed Representative	4	
LI Kit Lan	BAN027	Licensed Representative	1, 2	9
LI Sek Fu	AAX343	Licensed Representative	1	4, 9
LI Siu Fai	BOU230	Licensed Representative	2	
LI Wing Leung	AAF400	Licensed Representative		3
LI Xiaolin	BID274	Licensed Representative	4	
LI Xiaoxiao	AYP082	Licensed Representative	4	
LI Xuetong	BNJ561	Licensed Representative	2	
LI Zhibin	BPB354	Licensed Representative	2	
LIANG Xin	AUQ994	Licensed Representative	9	1, 2
LIAO You	BCQ567	Licensed Representative		9
LIU Chang	BNT779	Licensed Representative	9	
LIU Raymond Ken	BNY203	Licensed Representative	1, 6	4, 9
LIU Yilong	BOR187	Licensed Representative		1, 4
LIU Yu	BBK382	Licensed Representative		2
LO Kin Wa	BIH322	Licensed Representative		1
LONG Weili	ARM296	Licensed Representative		1
LU Yishi	BIW366	Licensed Representative	6	
LUK Ka Chi	BIT796	Licensed Representative	1	
LUN Shu Lam	AMC981	Licensed Representative		2, 4, 5
MAC ALOON John Joseph	AVF623	Licensed Representative	2	
MALIK Osman Riaz	ARD259	Licensed Representative	2, 5	
MAN Ho Fung	BOC698	Licensed Representative	9	
MCGILL Ruarri Ronald	BFA600	Licensed Representative	4	2
MENG Xiaoning	BBZ464	Licensed Representative	1	
MOK Ka Fai	BMC622	Licensed Representative	2	
MOREIRA Nicholas Hubert	ADT374	Licensed Representative		5
NEYRINCK Alexandre Francis Bernard	BOJ021	Licensed Representative	9	
NG Ka Sing	BDX997	Licensed Representative		2
NG Lu Yan	AYG297	Licensed Representative		1
NG Tai Shan	APB752	Licensed Representative		3
NGUY Chloe Tsz Ting	BFZ071	Licensed Representative	4	
NGUYEN Nguyen Thanh	AOO555	Licensed Representative		2, 4
PANG Tim Yu	BBQ186	Licensed Representative		1
PANG Yan	APG361	Licensed Representative		4

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CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
POON Ho Fung	BLM927	Licensed Representative		1, 5
POON Tin Ching	APR858	Licensed Representative	2	
RAO Chao	BFE245	Licensed Representative		1
REID Robert Stephen	AIC473	Licensed Representative	9	
REN Xiaoyue	BNY490	Licensed Representative	1, 4	
REPERANT Vassili Benjamin Maurice Valentin	BFA019	Licensed Representative		7
ROWE Damian Marcus	ASH901	Licensed Representative	6	
RYU Tae-Ho	AVD978	Licensed Representative	4	1, 2
SHARMA Vikas	AFH090	Licensed Representative		2, 4, 5, 6
SHI Junfeng	BJD766	Licensed Representative	1, 4	
SHIU Hin Lin	ABD581	Licensed Representative		2
SHUM Chi Ho, Elton	BIX212	Licensed Representative		5
SHUM Ka Sun Daniel	BFA017	Licensed Representative		1
SHUM Yuen Fai	AXG206	Licensed Representative		1
SIT Tak Li	BOF245	Licensed Representative	4	
SLEATH Jonathan William Trevor	BGI238	Licensed Representative		1, 9
SO Ka Wai	BNC194	Licensed Representative		4, 9
SO Sung Yuen	AWB874	Licensed Representative		9
SO Wai Lun	AXD705	Licensed Representative	2	
SO Wai Pui, Herbert	BJB543	Licensed Representative	4, 5	1
SONG Bohao	BMG148	Licensed Representative	1	9
SONG Jiawei	BNU014	Licensed Representative	9	
SONG Jiaying	BBR202	Licensed Representative		2
SUEN Man Kit	BMW074	Licensed Representative	4	
SUN Chang	BKI593	Licensed Representative	4	
SUN Mengxi	ARN808	Licensed Representative	4	
SUNG Hung-Wei	BGG701	Licensed Representative		1
SZE Yuk Lung	BKG801	Licensed Representative	2	
TAN Jia	BBZ469	Licensed Representative		2
TAN Peck Lim	AZY648	Licensed Representative		4
TANG Min	AVM772	Licensed Representative	4, 9	
TANG Qianxia	BPC303	Licensed Representative	2	
TANG Yue Han	AVS022	Licensed Representative		2
TANISAKA Miho	AEO785	Licensed Representative		9
TONG Dik Ka	AYY919	Licensed Representative		4
TONG Leo	BBU281	Licensed Representative	6	
TSAI Ching Long	AGW724	Licensed Representative		4
TSANG Edita Wing	BMV841	Licensed Representative	9	
TSANG Ka Kit	AXD389	Licensed Representative		4
TSANG Siu Tung, Tony	AFZ150	Licensed Representative		1
TU Hsiu-Ying	ANH318	Licensed Representative	2, 9	
TYE Mei Ling	AFU956	Licensed Representative	4	
VANICA Jonathan Richard	AGN748	Licensed Representative	4	
VARSHNEY Varun	ANJ559	Licensed Representative	4	
WAN Nga Yee, Joyce	AOH920	Licensed Representative		4
WAN Tin Chi	AVF008	Licensed Representative	9	1, 4
WANG Ling Yun	BOH801	Licensed Representative		4
WANG Xin	APD062	Licensed Representative	1	
WANG Xingxing	AWS124	Licensed Representative		1, 5
WANG YUAN	BOL438	Licensed Representative	1, 4	
WEI Xin	AMM042	Licensed Representative	4	
WEI Zhenghui	ATY167	Licensed Representative		1
WONG Ho Yin	BOG383	Licensed Representative	4, 9	10
WONG Ka Wing	AVZ613	Licensed Representative		9
WONG Kam Bun	AQQ323	Licensed Representative		4

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CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
WONG Kar Man, Carmen	AGL925	Licensed Representative		2
WONG Koon Ho, James	AXN872	Licensed Representative		1
WONG Man Cheung	AGM430	Licensed Representative	1	
WONG Sai Fu	AHD513	Licensed Representative		1
WONG Sin Man, Selena	BGA609	Licensed Representative		1
WU Jing	BKE827	Licensed Representative	1, 6	9
WU Man Yu	BIX431	Licensed Representative	9	
WU Nga Chee	AQC820	Licensed Representative	1	
WU Sin Ting	BOW762	Licensed Representative	2	
XIA Peng	BNR746	Licensed Representative	1	
XIE Jinchao	BEN368	Licensed Representative		1
XU Huihui	BIY213	Licensed Representative	9	
XUE Ke	BNV464	Licensed Representative	1	
YANG Kaiyi	BJY550	Licensed Representative		1, 4
YANG Zhifan	BGV223	Licensed Representative	5	1
YE Zhu	ASZ086	Licensed Representative	1	
YEUNG Chak Nam	AUC990	Licensed Representative	9	
YI Allan Wei Han	BGW577	Licensed Representative	6	
YI Weibin	BKD231	Licensed Representative	6	
YIM Ka Man	AQZ527	Licensed Representative	1	
YOUNG Ting Kar	AEY445	Licensed Representative		4, 9
YU Mee Yuk	AAJ981	Licensed Representative		2
YU Yiu Hei Boris	BGP388	Licensed Representative	1	
YUEN Sze Wing, Esther	AMS885	Licensed Representative	4	
YUNG Yuet Man, Susan	AQB099	Licensed Representative	4, 5	
ZENG Youye	BFP406	Licensed Representative	4	
ZHANG Qinrui	AXQ582	Licensed Representative		9
ZHANG Shuqin	BOH321	Licensed Representative		4, 6
ZHANG Yumin	BFM942	Licensed Representative	9	
ZHAO Jifei	BGM428	Licensed Representative	1, 4, 9	6
ZHAO Xinyue	BJT510	Licensed Representative	1	
ZHEN Jingjing	AXH989	Licensed Representative		1
ZHOU Henry	BGT159	Licensed Representative	9	1, 4, 6
ZHOU Marcia	BMO099	Licensed Representative		1, 4
ZHOU Ting	BLY480	Licensed Representative	2	
ZHOU Xiaotian	AWQ371	Licensed Representative	1	
ZHOU Yufeng	BLN472	Licensed Representative	1	
BILARD Laurent Bernard Michel	BCG150	Licensed Representative - Responsible Officer	3	
BRADSHAW John	AHC328	Licensed Representative - Responsible Officer		2
CHAN Ka Chung	ANT245	Licensed Representative - Responsible Officer	4, 9	
CHAN Ka Leung	AEC408	Licensed Representative - Responsible Officer	5	
CHAN Koon Leung Alexander	BMW763	Licensed Representative - Responsible Officer	6	
CHAN Shek Chuen	ARE460	Licensed Representative - Responsible Officer	2, 4, 5	
CHAN Wai Man Raymond	AEI190	Licensed Representative - Responsible Officer		2
CHAU Kin Sun	AQP754	Licensed Representative - Responsible Officer	4	
CHEN Tao	AZY872	Licensed Representative - Responsible Officer	6	
CHIN Hin Lik, Eric	AYE644	Licensed Representative - Responsible Officer	1, 4	
CHING Hiu Yuen	AFX056	Licensed Representative - Responsible Officer		6
CHOI Yuk Kit	AHV026	Licensed Representative - Responsible Officer		6
CHU Cheuk Hung	BDL291	Licensed Representative - Responsible Officer	4	
FEI Xiang	AOV610	Licensed Representative - Responsible Officer	2, 5	
FORCIOLI Mathieu Jean	AYP973	Licensed Representative - Responsible Officer	1	
HO Cheuk Hang, Ryan	APL761	Licensed Representative - Responsible Officer	9	
HO Chin Hung, David	ABB452	Licensed Representative - Responsible Officer	9	
HUNG Siu Chun, Michael	AGA524	Licensed Representative - Responsible Officer	4, 5	

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CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
KAM Kwun Kwan, Boris	ANA539	Licensed Representative - Responsible Officer	2, 5	
KUNG Wai Ling	AEU211	Licensed Representative - Responsible Officer	4	
KWONG Ping Wai	AAA181	Licensed Representative - Responsible Officer	2	
LAI Choo Kan, Michael Brian	ACT480	Licensed Representative - Responsible Officer	4	
LAU On Kwok	AFJ680	Licensed Representative - Responsible Officer	6	
LAU Tak Yan	APF933	Licensed Representative - Responsible Officer		4
LEE Tsang Ming	AVS892	Licensed Representative - Responsible Officer	9	
LEE Wai Chung	APV528	Licensed Representative - Responsible Officer	2, 5	
LEE Yam Hang	AKO237	Licensed Representative - Responsible Officer	4	
LEUNG Alexander	ANH673	Licensed Representative - Responsible Officer	9	
LEUNG Chi Chung	AJE370	Licensed Representative - Responsible Officer	4, 9	
LEUNG Chun Bong	AEK319	Licensed Representative - Responsible Officer	4, 5	
LI Ting	AOX306	Licensed Representative - Responsible Officer	6	
LO Michael Sai Cheong	AFR449	Licensed Representative - Responsible Officer	4	
LO Wing Chu	ANH324	Licensed Representative - Responsible Officer	4	
LUM Pak Sum	ACV231	Licensed Representative - Responsible Officer	4	
LUO Yi	AQE404	Licensed Representative - Responsible Officer		4, 9
MAK Kwong Fai	AEF530	Licensed Representative - Responsible Officer	4, 5	
MOK Kon Lim	ABS236	Licensed Representative - Responsible Officer	2, 4, 5	
PANG Chun Wai, Tommy	APV527	Licensed Representative - Responsible Officer	2, 5	
SPENCE Kevin	BOH486	Licensed Representative - Responsible Officer		9
SUN Xiaodong	ATY657	Licensed Representative - Responsible Officer	9	
TAI Kwok Keung	AAE013	Licensed Representative - Responsible Officer	9	
TING Ngai	AHV456	Licensed Representative - Responsible Officer	4	
TSUI WONG Dig Hong, Betty	AZN069	Licensed Representative - Responsible Officer	9	
VENEAU James Christopher	ATY073	Licensed Representative - Responsible Officer	3	
WU Wenquan	APC267	Licensed Representative - Responsible Officer	4	
XU Yong	BMT490	Licensed Representative - Responsible Officer		6
YING Kok Fu, Dennis	AVW561	Licensed Representative - Responsible Officer	4	
YIP Chun Wai	ACP491	Licensed Representative - Responsible Officer	4	
ZHANG Yiwei	AQH375	Licensed Representative - Responsible Officer		2
ZHEN Jingjing	AXH989	Licensed Representative - Responsible Officer	4	
ZHONG Hao	BDB919	Licensed Representative - Responsible Officer	5	