

VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 08/2020

| CE Name | CE No. | License Type | Types of Regulated Activity Added | Types of Regulated Activity Removed |
|---|--------|-------------------------|-----------------------------------|-------------------------------------|
| Skandinaviska Enskilda Banken AB | AXY830 | Registered Institution | | 2 |
| BKT Asset Management HK Limited | BOL522 | Licensed Corporation | 1 | |
| CR Wealth and Asset Management Limited | BGQ200 | Licensed Corporation | 1, 4 | |
| Golden Asset Management Co., Limited | BNU616 | Licensed Corporation | 1 | |
| Keptain Securities and Asset Management Limited | AZK479 | Licensed Corporation | 4 | |
| Lamtex Securities Limited | AAA721 | Licensed Corporation | | 1 |
| Look's Asset Management Limited | AUM670 | Licensed Corporation | 1 | |
| New Prospect Capital Limited | BJT614 | Licensed Corporation | 9 | |
| Superactive Financial Group Company Limited | AYB898 | Licensed Corporation | | 1 |
| SynerWealth Financial Limited | ARK752 | Licensed Corporation | 4 | |
| Tensant Securities Limited | AKO804 | Licensed Corporation | 4 | |
| Vontobel Asset Management Asia Pacific Limited | ARR382 | Licensed Corporation | | 9 |
| AU Hin Man | AOK562 | Licensed Representative | 4, 5 | 3 |
| AU Yuen Ting | BFI067 | Licensed Representative | 9 | |
| AUGIAS Cedric Alain Nicolas Marie | AFS898 | Licensed Representative | 7 | |
| BARLOW Michele Anne | AJE675 | Licensed Representative | | 1 |
| BIAN Yuan | AVE035 | Licensed Representative | 1, 4 | |
| BUT Kwun Ho | BLR561 | Licensed Representative | 4 | |
| CAO Jialin | BPS607 | Licensed Representative | 9 | |
| CAO Jian | BOG527 | Licensed Representative | 1, 6 | 9 |
| CATALANO Angelo | AUB322 | Licensed Representative | 1 | |
| CERBOURG Sebastien | ALC897 | Licensed Representative | | 4, 5 |
| CHAN Gaa Ci | BPK573 | Licensed Representative | 9 | |
| CHAN Ka Chun | BKC972 | Licensed Representative | 4 | |
| CHAN Leong Sek, Freddy | ADW083 | Licensed Representative | | 1 |
| CHAN Ngai Sut | BOW660 | Licensed Representative | 9 | |
| CHAN Suk Man | AFT975 | Licensed Representative | | 5 |
| CHAN Ying Yi | AVL067 | Licensed Representative | 9 | |
| CHAN Yuk Pan | BOD136 | Licensed Representative | | 4 |
| CHANG Chung Kan | ADJ876 | Licensed Representative | | 2 |
| CHANG Tsz Ling | BNX454 | Licensed Representative | 9 | |
| CHANG Yu Tzu | BMR330 | Licensed Representative | 9 | |
| CHAUDET Marc-Antoine | BPV270 | Licensed Representative | | 1, 4 |
| CHEN Gary | BHA294 | Licensed Representative | 1, 2 | |
| CHEN Ming Yu | BLT686 | Licensed Representative | 4, 9 | |
| CHEN Yang | BNS682 | Licensed Representative | | 9 |
| CHEN Yi-hsuan | BCK950 | Licensed Representative | | 1 |
| CHEN Yixiang | BLN678 | Licensed Representative | 1, 2, 5 | |
| CHEN Zhihu | BAH710 | Licensed Representative | | 1 |
| CHEN Zihao | BFN912 | Licensed Representative | 4 | |
| CHENG Chun Hei | ANK163 | Licensed Representative | | 4 |
| CHENG Kit Fu | BNG039 | Licensed Representative | 9 | |
| CHEUNG Bonathan Wai Ka | BIF071 | Licensed Representative | 1 | |
| CHEUNG Chi Chung, Nicholas | BDP720 | Licensed Representative | 4, 5 | |
| CHEUNG Ho Ming | BPA021 | Licensed Representative | 2, 4 | |
| CHEUNG Man Yu | ADV638 | Licensed Representative | 1 | |
| CHEUNG Yin Ling | AYZ253 | Licensed Representative | | 1 |
| CHEUNG Yuet Hoi | BAI842 | Licensed Representative | 2 | |
| CHIU Po-ju | BJD825 | Licensed Representative | 2, 7 | |
| CHIU Sai Ka | BLD324 | Licensed Representative | 9 | 2 |
| CHONG Ka Shing | BLO845 | Licensed Representative | 4 | 1, 2, 5 |
| CHU Chun Man | ASZ711 | Licensed Representative | 9 | |
| CHUNG Kai Cheong | AZL636 | Licensed Representative | 4, 9 | 1, 6 |
| CHUNG Kai Shing, Raymond | ADO794 | Licensed Representative | | 4 |
| CHUNG Lai Kit | BPK868 | Licensed Representative | | 4, 5 |
| COLIN-JONES Alexander Mark | AOE138 | Licensed Representative | | 4 |
| CROSBIE-WALSH Gordon Michael | ACD934 | Licensed Representative | | 4, 6 |

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|------------------------------|--------|-------------------------|-----------------------------------|-------------------------------------|
| FAN Chi Man | BGP304 | Licensed Representative | 9 | |
| FEI Da | BOJ658 | Licensed Representative | 2 | |
| GAO Luyan | BPG262 | Licensed Representative | 4 | |
| GAO Yuan | BFT182 | Licensed Representative | 4 | |
| GENG Lin | APH930 | Licensed Representative | 6 | |
| GOH Diwen | BLM062 | Licensed Representative | 9 | 1, 4, 6 |
| GUO Mingzhe | BOC397 | Licensed Representative | 9 | 1, 2, 7 |
| HAN Yuzhu | BLT746 | Licensed Representative | 9 | |
| HENDERSON Kevin Ryan | BMQ137 | Licensed Representative | 9 | |
| HO Man Chun | AZL144 | Licensed Representative | | 4 |
| HSU Jung-hsuan | AZT777 | Licensed Representative | | 2 |
| HUANG Ling Kwan | AUQ372 | Licensed Representative | 4 | |
| HUANG Tiancheng | BMQ053 | Licensed Representative | 1, 4 | 5 |
| HUI Wing Kee | ALU952 | Licensed Representative | | 2, 4 |
| HUNG Ming Xi, Rainky | BFX024 | Licensed Representative | 5 | |
| JI Kai | BJL531 | Licensed Representative | 4 | |
| JIANG Haiyuan | BNK729 | Licensed Representative | | 2 |
| JIN Yi | BOR293 | Licensed Representative | 2 | |
| JOLLY Rimmo | ATR852 | Licensed Representative | 4 | |
| KAM Kwun Kwan, Boris | ANA539 | Licensed Representative | | 4, 5 |
| KE Minning | BEB940 | Licensed Representative | 6 | 9 |
| KONG Hoi Shuen | BFJ638 | Licensed Representative | 4 | 1 |
| KONG Wai Wa | BAX161 | Licensed Representative | | 2 |
| KUAN Roy | AFD203 | Licensed Representative | | 1 |
| KUNG Kevin Holting | AXV035 | Licensed Representative | 9 | 1, 2, 7 |
| KWOK Hoi Yan | ANB388 | Licensed Representative | 1, 2 | |
| KWOK Ka Yiu | AFG950 | Licensed Representative | 1 | |
| LAI Chui Shan | BGT651 | Licensed Representative | 4 | 2 |
| LAI Maureen | AUU966 | Licensed Representative | 4, 6 | |
| LAM Chi Ho | BHY626 | Licensed Representative | 9 | 2 |
| LAM Kit Yin | ANV267 | Licensed Representative | 4 | |
| LAM Leung Kit | AXP603 | Licensed Representative | 4, 9 | |
| LAM Pui Fun | AZR919 | Licensed Representative | | 4 |
| LAM Wai Ho | AVS360 | Licensed Representative | 4, 5 | |
| LAU Cheong | BFA120 | Licensed Representative | 4 | |
| LAU Hing Bun | AGW616 | Licensed Representative | | 1 |
| LAU Ka Ki | BIJ843 | Licensed Representative | | 1 |
| LAU Yau Wai, Jimmy | AHS952 | Licensed Representative | 2 | |
| LAW Kwai Yee | BHZ142 | Licensed Representative | 1 | |
| LEE Chak Man Edward | BHO953 | Licensed Representative | | 1 |
| LEE Chun Wai | AMK024 | Licensed Representative | | 1, 2 |
| LEE Ha Young | ADI252 | Licensed Representative | | 9 |
| LEE Kin Man, Desmond | AFK515 | Licensed Representative | 1, 4 | |
| LEE Vincent Marshall Kwan Ho | AAK213 | Licensed Representative | | 1, 4 |
| LEUNG Alexander | ANH673 | Licensed Representative | 1, 2, 5 | 9 |
| LEUNG Hoi Chun | BJK269 | Licensed Representative | 4, 9 | |
| LEUNG Ka Wai | AME528 | Licensed Representative | | 6 |
| LEUNG Man Sik, Manz | BCK772 | Licensed Representative | | 1 |
| LEUNG Po Hung | BIH003 | Licensed Representative | | 2 |
| LI Colin Yi | BPR494 | Licensed Representative | 2 | |
| LI Gengrong | BGD432 | Licensed Representative | 4, 5 | |
| LI Hao | BPC152 | Licensed Representative | | 2 |
| LI Hualin | BOH730 | Licensed Representative | | 1, 4 |
| LI Junhao | BGY117 | Licensed Representative | 4 | |
| LI Tai | BOK534 | Licensed Representative | 1, 4 | 9 |
| LI Tim Yan Lilian | BPN243 | Licensed Representative | 2 | |
| LI Yi | AQQ241 | Licensed Representative | | 2 |

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| CE Name | CE No. | License Type | Types of Regulated Activity Added | Types of Regulated Activity Removed |
|---------------------------------------|--------|-------------------------|-----------------------------------|-------------------------------------|
| LI Zhaoyi | BOH012 | Licensed Representative | | 6 |
| LIANG Daping | BNV495 | Licensed Representative | 9 | |
| LIANG Lixuan | BBE457 | Licensed Representative | | 2, 4, 5 |
| LIANG Xin | BJI881 | Licensed Representative | 9 | 1 |
| LIN I-chi | BAT265 | Licensed Representative | | 4 |
| LIN Shuli | BEG056 | Licensed Representative | | 1 |
| LING Ling | AXL658 | Licensed Representative | 9 | |
| LIU Jing | BNO984 | Licensed Representative | 9 | |
| LIU Jintao | BHW678 | Licensed Representative | 9 | 1, 6 |
| LIU Na | BEC575 | Licensed Representative | | 4, 9 |
| LO Cheuk Yee, Helen | ANA705 | Licensed Representative | 9 | |
| LO Chi Kai, Ivan | AXH528 | Licensed Representative | | 1 |
| LO Dickson Tat San | AVM658 | Licensed Representative | | 4 |
| LO Hoi Yee | ASE941 | Licensed Representative | | 4 |
| LOMBARD Jean-Christophe Roland Firmin | APG365 | Licensed Representative | 4 | 2 |
| LU Tsz Hin, David | BPM954 | Licensed Representative | 1 | 9 |
| LU Xuefei | BIT148 | Licensed Representative | | 6 |
| LU Yu | BBE946 | Licensed Representative | 1 | |
| LUI Ho Kit | AYO352 | Licensed Representative | 4 | 2 |
| LUK Kim Ping | ACS638 | Licensed Representative | | 9 |
| LUK Wing Chung, Tony | AYK476 | Licensed Representative | | 1 |
| MA Kwok Chau | BOG876 | Licensed Representative | | 6 |
| MA Wai Yee | BPK726 | Licensed Representative | 2 | |
| MAK Ho Ming | BAJ419 | Licensed Representative | 1 | |
| MAK Kwok Leung | APF173 | Licensed Representative | | 9 |
| MAOLANON Nond | BOL719 | Licensed Representative | | 1, 4 |
| MATSUO Hidetaku | AZL647 | Licensed Representative | 4 | |
| MIAO Shun-Tang | ASE264 | Licensed Representative | 2, 5 | |
| NG Ching Yin | BOO394 | Licensed Representative | 2 | |
| NG Li Sheng Jason | BGG975 | Licensed Representative | 9 | 1 |
| OOI Pei Yi | BGQ919 | Licensed Representative | | 1, 4 |
| PAN Huiying | BOL180 | Licensed Representative | | 7 |
| PARK Chaeyoung | BPM782 | Licensed Representative | 2, 5 | 1, 4 |
| POON Ho Leung | AAK420 | Licensed Representative | 9 | |
| POON King Tou, Ronald | ANH678 | Licensed Representative | | 1 |
| QIAN Hua | BME617 | Licensed Representative | | 1, 6 |
| QIAO Yashuang | BKR873 | Licensed Representative | | 1 |
| QIN Yu | BNL547 | Licensed Representative | 4 | |
| RABIER Adrien Guy | BNR825 | Licensed Representative | 4 | |
| RONIS Kristaps | BEB410 | Licensed Representative | 9 | |
| SERFATI Stephane David | BGA752 | Licensed Representative | | 1, 4 |
| SHEK Wing Kit | ANR257 | Licensed Representative | | 4, 9 |
| SHI Chanjuan | BNE427 | Licensed Representative | 4 | 2 |
| SHU Yichan | BAE667 | Licensed Representative | | 1 |
| SIU Sau Man | AGP751 | Licensed Representative | | 4 |
| SO Ching Yu Calvin | BNX953 | Licensed Representative | 4 | |
| SO Wai Yip | BDO341 | Licensed Representative | | 7 |
| SUEN CHUN HO | BPU089 | Licensed Representative | 4 | |
| SUN Min | BHM881 | Licensed Representative | | 4 |
| SZE Kin | BPN218 | Licensed Representative | 6 | |
| SZETO Wing Ho | BOF200 | Licensed Representative | 2 | |
| TAI Kit Ying, Agnes | ABD514 | Licensed Representative | | 1, 2, 5 |
| TAKAKU Masanori | AXM564 | Licensed Representative | 4 | |
| TAM Ho Yin, Jude | ALA228 | Licensed Representative | 4 | |
| TAM KAM FAI | BPN435 | Licensed Representative | 1 | |
| TAM Li Hon | BIL825 | Licensed Representative | | 4 |
| TAM Zumin Patrick Jr. | AEM645 | Licensed Representative | | 4 |

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|------------------------|--------|-------------------------|-----------------------------------|-------------------------------------|
| TAN Jia | BBZ469 | Licensed Representative | | 4 |
| TANG Pak Chun | BMX548 | Licensed Representative | | 1 |
| TANG Pak Kee | AVD968 | Licensed Representative | | 9 |
| TANG Wai Fung | ATN569 | Licensed Representative | | 4, 9 |
| TIAN Ye | AWZ521 | Licensed Representative | | 1 |
| TRETHEWAY Daniel Glenn | BPW688 | Licensed Representative | 9 | |
| TSANG Ho Ming Jonathan | BPN537 | Licensed Representative | 1, 2 | |
| TSANG Wai Lun | AQY698 | Licensed Representative | | 4 |
| TSE Kwok On | AHG557 | Licensed Representative | 6 | |
| TSUI Siu Lung | AGN289 | Licensed Representative | 2 | |
| WADLE John Allen | AGS454 | Licensed Representative | | 2 |
| WANG Bohua | BEL567 | Licensed Representative | 9 | 1, 4 |
| WANG Dien | BOE236 | Licensed Representative | 1 | |
| WANG Jiayue | BKB891 | Licensed Representative | 9 | |
| WANG Kenneth Chuan | AHU775 | Licensed Representative | 9 | |
| WANG Shuai | BNB844 | Licensed Representative | 1, 9 | |
| WANG Wan | AZR344 | Licensed Representative | 9 | 1, 2 |
| WANG Yao | BFW346 | Licensed Representative | | 4 |
| WEBSTER Andrea | AJF458 | Licensed Representative | | 1 |
| WEI Chi An, Alexandre | AAD164 | Licensed Representative | | 4 |
| WEN Yuxiang | BOF947 | Licensed Representative | 1, 4 | |
| WENG Jiani | BLV407 | Licensed Representative | 1 | 4, 9 |
| WONG Calvin Chee Jun | AYF520 | Licensed Representative | 9 | 4 |
| WONG Charles Yau Kung | AUN422 | Licensed Representative | | 1 |
| WONG Chun Wah | AUP359 | Licensed Representative | 9 | |
| WONG Hoi Ling | BJZ254 | Licensed Representative | 2 | |
| WONG Kai Yuen, Clement | BLF209 | Licensed Representative | 1 | |
| WONG Kin Ying | BOS192 | Licensed Representative | 9 | |
| WONG Pui Tak | BCU590 | Licensed Representative | 9 | |
| WONG Pui Yan, Joey | AGD800 | Licensed Representative | | 4 |
| WONG Tak Yan | AAF815 | Licensed Representative | | 2 |
| WONG Tse Shan | BOB082 | Licensed Representative | 1 | 6 |
| WONG Wai Ting | BDI841 | Licensed Representative | | 1 |
| WOO Wing Yin | APC057 | Licensed Representative | 1, 2 | 4, 9 |
| WU Yingyingjian | BIE144 | Licensed Representative | | 1 |
| WU Yulu | BHX593 | Licensed Representative | 6 | 2, 7 |
| XIA Junhua | BIE681 | Licensed Representative | | 9 |
| XU Jing | BOP968 | Licensed Representative | 4 | |
| XU Lingyan | ARI518 | Licensed Representative | 1, 4 | |
| XU Xingye | BMQ601 | Licensed Representative | | 4, 5, 9 |
| YANG Han | BIX762 | Licensed Representative | | 4 |
| YANG Haoming | BOK461 | Licensed Representative | 4 | 6 |
| YANG Huaibin | BNR146 | Licensed Representative | 9 | |
| YANG Shijing | AUU963 | Licensed Representative | 1, 7 | 5 |
| YANG Zhangyi | BKU681 | Licensed Representative | 9 | 6 |
| YAU Chi Kin | ADR779 | Licensed Representative | 2 | |
| YAU Choi Yu | BGH792 | Licensed Representative | 4, 5 | |
| YAU Ka Faat | BOQ868 | Licensed Representative | 9 | |
| YAU Tak Lung, Simon | AQS425 | Licensed Representative | | 2, 9 |
| YE Xiaojun | BKV992 | Licensed Representative | 2 | |
| YEUNG Cheuk Kwong | ADB143 | Licensed Representative | 4 | |
| YEUNG Chi Hang | AOK041 | Licensed Representative | | 4, 9 |
| YEUNG Kin Pan | AOI865 | Licensed Representative | 4 | |
| YEUNG King Fung | BJT499 | Licensed Representative | | 1 |
| YIP Shui Key | ACS410 | Licensed Representative | | 1 |
| YIP Thomas Ho Fai | AXD289 | Licensed Representative | 1 | |
| YIP Wing Sum | APD255 | Licensed Representative | | 4, 9 |

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| CE Name | CE No. | Licence Type | Types of Regulated Activity Added | Types of Regulated Activity Removed |
|----------------------------|--------|---|-----------------------------------|-------------------------------------|
| YU Ming Lung | AUT720 | Licensed Representative | | 1 |
| YU Tian | BBB466 | Licensed Representative | | 1 |
| YU Yat | BLL624 | Licensed Representative | 3 | |
| YUE Yuan | BMW313 | Licensed Representative | 9 | |
| ZHANG Jingyao | BIL584 | Licensed Representative | 1, 2 | |
| ZHANG Chonghui | BJD902 | Licensed Representative | 1 | |
| ZHANG Pengtao | BNH904 | Licensed Representative | 4 | |
| ZHANG Yixiang | AVO768 | Licensed Representative | | 9 |
| ZHENG Xiaoxi | AWF326 | Licensed Representative | 1 | |
| ZHONG Shining | BDY889 | Licensed Representative | 6 | 2 |
| ZHOU Tingting | AUG803 | Licensed Representative | 6 | |
| CHAN Chi Hung | AMN881 | Licensed Representative - Responsible Officer | 1 | |
| CHAN Hei Wai | AXE875 | Licensed Representative - Responsible Officer | 1 | |
| CHAN Kwok Dik | AYF149 | Licensed Representative - Responsible Officer | 1 | |
| CHAN Ping Cheung, Alvin | AAI355 | Licensed Representative - Responsible Officer | 4 | |
| CHAN Yin Kiu, Louis | AUI586 | Licensed Representative - Responsible Officer | 4 | |
| CHELAT Iqbal Ramiz | ALF336 | Licensed Representative - Responsible Officer | | 9 |
| DU Stephen Songhai | BHU114 | Licensed Representative - Responsible Officer | 4 | |
| FU Lai Ying | ANM295 | Licensed Representative - Responsible Officer | 4 | |
| HE Yunfan | AQD644 | Licensed Representative - Responsible Officer | 4 | |
| JIANG Maolin | ARE474 | Licensed Representative - Responsible Officer | 4 | |
| LAI Joanne Pei-chun | ARO383 | Licensed Representative - Responsible Officer | 9 | |
| LAM Wing Hi | AJK480 | Licensed Representative - Responsible Officer | 1 | |
| LAU Chin Yung, Andy | AGH950 | Licensed Representative - Responsible Officer | | 1 |
| LEE Ha Young | ADI252 | Licensed Representative - Responsible Officer | 4 | |
| LEUNG Po Hung, Mabel | AEJ624 | Licensed Representative - Responsible Officer | 4 | |
| LIEM Chung Wong, Jasper | APY809 | Licensed Representative - Responsible Officer | 4 | |
| LIU Yuen Shan | ADC177 | Licensed Representative - Responsible Officer | 4 | |
| LOU Ming | AEP445 | Licensed Representative - Responsible Officer | 1 | |
| NG Ka Kin | ACF722 | Licensed Representative - Responsible Officer | 9 | |
| NONNENMACHER Sophie Sabine | APJ411 | Licensed Representative - Responsible Officer | 4, 5 | |
| PERUMAL Janet Anandhi | BDH781 | Licensed Representative - Responsible Officer | 2, 9 | |
| SO Man Hui | ARI456 | Licensed Representative - Responsible Officer | 4, 9 | |
| SUTCH Jeremy Rupert Peter | ADB510 | Licensed Representative - Responsible Officer | 9 | |
| SZE Kwun Yu, Jason | AXD898 | Licensed Representative - Responsible Officer | 5 | |
| TANG Dewen | BNG653 | Licensed Representative - Responsible Officer | 1, 4, 9 | |
| TIAN Ye | AWZ521 | Licensed Representative - Responsible Officer | 9 | |
| TSE Win Yee, Annie | ACR126 | Licensed Representative - Responsible Officer | 1 | |
| WANG Hui | BJU212 | Licensed Representative - Responsible Officer | 9 | |
| WANG King Wai, Denny | ABP813 | Licensed Representative - Responsible Officer | 4 | |
| WEN Wenfeng | BCP997 | Licensed Representative - Responsible Officer | | 1 |
| WONG Tsan Chow | AXI459 | Licensed Representative - Responsible Officer | 1 | |
| YANG Tsu-wei | AEB508 | Licensed Representative - Responsible Officer | 4 | |
| YEUNG Chak Nam | AUC990 | Licensed Representative - Responsible Officer | | 1 |
| YEUNG Chi Hang | AOK041 | Licensed Representative - Responsible Officer | 1 | |
| YU Xiaoling | ANP305 | Licensed Representative - Responsible Officer | | 1 |
| ZHANG Jing | BGX097 | Licensed Representative - Responsible Officer | 2, 6 | |
| TANG Lap Yan | ACG574 | Licensed Representative (Provisional Licence) | 9 | |