



VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 05/2013

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
Alpha Global Asset Management Limited	AEN441	Licensed Corporation	1	
CCB International Securities Limited	AMB276	Licensed Corporation	2	
Elite Financial Services Limited	AFE406	Licensed Corporation	9	
Nomura Asset Management Hong Kong Limited	AAF351	Licensed Corporation	1	
SinoPac Securities (Asia) Limited	ACD026	Licensed Corporation	5	
Wellington Global Investment Management Limited	AJB478	Licensed Corporation	2	
AGARWAL Ashish	AZW911	Licensed Representative	2	
AGGARWALA Saurabh	AVD967	Licensed Representative	2	
ANDREWS Rodney Leonard	AXD691	Licensed Representative	4, 5	
AU Nim Bing	ARM908	Licensed Representative	2, 5	
AU Yip Shing	AZJ794	Licensed Representative	4, 9	1
BAZZONI Federico	ADP682	Licensed Representative	4, 6	
BENDLE Katarina Elizabeth	AQU966	Licensed Representative	1	9
CHAINANI Prerna Kumar	AXV890	Licensed Representative	4	
CHAN Andrew	AYO363	Licensed Representative	5	
CHAN Benjamin Yu-ki	ALW648	Licensed Representative		2
CHAN Chun Yi	AZN469	Licensed Representative	3	
CHAN Foet Sen, Tjoeti	ATY071	Licensed Representative	1	9
CHAN Ka Kit	ANE976	Licensed Representative	1	9
CHAN Kam Hung, Katrina	ATX660	Licensed Representative	2	
CHAN King Ki, Celia	ARW168	Licensed Representative	2	4
CHAN Pui Lai	AQX493	Licensed Representative	5	1, 2
CHAN Pui Ming	ADN295	Licensed Representative		4
CHAN Sze Ho	AWZ026	Licensed Representative	2	
CHAN Tat Wai	AGJ555	Licensed Representative	4	
CHAN Yee Fun, Fanny	ACV705	Licensed Representative		2
CHAN Yuen Kwan	AWL095	Licensed Representative	9	
CHEN Clarence Soon Yuan	AZD383	Licensed Representative	4	2
CHEN Xiao	AVA602	Licensed Representative	1	
CHENG Kam Luen	AGQ976	Licensed Representative	3	
CHENG Pui Yan	AEQ438	Licensed Representative	4	
CHENG Sim Kuen	APP900	Licensed Representative	2	
CHENG Wai Ying Gigi	BAA526	Licensed Representative	2	
CHEUNG Chi Shing	ATY586	Licensed Representative	2	
CHEUNG Wai Kay	AEK987	Licensed Representative	1	
CHEUNG Wai San, Wilson	ASU017	Licensed Representative	9	
CHEUNG Yeung	AXT527	Licensed Representative		1
CHEUNG Yim Yeung	AEQ239	Licensed Representative	1	
CHIN Sydney Chung Hin	ANK516	Licensed Representative	2	
CHONG Ho Man	AWZ543	Licensed Representative	1	
CHU Tianli	AVY302	Licensed Representative	9	1, 2
CHUNG Chi Yat	AOW946	Licensed Representative		2, 3
CHUNG Yi Tung	AUP364	Licensed Representative		2
COOMBS Jonathan Lee	ATE957	Licensed Representative	9	1, 2, 7
CRISPIN James Anthony	ANU647	Licensed Representative		2, 5
DU Weifeng	AVV544	Licensed Representative	2, 7	
EIO Choon Yin, Cara	ABT425	Licensed Representative	4	
FENG Yingsi	AZR405	Licensed Representative	5, 6	1
FOK Chi Wing, Mavis	APB671	Licensed Representative	1	4
FONG Yiu Sing	BAI829	Licensed Representative	2	
FUJIWARA Sari	AUV639	Licensed Representative		4
FUNG Sui Sang, Tommy	AFN762	Licensed Representative		1, 2, 4
FUNG Yu Wo	APW467	Licensed Representative	2	
GO Yoshinori	ADG400	Licensed Representative		5, 6
GUO Rongjun	ASW836	Licensed Representative	1, 4	
GUPTA Manas	AXO842	Licensed Representative		2, 4, 7
HAU Hiu Yeung	AXR983	Licensed Representative	2	
HE Dingding	APR488	Licensed Representative		6
HEUNG Man Wa	ARN439	Licensed Representative		1
HO Ho Ming	AZG575	Licensed Representative	9	
HO Kin Bor	AAV276	Licensed Representative	2	
HO Sze Wai	BAZ789	Licensed Representative	2	
HUANG Cliff Stevens	AIM307	Licensed Representative	4	
HUANG Haidong	AXV603	Licensed Representative		6



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CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
HUI Hon Yuen, Benedict	AGQ352	Licensed Representative	9	
HUI Kwai Ming	AKX675	Licensed Representative		5
HUNG Dick On	AQF125	Licensed Representative		3
HUNG Janice Fortuna	ASF462	Licensed Representative	1	
HUNG Ping Wong	ASX329	Licensed Representative		4
IP Hon Wah	ALN833	Licensed Representative		2, 4
IP Hung Kei	ARO056	Licensed Representative	1	9
IP Kar Kok	ARA152	Licensed Representative		1
KHUBCHANDANI Ashwin	ARD919	Licensed Representative	2	
KIM Taewon	ARI057	Licensed Representative	4	
KUNG Ho Bun	AUS202	Licensed Representative	2, 3	
KWOK Chi Hang	ARB688	Licensed Representative		2
KWONG Tony Yu Chun	AKW723	Licensed Representative		6
LAI Ka Leong	ASE664	Licensed Representative		2
LAM Chun Po	ANN300	Licensed Representative	5	
LAM Ho Yin	AFM525	Licensed Representative		2
LAM Iok Chan, Michelle	AER410	Licensed Representative		5
LAM Ka Ming	AEU728	Licensed Representative	2	
LAU Chi Wo	AMI494	Licensed Representative	9	
LAU Chun Sing	ANQ367	Licensed Representative	4	
LAU Joanne Yan-wah	AZI786	Licensed Representative	1	
LAU Kai Yeung	ARA400	Licensed Representative		1
LAU Wing Sin	AEW987	Licensed Representative	1, 4	2, 5
LAU Wing Yip, Thomas	AFY003	Licensed Representative		2, 5
LAU Yuen Shing	AXZ950	Licensed Representative	6	4
LAW Hing Wo	AQE993	Licensed Representative	2	
LAW Koon Hung	ALN199	Licensed Representative	2	4
LAW Lap Kau	AVH515	Licensed Representative	2	
LAW Oliver Tin-Loong	APB677	Licensed Representative	2, 7	
LAW Wing Leung	AWS180	Licensed Representative	2, 3	
LEE Fanny Yuk Lai	AFX602	Licensed Representative	9	
LEE Geng Rong	ACB022	Licensed Representative	1	
LEE Ho Luen, Derek	AES116	Licensed Representative	1, 9	
LEE Yuk Wah	AZT286	Licensed Representative	4, 9	
LEUNG Chak Yan	ATO522	Licensed Representative		1
LEUNG Jonathan Koon-fung	AYS657	Licensed Representative	9	1, 4, 6
LEUNG Yee Kan	AVA624	Licensed Representative	2	
LI Man Hei	BAH700	Licensed Representative	1, 7	2
LI Ning	AWJ815	Licensed Representative	2	
LI Weila	AZC573	Licensed Representative	4	
LI Yao Jun	APB923	Licensed Representative	4, 9	
LING Ka Kin	AOM643	Licensed Representative		1, 4, 5
LIU Patrick Song	ANQ638	Licensed Representative		9
LIU Xinming	AVN003	Licensed Representative	2	
LO Hiu Lam	APL937	Licensed Representative	4	
LO Mak Yeung	BAG324	Licensed Representative	3	
LO Pao-Chi	APL954	Licensed Representative	2	
LO Sai Kit	AVY257	Licensed Representative	4	
LUI Laura	ANA993	Licensed Representative	1	
LUNG Tak Wing	AAG270	Licensed Representative	2	
LUO Xun	AUW916	Licensed Representative		1, 4
MA Xiaona	AXA085	Licensed Representative		6
MAO Shuguang	AMY549	Licensed Representative	1, 6	9
MARCHESSEAU Eric Jacques	AUZ419	Licensed Representative	4	7
MOU Siu Bun, Newman	ABL554	Licensed Representative		4
MUMFORD Robert Vyvyan	AAW514	Licensed Representative	1	9
NG Ching Yin	ARS551	Licensed Representative	2	
NG Chung Kei, Paul	AWF522	Licensed Representative	2	
NG Hong Wing	ADU475	Licensed Representative		3
NG Kai Him	AVY121	Licensed Representative		4
NG Wai Kwong	ADJ383	Licensed Representative		1, 4
OMURA Yoshiyuki	AAD085	Licensed Representative	4	
OU YANG Kuo Ruei	AMS396	Licensed Representative		9
PANG Man Yee, Maggie	APZ425	Licensed Representative	4	


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CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
PANIKKAR Kesava Rajat	AVQ218	Licensed Representative	4	6
POON Ka Wing	ATS954	Licensed Representative	4	
POON Tsz Yuen	AUM378	Licensed Representative		1
QIAN Mingwei	ANZ962	Licensed Representative	4, 9	1, 2
QIN Yi Fei	BBA634	Licensed Representative	3	
SAMPSON Machiko	AJI380	Licensed Representative	4	
SCHIEFEN Hans-Gunter	ADS447	Licensed Representative	9	
SHARMA Ashish	ASW394	Licensed Representative		6
SHAW Jensens	AXA403	Licensed Representative	2	
SHI Zhenni	AYX154	Licensed Representative	9	
SHIU Yik Hung	AEP548	Licensed Representative	4	
SHUM Chun	AMO639	Licensed Representative	9	
SIMS Simon	APJ780	Licensed Representative	2	
SIN Hong Yee, Connie	AGJ915	Licensed Representative		1
SO Mei Lun	ADK736	Licensed Representative	4	
SONG Weiguang	BAZ639	Licensed Representative	4, 5	
SUN Lingxiao	AXO391	Licensed Representative	1	
SZETO Chun Kit	ASM272	Licensed Representative	3	
TAI Ching Kit	ATI282	Licensed Representative	1	
TAM Kai Yi, Kelly	AVE810	Licensed Representative	4	
TAM Kin Yip	ALZ845	Licensed Representative	4	
TAM Wai Hang	AXF378	Licensed Representative		1
TAN Wentao	AXS425	Licensed Representative	1, 4, 9	
TO Yin Kwan	AXX670	Licensed Representative	4	
TSANG Wai Yee, Faredah	AWL906	Licensed Representative	2	4
TSE Yu Lung	AVU827	Licensed Representative	3	
TSENG Ko	AQH113	Licensed Representative		1
TSOI Chi Ming	AVX934	Licensed Representative	2	
TSOI Kap	ADN448	Licensed Representative		2
TSOI Kwong Fuk, Peter	ADL967	Licensed Representative	4	
ULMER Julian Jerome	AWZ925	Licensed Representative	9	1, 2, 7
WALKER Alicia	AWD560	Licensed Representative		2, 7
WAN Ching Pong	APP030	Licensed Representative	4, 9	
WAN Kit Man	AXY330	Licensed Representative	9	
WANG Anyuan	AQY699	Licensed Representative	1	
WANG Wei-hsiang	AZC421	Licensed Representative	9	
WEI Qing	AZY181	Licensed Representative	9	
WIJAYA Suryadi	AQO161	Licensed Representative		1
WONG Chin Pang	AFU569	Licensed Representative	1, 2	4, 9
WONG Ka Wing	ATO884	Licensed Representative	2	
WONG Kin Chun, Gilbert	AAI303	Licensed Representative		9
WONG Man Chi Maggie	ATV731	Licensed Representative	2	
WONG Pui Fung, Jazz	APV977	Licensed Representative	9	
WONG Siu Chuen	AAA522	Licensed Representative	4, 5	
WONG Sze Yeung	AOJ621	Licensed Representative	4, 5	
WONG Yat Lam	AHY120	Licensed Representative	1	
WU Lici Leon Edward	AJD966	Licensed Representative	1, 2	4, 9
XIAO Yinan	AYS881	Licensed Representative	9	2
XU Lu	AYE980	Licensed Representative	2	1, 5
YANG Jie	AXW975	Licensed Representative	5	
YANG Yun-Chen	AQK248	Licensed Representative	2	
YAU Ka Hang	BAA852	Licensed Representative	4	
YAU Tak Chi	AUP712	Licensed Representative	1	
YEUNG Ham	ANU667	Licensed Representative	9	
YEUNG Man To	AFZ104	Licensed Representative	9	
YING Hak Kai	AGA425	Licensed Representative	4	
YIP Hoi Chung	AFD123	Licensed Representative		1, 2
YIP Tai Yuen	AAG994	Licensed Representative		4
YIP Yin Fong	AOY328	Licensed Representative	4	
YU Ki Biu	ALU837	Licensed Representative	3	
YU Mee Kam, Irene	AJA983	Licensed Representative	2, 5	
YUAN Christy	BAO326	Licensed Representative	1, 4	3
YUEN Ka Chung	ARD624	Licensed Representative		4
YUEN Kin Yuk	APL591	Licensed Representative	4	



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CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
YUEN Pak Man	AZY231	Licensed Representative	4	
YUNG Kin Wai	ABN176	Licensed Representative	1	
ZHANG Dingfang	AYS118	Licensed Representative	6	
ZHAO Qing	AXV392	Licensed Representative	4, 9	
ZHAO Ye	BAD298	Licensed Representative	1	4
ZHOU Siyang	BAQ822	Licensed Representative	1	
BAXTER Thomas Wilbur	AYY701	Licensed Representative - Responsible Officer	1, 2	
CHAN Kwok Keung	ANQ431	Licensed Representative - Responsible Officer		1
CHAN Mofiz	AMI692	Licensed Representative - Responsible Officer		1
CHEN Xiao	AVA602	Licensed Representative - Responsible Officer		6
CHENG Shou Shan	AYI059	Licensed Representative - Responsible Officer	1	
DAI Jixin	AVP032	Licensed Representative - Responsible Officer	4	
FAVEUR Samuel Christian	AIT497	Licensed Representative - Responsible Officer		9
FUJIWARA Yasuhiro	AQD028	Licensed Representative - Responsible Officer	4, 5	
HELPER JR Ray Eugene	AVD288	Licensed Representative - Responsible Officer	2	
HO Kwok Wai, Ignatius	ADZ422	Licensed Representative - Responsible Officer	1	
LAI Choo Kan, Michael Brian	ACT480	Licensed Representative - Responsible Officer		5
LAI Vincent Wai Shun	ALU159	Licensed Representative - Responsible Officer	1	
LAM Kin Wah, Kevin	ACW802	Licensed Representative - Responsible Officer		2
LAW Yin Ping, Sandy	ADB146	Licensed Representative - Responsible Officer	9	
LAZERGES Gilles	ART865	Licensed Representative - Responsible Officer		1
LEUNG Heung Chuen	ACF948	Licensed Representative - Responsible Officer	4	
LEUNG Pak Hon, Hugo	ABX165	Licensed Representative - Responsible Officer	2	
LEUNG Yin Wing	ACD641	Licensed Representative - Responsible Officer	1	
LI Jack C F	AIB172	Licensed Representative - Responsible Officer		4
NG Wai Kwong	ADJ383	Licensed Representative - Responsible Officer	2	
OGIWARA Yasuaki	ACF046	Licensed Representative - Responsible Officer	1	
PARRY Gavin Kim	AGJ240	Licensed Representative - Responsible Officer	9	
SO Shing Hing, Nelson	ACH779	Licensed Representative - Responsible Officer	2	
SUDO Takafumi	AZE437	Licensed Representative - Responsible Officer	1	
WONG Long Sau, Ivis	ADA335	Licensed Representative - Responsible Officer	9	
YAU Shu Cheung	AAJ570	Licensed Representative - Responsible Officer	1	
YIP Hoi Chung	AFD123	Licensed Representative - Responsible Officer	9	
YIP Lai Kar, Raymond	AAC659	Licensed Representative - Responsible Officer		2
YUEN Kam Lun, Jackson	AFE588	Licensed Representative - Responsible Officer	9	
CHEN Ningning	ASQ132	Licensed Representative (Provisional Licence)		5