

VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2019

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
Afflux Securities Limited	BIO838	Licensed Corporation	4, 9	
China Renaissance Capital Advisors Limited	ARD921	Licensed Corporation	9	
Forthright Securities Company Limited	BGP713	Licensed Corporation	2, 5	
Giant Asset Management Limited	BHJ968	Licensed Corporation		1
Global Mastermind Securities Limited	BIO067	Licensed Corporation	6	
Indus Capital Advisors (Hong Kong) Limited	AFC560	Licensed Corporation	1, 2	
JK Capital Management Limited	AEP547	Licensed Corporation		6
KVB Kunlun Securities (HK) Limited	AQG528	Licensed Corporation	2, 5	
Mason Investment Management Limited	AHG512	Licensed Corporation	1	
Nuada Limited	AJE161	Licensed Corporation		1
Polaris Securities (Hong Kong) Limited	ABZ023	Licensed Corporation		2
TransAsia Private Capital Limited	AZR590	Licensed Corporation	1	
YUANYIN SECURITIES LIMITED	BMW035	Licensed Corporation	4	
Zheshang International Financial Holdings Co., Limited	BGD825	Licensed Corporation	1, 4	
ASSAD Karim Micael	BMW507	Licensed Representative	9	
AU Fung Lan	AGP056	Licensed Representative	1	
AU Sun Shing Dennis	AAC877	Licensed Representative		1, 4, 9
AU Wilson Siu Ho	AXS858	Licensed Representative		1, 4
BAO Wenjing	ARU022	Licensed Representative	6	
BARCLAY Samuel Anthony Lun	BGD645	Licensed Representative	1, 2	
BLAKE Daniel Kane	BBW394	Licensed Representative	4	
BOEDING Jacob Francis	AVC255	Licensed Representative	2	
BOND Matthew James William	BJB297	Licensed Representative	9	
CAMPBELL Lachlan Gordon	ADU213	Licensed Representative	1	9
CHA Sang Youn	AQM175	Licensed Representative	9	1
CHAI Siu Hoi	BLH838	Licensed Representative	4	
CHAN Chi Cheung, Sunny	AGS231	Licensed Representative	2	
CHAN Chi Ip	ACN933	Licensed Representative		1
CHAN Chun Yin	BAF372	Licensed Representative		1
CHAN Hiu Shun	AZE439	Licensed Representative		1
CHAN Hoi Cheung	APW069	Licensed Representative	4	
CHAN Hoi Yan	BJL078	Licensed Representative	1, 4	
CHAN Ki Fung	BLI064	Licensed Representative		4, 9
CHAN King Hei	BGM820	Licensed Representative		3
CHAN Kit Tak	AOY488	Licensed Representative	1	
CHAN Ling Wah, Edward	AHR464	Licensed Representative	10	1, 4, 9
CHAN Mei Fung	ACJ988	Licensed Representative		1
CHAN Pak Hei	BBJ062	Licensed Representative	3, 4	
CHAN Sau Kuen	AFU450	Licensed Representative	4	
CHAN Siu Lun	BKG601	Licensed Representative		4, 5
CHAN Wai Chung	AOD117	Licensed Representative		5
CHAN Wai Nga, Julia	AMU107	Licensed Representative	2	4
CHANG Po-kai	AWY941	Licensed Representative	1	
CHAU Chor Ping	BNU876	Licensed Representative	2, 3	
CHEN Chi Ho	AUI937	Licensed Representative		9
CHEN Chih-ching	AQD360	Licensed Representative	1	
CHEN Hu	BMA461	Licensed Representative	9	1, 2
CHEN Luqing	AVP846	Licensed Representative		2
CHEN Peijie	BNU863	Licensed Representative	4, 9	6
CHEN Pengge	BKZ959	Licensed Representative		6
CHEN Xuyang	BGW868	Licensed Representative	6	
CHEN Zhangchen	BHY095	Licensed Representative	1	
CHENG Chi Ho	AOV370	Licensed Representative		2
CHENG Sin Ling	ACK009	Licensed Representative		1
CHEUNG Fung Cheung	ACP534	Licensed Representative	4	
CHEUNG Ka Yin Kelvin	BNU904	Licensed Representative	3	

VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2019

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
CHEUNG Man Keung	AAK112	Licensed Representative		4, 5
CHEUNG Sze Ying, Skylar	BHY943	Licensed Representative		9
CHEUNG Wai Kit	ANY303	Licensed Representative		1
CHEUNG Wai Ting	AOG952	Licensed Representative	2	
CHIM Wai Kwok	ANX997	Licensed Representative		1
CHING Tsun Lung	AUA954	Licensed Representative	4, 9	1, 2
CHIU Chi Kam, Kenneth	BHX079	Licensed Representative		4
CHIU Hoi Ho	BBK012	Licensed Representative	9	
CHIU Ka Chun	BGM282	Licensed Representative	9	1
CHIU Kin Fai	ADC461	Licensed Representative		1
CHNG Kim Seng	BEG153	Licensed Representative	9	
CHONG Chak Man	AFT770	Licensed Representative		1, 4
CHONG Sheung Tat	BGB437	Licensed Representative		4, 9
CHOW Hing Man	AOJ299	Licensed Representative	4	
CHOW Shiu Lun	ABF183	Licensed Representative	2	
CHOW Yun Chit Eugene	BLB194	Licensed Representative		2
CHOY Kwong Wa, Christopher	AAK430	Licensed Representative		1
CHU Cheuk Fung	BMG556	Licensed Representative		4
CHU Chun Wa	BMX722	Licensed Representative	6	1, 2, 4
CHU Edmund Kinwin	BFD305	Licensed Representative	4	
COLEMAN Eleanor Marie	BDI772	Licensed Representative	9	
CRAMER Reuben Saul	BKK593	Licensed Representative	9	
CUI Ran	BBA364	Licensed Representative	4, 9	6
DANG Jolyn Le Thuy	AWY706	Licensed Representative	1, 4	9
DARGIE Peter Clarke	BEO577	Licensed Representative	9	1, 2
DENG Huang	BNQ698	Licensed Representative	4	
DON Bryce Francis	BLL145	Licensed Representative	9	
DONG Lok	AYV698	Licensed Representative	4	
ENGBRECHT James Edward	BGM928	Licensed Representative	9	
FAN Mingxi	AJC179	Licensed Representative	2	
FOK Tsz Kwong	BIK218	Licensed Representative	2	
FU Xiaoqing	BCY599	Licensed Representative		9
FUNG Chi Hei	AQC818	Licensed Representative	9	
GAO Zijun	BMT376	Licensed Representative	4	
GU Miduo	BNH624	Licensed Representative	6	
GUAN Guhan	BKH264	Licensed Representative	4	1, 2
GUO Yifan	AXV591	Licensed Representative		4, 9
HA Po Kwan	ALB254	Licensed Representative		4
HAN Chuan	BCF645	Licensed Representative		2
HO Chun Man	ARJ714	Licensed Representative		5
HO Hin Hang	AVH028	Licensed Representative		1, 2, 5
HO Yik Kwan	AEZ469	Licensed Representative	4	
HO Ying Hsin, Angela	AKT416	Licensed Representative	4, 9	1, 2
HSU Li Fei	AVA787	Licensed Representative	4	
HUA Xueyang	BEF077	Licensed Representative	4	
HUANG Hing Wai	ARD187	Licensed Representative	2, 7	9
HUANG Ying	BNP292	Licensed Representative	6	2
HUI Ka Yan	BEX260	Licensed Representative	2	
HUI King Lung	ANJ588	Licensed Representative		1, 2
HUI Yiu Chung, Sam	BNI743	Licensed Representative		1
HUNG Jung-Tsung	AJD359	Licensed Representative		2
IP Pui Ling	ANA537	Licensed Representative		4
IP Stanley Ho-yin	BNU401	Licensed Representative	4, 9	
IP Tze Kai, Brian	BNR260	Licensed Representative	1	9
JAMES Todd Howard	AVX425	Licensed Representative		1
JENKINS Ryan	BHY430	Licensed Representative	9	

VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2019

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
JIANG Tian	BK1423	Licensed Representative		9
KARIA KISHAN	BL1623	Licensed Representative	9	
KIM Min	BHC342	Licensed Representative		1
KO Ming Fai	BNP140	Licensed Representative	2	
KOHLI Rohan	BGH821	Licensed Representative	2	
KONG Pii Sung Philip	BNT057	Licensed Representative	2, 4	
KRUIS William David Leo	BER026	Licensed Representative	9	
KWAN Jonathan Tai Hin	BAZ526	Licensed Representative	1	
KWOK Shiu Man	AXK358	Licensed Representative	1	
KWOK Siu Ching	BNU021	Licensed Representative	1	
KWOK Sze Chi	AAE326	Licensed Representative		2
KWOK Yu Ho	BNP444	Licensed Representative	4	
KWON Namhyeop	BBZ053	Licensed Representative		2
LAI Hoi Lee	AYQ271	Licensed Representative	4	
LAM Bun Hei	BIS018	Licensed Representative	6	
LAM Ching Lok Gary	AOH038	Licensed Representative	4	
LAM Kelvin Roland	ALQ299	Licensed Representative	2	
LAM Yin Leung, Joe	BAE136	Licensed Representative		1
LAM Yip Kay John	ARS101	Licensed Representative	9	4
LAU Fung Ngor, Swan	ARQ530	Licensed Representative		4
LAU Kin Ting, Timothy	BGL559	Licensed Representative	9	2
LAU Kwok Hei	AQQ599	Licensed Representative		9
LAU Pui Yan	BDH507	Licensed Representative	4	
LAU Siu Cheung	ABV536	Licensed Representative		1, 4, 6, 9
LAU Wai Yan	BBA106	Licensed Representative	4	
LEE Chung Shing, Javan	AFR743	Licensed Representative		1, 2, 4
LEE Huang Hsun	BHT080	Licensed Representative	4	
LEE Hui Fat	BJX753	Licensed Representative	6	2
LEE Pei Yuan	AWJ832	Licensed Representative	1	
LEE Tsz Yin Jonathan	BKM304	Licensed Representative	9	1
LEE Wai Fun	ACK112	Licensed Representative		2, 9
LEE Wing Man	BNN318	Licensed Representative	2	
LEE Yin Wa	BEF451	Licensed Representative	4	
LEONG An Qiang Henley	BDU981	Licensed Representative		4
LEUNG Man Kit	ANW505	Licensed Representative	4, 5, 9	
LEUNG Wai Man	AGO399	Licensed Representative	9	
LEUNG Yeuk Hei	BLJ508	Licensed Representative		1
LI Cheuk Wing Vivian	BOC266	Licensed Representative	2, 5	
LI Chi On, Andy	ABH933	Licensed Representative	9	
LI Man Lok Jonathan	BHX227	Licensed Representative		1
LI Pan	AYF532	Licensed Representative	1	
LI Tangfei	BMT494	Licensed Representative	1	2
LI Yip Sin	AIP441	Licensed Representative	4, 9	
LI Zhuoyi	BMP472	Licensed Representative	6	
LIAN Ziqi	BCK867	Licensed Representative		4
LIAO Ying Chi	BMG848	Licensed Representative	1, 9	
LIM Chin Chan	BID162	Licensed Representative	9	1
LIN Haishan	AUZ541	Licensed Representative		4
LIN Long	BMM591	Licensed Representative	9	
LIN Yujun	AYK934	Licensed Representative	1	
LIU Leung	AFJ550	Licensed Representative		1
LIU Shiyun	BLK641	Licensed Representative	1	
LO Chin Cheung	APC270	Licensed Representative		5
LO Karen Ka-wai	ACD184	Licensed Representative		4
LO Pak Hin	BFN428	Licensed Representative	4, 9	
LO Pak Lung	AGK697	Licensed Representative		2

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CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
LO Siu Wan	BIH645	Licensed Representative		2, 5
LU Yiu Kit	AQQ035	Licensed Representative	4, 9	1, 2
LUI Thomas Ting Ching	AJL908	Licensed Representative		4
MA Hak Yiu	AML291	Licensed Representative	6	
MA Xiaowei	BJK280	Licensed Representative	4, 9	1
MASCOLO Fabiano Hugues Joseph	ANE267	Licensed Representative	2	9
MASU Megumi	BGQ554	Licensed Representative	7	
MC QUADE Ryan F	AVS364	Licensed Representative	4	
MCCORMICK-HOUSTON Annabel Frances	BIJ507	Licensed Representative	9	
NEE Mary Yuet So	ABF513	Licensed Representative	4	
NG Ching Yee	BMW775	Licensed Representative	1, 9	5
PAN Gan	BFJ776	Licensed Representative		4
PANG Wai Yuen, Marvin	AAI320	Licensed Representative	6	
PERFETTINI Alice Mary Mathilde	BLF889	Licensed Representative	9	
POON Koon Ting	BGP558	Licensed Representative		2
POWELL Sarah Jane	BGC816	Licensed Representative	9	
QIAO Wei	BIJ682	Licensed Representative	4	
SAM Chi Yung	APR850	Licensed Representative		3
SANDHU Palbinder	BAB479	Licensed Representative	9	
SHANG Ziyu	BNS040	Licensed Representative	4	
SHIMIZU Hiroko	AXW887	Licensed Representative	4	
SIU Wilson Wai Lum	AIZ698	Licensed Representative		4
SO Chun Yin	BIC661	Licensed Representative	4, 9	
SUEN Wai Kin	BDP679	Licensed Representative	9	1
SWARBRICK Andrew Jeremy	AFF234	Licensed Representative		2
SZE Chi Fan	BMH731	Licensed Representative	1	
SZE-TO Hang	AOM670	Licensed Representative	4, 9	1, 2
TAM Chung Yin	ARD541	Licensed Representative	1	
TAM Shing Tak	AUI999	Licensed Representative		4
TAM Yuk Yin, Denise	AQW022	Licensed Representative	4, 5	
TANG Kin Chor	ACH809	Licensed Representative		2, 4, 9
TAO Wei Vivian	ALI020	Licensed Representative	5, 9	
THIAN Sum	BCU789	Licensed Representative		9
TING Wai Lok	BAG338	Licensed Representative	3	
TONG Tsang Fai	BAR578	Licensed Representative	9	
TSANG Mo Chi	BF1060	Licensed Representative	9	
TSANG Ting Ting	BHY673	Licensed Representative		2, 3
TSOI Ping Hing	ARQ789	Licensed Representative		1
TSOI Wing Sze	BET269	Licensed Representative	4	9
TSUI Alvin Chun Ming	AMS882	Licensed Representative		4
WAN Juexi	BAN016	Licensed Representative	2	
WAN Tin Chi	AVF008	Licensed Representative	2	4, 9
WAN Tom	AAD706	Licensed Representative		2
WANG Jiaqi	AOH836	Licensed Representative	9	7
WANG Jiliang	AYR798	Licensed Representative	4	
WANG Kang	BLM893	Licensed Representative		2
WANG Loke Kiat	AVD977	Licensed Representative	9	1, 2
WANG Xiaohua	ARS638	Licensed Representative	9	
WANG Xiaolong	BLV789	Licensed Representative	4	
WANG Yunlong	BBX040	Licensed Representative		1
WANG Zixi	BHE069	Licensed Representative		4
WARNER James William	BFA114	Licensed Representative	9	
WHITTINGHAM Elliot Paul	BMV407	Licensed Representative	9	
WONG Anthony Way-choy	BHV377	Licensed Representative		1, 3, 4, 9
WONG Chi Chung	BFX162	Licensed Representative		1
WONG Jeremy	AEA858	Licensed Representative		3

VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2019

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
WONG Ka Yi	BGM619	Licensed Representative	1, 4, 9	6
WONG Kwan Pang	BND499	Licensed Representative		9
WONG Lai Man	AFC401	Licensed Representative	2	
WONG Ming Chau, James	ACL240	Licensed Representative		2
WONG Ming Wai	BHQ215	Licensed Representative		1
WONG Shing Hong, Kent	BCY701	Licensed Representative	4	
WONG Tracy Po-yi	BCA264	Licensed Representative		1
WONG Wai	BAC295	Licensed Representative		9
WONG Wai Chow, Daren	ADM896	Licensed Representative	2, 5	
WONG Wai Wang	ARV690	Licensed Representative		3, 5
WONG Wan Vanness	BLU269	Licensed Representative	5	1, 4, 9
WOO Ping, Peter	AAC289	Licensed Representative		1, 9
WU Chun Lai	AUW915	Licensed Representative	9	
WU Kwok Leung	AJB638	Licensed Representative	6	
WU Xueying	BJU199	Licensed Representative	4, 9	2
WU Zhicheng	BIT202	Licensed Representative		1
XIANG Jingwen	BEJ869	Licensed Representative		1
XIE Shaowei	BNP481	Licensed Representative	2	
XING Yifan	BNV475	Licensed Representative	2	
XUE Fei	AZR532	Licensed Representative		4
YAMASHITA Yuichi	ATI166	Licensed Representative	9	1, 2, 7
YAN Han	BFN097	Licensed Representative	1, 2	4
YANG Hongbo	BME752	Licensed Representative		3
YANG Nan	BKP395	Licensed Representative	6	4
YANG Zhangyi	BKU681	Licensed Representative		1, 2
YAO Zheng	BNZ078	Licensed Representative	9	
YE Wangzhen	BMS461	Licensed Representative	4	
YEUNG Chun Chak	BFZ639	Licensed Representative		9
YEUNG Lai Man	AWP881	Licensed Representative		1
YEUNG Man Kin	AGV238	Licensed Representative		2
YEUNG Shun Tat	AWI093	Licensed Representative	4, 9	
YING Ka Wai	BNZ056	Licensed Representative	2	
YIP Chun Wai	ACP491	Licensed Representative		2, 3
YIP Lu Si	BEZ348	Licensed Representative	3	
YOU Shike	BIC870	Licensed Representative		6
YOUNG Ting Kar	AEY445	Licensed Representative	9	
YU BAI Daniel	BIK230	Licensed Representative	1	
YU Chung Hang	AXF399	Licensed Representative		2
YU Jiaqiang	BMI887	Licensed Representative	9	
YU Thomas Ka Ming	AQI247	Licensed Representative	1	4, 9
YU Zhan	AON846	Licensed Representative	4	
YUEN Pui Kai	AEI387	Licensed Representative	2	
YUEN Tsung King, Charles	AQD158	Licensed Representative	2, 5, 9	
YUNG Keen Ming	BFP332	Licensed Representative	6	
YUNG Wing Sin	BNI304	Licensed Representative	2	
ZHAI Ying	BCK203	Licensed Representative	4	
ZHANG Dongmei	ASI046	Licensed Representative	1	
ZHANG Fan	AWE514	Licensed Representative	9	
ZHANG Jiawen	BGV039	Licensed Representative	9	1, 4, 6
ZHANG Jie	BHA636	Licensed Representative	1	
ZHANG Kai	BMQ161	Licensed Representative	1	
ZHANG Shichen	AOS551	Licensed Representative	5	
ZHANG Tingfei	AUA545	Licensed Representative	1	
ZHANG Yeshuang	BHD212	Licensed Representative		5
ZHANG Yue Yang	BII279	Licensed Representative	9	1, 4, 6
ZHENG Yuanyuan	BLB635	Licensed Representative	4	

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CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
ZHOU Min	BMK651	Licensed Representative	1, 2	9
ZHOU Qiankai	BKW228	Licensed Representative		5
AU Sun Shing Dennis	AAC877	Licensed Representative - Responsible Officer	5	
BO Shuk Chee	ACN969	Licensed Representative - Responsible Officer	1, 4	
CHAN Ho Kin	ANT708	Licensed Representative - Responsible Officer	2, 5	
CHAN Man Yuen	APX122	Licensed Representative - Responsible Officer	1	
CHAN Shan Shan	AVM545	Licensed Representative - Responsible Officer	4	
CHAN Wing Lam, Vivien	BGJ394	Licensed Representative - Responsible Officer	4	
CHAN Yau Kit, Eric	AAD840	Licensed Representative - Responsible Officer	4, 9	
CHAN Yik Lun	AOR284	Licensed Representative - Responsible Officer	4	
CHANDRA Jiffriy	ADI556	Licensed Representative - Responsible Officer	1	