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	CHEUNG Kwok Wah CHIA Janice Jhet Yen CHIK Yin Yan CHO Yu Kwan, Stephen CHOI Chi Tsung, Eric CHOI Wai Kuen CHONG Gan	AOY762 BBS682 ACO193 ANX201 BOG794 ABU567 BFH214	Licensed Representative Licensed Representative Licensed Representative Licensed Representative Licensed Representative Licensed Representative	1, 6 9 2 2, 4, 5	1, 2	



VARIATIONS OF REGULATED ACTIVITIES OF LICENS	ED PERSONS/	REGISTERED INSTITUTIONS DURING 09/2019		
CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
CHUN Ming Tsam	BMK661	Licensed Representative	4, 7	2
CHUNG Ki Fung	BEJ748	Licensed Representative	1	
CHUNG Kok Fook	ASY849		9	
		Licensed Representative		
DAI Stanley Wenjie	BDT580	Licensed Representative	1	
DIEC Kwan Yu, Christie	BBM842	Licensed Representative		2
DONG Xiaoxuan	BMY834	Licensed Representative	1	9
FAN Zhenhong	BFT185	Licensed Representative	1	
FANG Wai	AOE794	Licensed Representative		4
				-
FANG Wei	BMG204	Licensed Representative	1	
FOWLER Luke	AQM674	Licensed Representative	2	
FUNG Bo Yi	BNP169	Licensed Representative		2, 4, 5
FUNG Ho Tak	ARR598	Licensed Representative		1, 4
FUNG Yiu Fai	AFD152	Licensed Representative		3
			4.7	2
GORDON Stuart Noel	ALS546	Licensed Representative	4, 7	
GUPTA Rahul	AGZ998	Licensed Representative	9	1, 4
HE Jinchang	BEC496	Licensed Representative	1	
HE Wenyi	BID174	Licensed Representative	1, 4, 6	10
HEUNG Man Wa	ARN439	Licensed Representative		1
HO Hoi Lam	AWK760	Licensed Representative		2
HO Kwok Wai, Stephen	AIU803	Licensed Representative	4	
HO Tsz Yeung	BCD049	Licensed Representative		1, 4
HONG Yu	BIC250	Licensed Representative	4	
HU Ming	BMW482	Licensed Representative		3
HU Qian	ARB302	Licensed Representative	4	
HU Tzu Han	BCN750	Licensed Representative	9	
HUANG Rawen Zhi Hong	AXL663	Licensed Representative	4, 5	
HUANG Tingyi	BFI918	Licensed Representative		3
HUI King Lung	ANJ588	Licensed Representative	1, 2, 5	9
IAN Ho On	BIX779	Licensed Representative	9	1, 2
				1, 2
JEONG Hyeonseok	BDM376	Licensed Representative	4	
JIANG Wei	BKF710	Licensed Representative	1, 4	
JIAO Zhi	BGB020	Licensed Representative		3
JIN Yi Lu Angel	BJV450	Licensed Representative	5, 9	1
JIN Yuanjie	BIS262	Licensed Representative		4, 9
			0	
JIN Zilin	BIZ251	Licensed Representative	9	6
JING Shu	BIC415	Licensed Representative	1	5
KO Cheuk Ming	BNU439	Licensed Representative	4, 9	
KONG Pui Ying, Angel	ATO873	Licensed Representative	9	
KUANG Kaiwen	BGB219	Licensed Representative	2	
KURAHASHI Yumiko	AGO357	Licensed Representative	9	
KWAN Cheuk Shing	AUE415	Licensed Representative	1	
KWAN Hoi Ngai, Michael	ANT542	Licensed Representative	4, 5	
KWAN Ut Hoi	AQW340	Licensed Representative		2, 4
KWOK Ka Yiu	AFG950	Licensed Representative		1, 2
KWONG Kin Fai, Anthony	AAZ944	Licensed Representative		3
				5
LAI Wing Tsui Ivy	BND554	Licensed Representative	4	
LAM Cheuk Hin	BJS893	Licensed Representative	1, 3	1
LAM Chi Hang	BAH723	Licensed Representative	1	
LAM Chin Wa	1			1
LAM Chuen	BAW833	Licensed Representative		
			1.4	
LAM Chun Llung	ARN384	Licensed Representative	1, 4	4.0
LAM Chun Hung	ARN384 BBQ739	Licensed Representative Licensed Representative		4, 9
LAM Chun Hung LAM Tsz Leung	ARN384	Licensed Representative	1, 4 4, 6	4, 9
	ARN384 BBQ739	Licensed Representative Licensed Representative		
LAM Tsz Leung	ARN384 BBQ739 BJS144	Licensed Representative Licensed Representative Licensed Representative		2
LAM Tsz Leung LAM Tze Lok LAU Chak Lam	ARN384 BBQ739 BJS144 AUC924 ABU297	Licensed Representative Licensed Representative Licensed Representative Licensed Representative Licensed Representative		2 9 1, 4
LAM Tsz Leung LAM Tze Lok LAU Chak Lam LAU Ka Hei	ARN384 BBQ739 BJS144 AUC924 ABU297 BAZ979	Licensed Representative Licensed Representative Licensed Representative Licensed Representative Licensed Representative Licensed Representative		2 9 1, 4 3
LAM Tsz Leung LAM Tze Lok LAU Chak Lam LAU Ka Hei LAU Man Chi	ARN384 BBQ739 BJS144 AUC924 ABU297 BAZ979 AOU841	Licensed Representative Licensed Representative Licensed Representative Licensed Representative Licensed Representative Licensed Representative Licensed Representative	4, 6	2 9 1, 4
LAM Tsz Leung LAM Tze Lok LAU Chak Lam LAU Ka Hei	ARN384 BBQ739 BJS144 AUC924 ABU297 BAZ979 AOU841 BKQ930	Licensed Representative Licensed Representative Licensed Representative Licensed Representative Licensed Representative Licensed Representative	4, 6 2	2 9 1, 4 3
LAM Tsz Leung LAM Tze Lok LAU Chak Lam LAU Ka Hei LAU Man Chi	ARN384 BBQ739 BJS144 AUC924 ABU297 BAZ979 AOU841	Licensed Representative Licensed Representative Licensed Representative Licensed Representative Licensed Representative Licensed Representative Licensed Representative	4, 6	2 9 1, 4 3
LAM Tsz Leung LAM Tze Lok LAU Chak Lam LAU Ka Hei LAU Man Chi LAU Ming Cham	ARN384 BBQ739 BJS144 AUC924 ABU297 BAZ979 AOU841 BKQ930	Licensed Representative Licensed Representative Licensed Representative Licensed Representative Licensed Representative Licensed Representative Licensed Representative Licensed Representative	4, 6 2	2 9 1, 4 3
LAM Tsz Leung LAM Tze Lok LAU Chak Lam LAU Ka Hei LAU Man Chi LAU Ming Cham LAU Shing Fung LAW Pui Kiu	ARN384 BBQ739 BJS144 AUC924 ABU297 BAZ979 AOU841 BKQ930 BKP938 AVA659	Licensed Representative Licensed Representative	4, 6 2 2	2 9 1, 4 3 9
LAM Tsz Leung LAM Tsz Lok LAU Chak Lam LAU Ka Hei LAU Man Chi LAU Ming Cham LAU Shing Fung LAW Pui Kiu LAW Tak Keung	ARN384 BBQ739 BJS144 AUC924 ABU297 BAZ979 AOU841 BKQ930 BKP938 AVA659 AFX806	Licensed Representative Licensed Representative	4, 6 2 2 9	2 9 1, 4 3 9
LAM Tsz Leung LAM Tsz Lok LAU Chak Lam LAU Ka Hei LAU Man Chi LAU Ming Cham LAU Shing Fung LAW Pui Kiu LAW Tak Keung LEE Godwin	ARN384 BBQ739 BJS144 AUC924 ABU297 BAZ979 AOU841 BKQ930 BKP938 AVA659 AFX806 AXL950	Licensed Representative Licens	4, 6 2 2 2 9 2	2 9 1, 4 3 9
LAM Tsz Leung LAM Tsz Lok LAU Chak Lam LAU Ka Hei LAU Man Chi LAU Ming Cham LAU Shing Fung LAW Pui Kiu LAW Tak Keung	ARN384 BBQ739 BJS144 AUC924 ABU297 BAZ979 AOU841 BKQ930 BKP938 AVA659 AFX806	Licensed Representative Licensed Representative	4, 6 2 2 9	2 9 1, 4 3 9
LAM Tsz Leung LAM Tsz Lok LAU Chak Lam LAU Ka Hei LAU Man Chi LAU Ming Cham LAU Shing Fung LAW Pui Kiu LAW Tak Keung LEE Godwin	ARN384 BBQ739 BJS144 AUC924 ABU297 BAZ979 AOU841 BKQ930 BKP938 AVA659 AFX806 AXL950	Licensed Representative Licens	4, 6 2 2 2 9 2	2 9 1, 4 3 9
LAM Tsz Leung LAM Tsz Lok LAU Chak Lam LAU Ka Hei LAU Man Chi LAU Ming Cham LAU Shing Fung LAW Pui Kiu LAW Tak Keung LEE Godwin LEE Ka Hang	ARN384 BBQ739 BJS144 AUC924 ABU297 BAZ979 AOU841 BKQ930 BKP938 AVA659 AFX806 AXL950 BAE507	Licensed Representative	4, 6 2 2 2 9 2 1, 2	2 9 1, 4 3 9 3 3
LAM Tsz Leung LAM Tsz Lok LAU Chak Lam LAU Ka Hei LAU Man Chi LAU Ming Cham LAU Shing Fung LAW Pui Kiu LAW Tak Keung LEE Godwin LEE Ka Hang LEE Ka Hang LEE Man Kit LEE Rui Jie Gary	ARN384 BBQ739 BJS144 AUC924 ABU297 BAZ979 AOU841 BKQ930 BKP938 AVA659 AFX806 AXL950 BAE507 APM126 BFG289	Licensed Representative	4, 6 2 2 2 9 2 1, 2 4, 7 9	2 9 1, 4 3 9 3 3 2 1, 2
LAM Tsz Leung LAM Tsz Lok LAU Chak Lam LAU Ka Hei LAU Man Chi LAU Ming Cham LAU Shing Fung LAW Pui Kiu LAW Tak Keung LEE Godwin LEE Ka Hang LEE Ka Hang LEE Man Kit LEE Rui Jie Gary LEE Shi Hyun	ARN384 BBQ739 BJS144 AUC924 ABU297 BAZ979 AOU841 BKQ930 BKP938 AVA659 AFX806 AXL950 BAE507 APM126 BFG289 BFT723	Licensed Representative	4, 6 2 2 2 9 2 1, 2 4, 7 9 4, 9	2 9 1, 4 3 9 3 3 2
LAM Tsz Leung LAM Tsz Lok LAU Chak Lam LAU Ka Hei LAU Man Chi LAU Ming Cham LAU Shing Fung LAW Pui Kiu LAW Tak Keung LEE Godwin LEE Ka Hang LEE Ka Hang LEE Ka Hang LEE Rui Jie Gary LEE Shing Kong Daniel	ARN384 BBQ739 BJS144 AUC924 ABU297 BAZ979 AOU841 BKQ930 BKP938 AVA659 AFX806 AXL950 BAE507 APM126 BFG289 BFT723 BND667	Licensed Representative	4, 6 2 2 2 9 2 1, 2 4, 7 9	2 9 1, 4 3 9 3 3 2 1, 2
LAM Tsz Leung LAM Tsz Lok LAU Chak Lam LAU Ka Hei LAU Man Chi LAU Ming Cham LAU Shing Fung LAW Pui Kiu LAW Tak Keung LEE Godwin LEE Ka Hang LEE Ka Hang LEE Man Kit LEE Rui Jie Gary LEE Shi Hyun	ARN384 BBQ739 BJS144 AUC924 ABU297 BAZ979 AOU841 BKQ930 BKP938 AVA659 AFX806 AXL950 BAE507 APM126 BFG289 BFT723	Licensed Representative	4, 6 2 2 2 9 2 1, 2 4, 7 9 4, 9	2 9 1, 4 3 9 3 3 2 1, 2
LAM Tsz Leung LAM Tsz Lok LAU Chak Lam LAU Ka Hei LAU Man Chi LAU Ming Cham LAU Shing Fung LAW Pui Kiu LAW Tak Keung LEE Godwin LEE Ka Hang LEE Ka Hang LEE Ka Hang LEE Rui Jie Gary LEE Shing Kong Daniel	ARN384 BBQ739 BJS144 AUC924 ABU297 BAZ979 AOU841 BKQ930 BKP938 AVA659 AFX806 AXL950 BAE507 APM126 BFG289 BFT723 BND667	Licensed Representative	4, 6 2 2 2 9 2 1, 2 4, 7 9 4, 9	2 9 1, 4 3 9 3 3 2 1, 2
LAM Tsz Leung LAM Tsz Lok LAU Chak Lam LAU Ka Hei LAU Man Chi LAU Ming Cham LAU Shing Fung LAW Pui Kiu LAW Tak Keung LEE Godwin LEE Godwin LEE Ka Hang LEE Ka Hang LEE Rui Jie Gary LEE Shi Hyun LEE Shing Kong Daniel LEE Shing Kong Daniel	ARN384 BBQ739 BJS144 AUC924 ABU297 BAZ979 AOU841 BKQ930 BKP938 AVA659 AFX806 AXL950 BAE507 APM126 BFG289 BFT723 BND667 BNM266	Licensed Representative	4, 6 2 2 2 9 2 1, 2 4, 7 9 4, 9	2 9 1, 4 3 9 3 3 2 1, 2



	1	REGISTERED INSTITUTIONS DURING 09/2019		
CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
LEUNG David Lut Yan	BHR662	Licensed Representative	3	4, 9
LEUNG Kong Fai	AVM522	Licensed Representative	1, 2, 5	
LEUNG Ping Chuen	BNG152	Licensed Representative	1, 2	9
LEUNG Winnie	BJT134	Licensed Representative	9	1
LEUNG Yuk Hei, Thomas	AWD636	Licensed Representative	1, 4	
LI Chi Ping	BCZ784	Licensed Representative	2	4, 9
LI Cho Kwong	AEU474	Licensed Representative		1
LI Haihu	BBJ048	Licensed Representative		6
LI Hualin	BOH730	Licensed Representative	9	
LI Philip Yee Lap	AJF874	Licensed Representative		9
LI Sisi	AWL795	Licensed Representative	4	-
LI Siyu	BIQ773	Licensed Representative	4	
LI Tinghui	BJL013	Licensed Representative	4, 9	2
LI Xinyi	BOH485	Licensed Representative		4, 5, 9
LI Yin Kit	AZW208	Licensed Representative	4, 7	2
LI Yue	BFU987	Licensed Representative	6	
LI Yuyu	BJU225	Licensed Representative		9
				3
LIANG Daping	BNV495	Licensed Representative		-
LIANG Shiyuan	BNJ578	Licensed Representative		1, 2, 4
LIN Bonan	BJT845	Licensed Representative		4
LIU Guangming	BDD671	Licensed Representative	2	
LIU Jingyang	BML621	Licensed Representative	1	
LIU Ke	BEZ142	Licensed Representative		1,2
LIU Lai Sum Christina	AAH544	Licensed Representative		2
LIU Li	BKP926	Licensed Representative		1
LIU Shuyi	BNL432	Licensed Representative	2	
LIU Wai Hung	ANK399	Licensed Representative	9	
LO Chun Wah	AJD784	Licensed Representative		4, 9
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LO Tak Hung Christopher	BFV924	Licensed Representative	6	
LOK Kong Hung	AGJ942	Licensed Representative		3
LOW Audrey Ying Jun	BFI437	Licensed Representative		9
LU Ye	BFE455	Licensed Representative		1
LUI Ching Yan	AXG549	Licensed Representative		2
LUI Yue Kwong, Christopher	AOS677	Licensed Representative	1	
LUK Kar Man, Carmen	AVD308	Licensed Representative	2	
MA Di	BNB075	Licensed Representative	6	
MA Johnny Bun Wah	AES117	Licensed Representative		2
MA Ruosi	BKM256	Licensed Representative		9
MA Xiyuan	BIU614	Licensed Representative		1, 4, 5, 9
MA Yanting	BJH264	Licensed Representative		2, 4
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MAK Wai Kuen	BGY373	Licensed Representative	1	
MAN Ngai Hang	BKU345	Licensed Representative		2
MAO Li	AQG730	Licensed Representative	4	
MATHES Michel	AZJ137	Licensed Representative	1, 4	9
MC EVOY Andrew	BMF537	Licensed Representative	1, 7	5
MC GUIRE Yuk Yin	ASW654	Licensed Representative	4, 7	2
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MING Chi Ho, Edward	AUS686	Licensed Representative	4	
MIU Ka Keung, Kevin	AEX440	Licensed Representative		1
MOK Ho Nam	BLK652	Licensed Representative	1	
NG Calvin Cheuk Sing	ARH478	Licensed Representative	1	
NG Chi Wai	APH765	Licensed Representative	1, 4	
NG Ching Ho	AXI359	Licensed Representative	1	
NG Kwok To, Henry	BNH613	Licensed Representative	2	
NG Yuk Hang, Joey	AVK956	Licensed Representative		4
NING Yanyue	BLG363	Licensed Representative	4	
PATEL Divyesh Dineshchandra	AQW179	Licensed Representative	4	7
POLLEY Sean Sullivan	AXI511	Licensed Representative	9	1, 2
POON Ho Lam	AMR118	Licensed Representative	-	3
			40	
POON Ka Ki	BNF545	Licensed Representative	10	1, 4, 6
PUN Ko Fung	BFH447	Licensed Representative	9	
QIAN Cheng	ALW229	Licensed Representative	4	
QIU Yue	BCZ104	Licensed Representative		1, 4
REIMANN Jahmaine Aderelli	BNA748	Licensed Representative		1
REN Huaijin	BBB773	Licensed Representative	5	
SEETO Siu Hong	BHC305	Licensed Representative		4, 9
SHAO Ying	BBA771	Licensed Representative	9	
SHE Jingwei	BKH340	Licensed Representative	6	
SHEN Chengjie	AVQ799	Licensed Representative	1, 4	
SHEN Tingting	BLZ746	Licensed Representative		3



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CHU Fung Ting AWV425 Licensed Representative - Responsible Officer 1	
CHU Wai Pang ABF141 Licensed Representative - Responsible Officer 6	
CHUNG Chak Man APH261 Licensed Representative - Responsible Officer 9	
DENG Jun APZ630 Licensed Representative - Responsible Officer 6	
EVANS Gareth Handel AMK322 Licensed Representative - Responsible Officer 1	
FU Yiu Hang AGH815 Licensed Representative - Responsible Officer 1	
HO Hoi Tung AHE146 Licensed Representative - Responsible Officer 4, 9	
HUANG Chaoyin APH954 Licensed Representative - Responsible Officer 1	
HUANG Yao Tung BJU622 Licensed Representative - Responsible Officer 9	
HUI Tin Kay AFS483 Licensed Representative - Responsible Officer 4	
KAWAI Hidemoto AJL881 Licensed Representative - Responsible Officer 4, 5	



VARIATIONS OF REGULATED ACTIVITIES OF LIC	CENSED PERSONS/	REGISTERED INSTITUTIONS DURING 09/2019		
CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
KWOK Clarence Ming Hin	APO057	Licensed Representative - Responsible Officer	4	
KWONG Chi Kong, Andy	ADV456	Licensed Representative - Responsible Officer	4	
LAI Ka Kit	ALZ752	Licensed Representative - Responsible Officer	1	
LAI Ming Him	AZF662	Licensed Representative - Responsible Officer	9	
LAU Ka Yip, Eddy	ACD286	Licensed Representative - Responsible Officer	3	
LEI Chunran	ASP969	Licensed Representative - Responsible Officer	9	
LEUNG Man Tat	AFQ229	Licensed Representative - Responsible Officer	4, 9	
LI Cho Kwong	AEU474	Licensed Representative - Responsible Officer	9	
LIAROKAPIS Vassiliki	AUZ230	Licensed Representative - Responsible Officer	4, 5	
LINE Kwai Chun	ACK809	Licensed Representative - Responsible Officer	2	
LO Kwai Sang, Dennis	ABM989	Licensed Representative - Responsible Officer	2	
LO Roxane Ting-kit	ALC465	Licensed Representative - Responsible Officer	4	
LO Wing Kin, Kenneth	AFA296	Licensed Representative - Responsible Officer	4	
MA Xiaoling	AQU423	Licensed Representative - Responsible Officer	2	
MC COY Michael Andrew	AQ0423	Licensed Representative - Responsible Officer	2	6
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NG Chi Hung	APK407	Licensed Representative - Responsible Officer	4	
NG Yee Ki Aiki	BHU614	Licensed Representative - Responsible Officer	1	
PANG Leung Wai, Andrew	ABK028	Licensed Representative - Responsible Officer	1	
PARADISE James Richard	AHA220	Licensed Representative - Responsible Officer	9	
PONG Cheuk Pun	BAY306	Licensed Representative - Responsible Officer	1	
POON Ho Leung	AAK420	Licensed Representative - Responsible Officer	4	
SEN Tung Ning	AFI668	Licensed Representative - Responsible Officer	4	
SKINNER Donald William Lennox	AAI493	Licensed Representative - Responsible Officer		6
SU Ling	BJN297	Licensed Representative - Responsible Officer	6	
SUTCH Jeremy Rupert Peter	ADB510	Licensed Representative - Responsible Officer	4	
TAM Yan Wang	BBI783	Licensed Representative - Responsible Officer	9	
TANG Shiu Lun, Jeffrey	APY773	Licensed Representative - Responsible Officer	4	
TAO Kwok Lau, Clement	AAK078	Licensed Representative - Responsible Officer	1	
TIAN Jinyu	BCD350	Licensed Representative - Responsible Officer	4	
TONG Leslie Wai-yun	APL611	Licensed Representative - Responsible Officer	4	
TSANG Ka Kit	AXD389	Licensed Representative - Responsible Officer	4, 9	
TSOI Kwok Keung	AAD694	Licensed Representative - Responsible Officer	1, 4	
WAKAO Tetsuji	AQQ076	Licensed Representative - Responsible Officer	9	
WAN Kin Chung	BMG887	Licensed Representative - Responsible Officer	1	
WONG Ah Lok	BIJ387	Licensed Representative - Responsible Officer	4,5	
WONG Ka Kin, Michael	AQ1872	Licensed Representative - Responsible Officer	4	
WONG Wai Hong	ANG976	Licensed Representative - Responsible Officer	4	
WONG Wai Hong WONG Wai Kwan	AWA381	Licensed Representative - Responsible Officer	9	
WOO Kwok On	AEM544	Licensed Representative - Responsible Officer	5	2
WOO Peter	ACY383	Licensed Representative - Responsible Officer	4	2
WRIGHT Lindsay Megan	AKY945	Licensed Representative - Responsible Officer	4, 9	
WU Chun Wan, David	AMO642	Licensed Representative - Responsible Officer	5	
XI Jiahe	BCJ300	Licensed Representative - Responsible Officer	1	
XIANG Xi	BAP836	Licensed Representative - Responsible Officer	1	
XIE Kaicong	BAP925	Licensed Representative - Responsible Officer	2	
YANG Xiuke	BAH518	Licensed Representative - Responsible Officer	1	
YEUNG Hau Keung	ALQ272	Licensed Representative - Responsible Officer		4
YI Chuanghua	AYR034	Licensed Representative - Responsible Officer		2
ZHANG Xiaoyu	BMQ071	Licensed Representative - Responsible Officer	4, 9	
ZHANG Yu	BMM427	Licensed Representative - Responsible Officer	4, 9	
ZHU Jiang	AKO829	Licensed Representative - Responsible Officer	1	
CIMB Bank Berhad	AFJ901	Registered Institution		6