

VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2019

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
Assured Asset Management Limited	AFQ783	Licensed Corporation	1	
BE Fortune (HK) Investment Management Limited	BNQ765	Licensed Corporation	4	
BFIN Private Advisors (Hong Kong) Limited	BCA093	Licensed Corporation		6
Evergain Funds Limited	BBG322	Licensed Corporation	4	
Harvest Global Capital Investments Limited	BFS013	Licensed Corporation	4, 9	
Hope Securities Limited	BKD589	Licensed Corporation	2, 4, 5, 9	
Jinghui Capital Limited	BND663	Licensed Corporation	1, 6	
Korea Investment & Securities Asia Limited	AED807	Licensed Corporation	2	
Pickers Capital Management Limited	BDW926	Licensed Corporation	4	
RC Futures Advisory Limited	AUV525	Licensed Corporation	4	
Smart Empire Asset Management Limited	BDY276	Licensed Corporation	4	
Tachibana Securities (Hong Kong) Limited	ABZ891	Licensed Corporation	4	
AU Jonathan Wai Wing	ANY451	Licensed Representative	4	
BAI Xiao	AUQ996	Licensed Representative	4	
BATEMAN Michael Graeme	AGA916	Licensed Representative	4	1
BIAN Yuan	AVE035	Licensed Representative	6	1, 4, 9
CAI Siji	BAC045	Licensed Representative		9
CAMARDA JR Joseph Andrew	AXN289	Licensed Representative	4	
CHAN Hoi Ting	BGD849	Licensed Representative	4	
CHAN Ka Ho	AWF460	Licensed Representative		2
CHAN Ki Fung	BLI064	Licensed Representative	2	
CHAN King Fong	BOP353	Licensed Representative	2	
CHAN Lung Ming	ATT477	Licensed Representative	1	
CHAN Man Yeuk, Ringo	AEX323	Licensed Representative		4
CHAN Ngai Lun, Alan	ARR782	Licensed Representative		9
CHAN Pik Ki	ANU945	Licensed Representative	9	
CHAN Tsz Hon	ANW417	Licensed Representative	1	
CHAN Yan Yu Jessica	BMX472	Licensed Representative	4	6
CHAPPEL Christopher Lee	ALI728	Licensed Representative		4
CHEN Bingyao	BNU664	Licensed Representative	4	
CHEN Meng	BBY836	Licensed Representative	2	
CHEN Pengjia	BKW919	Licensed Representative	9	1, 2
CHEN Wen	BOF580	Licensed Representative	4, 6	
CHEN Wenhan	APF628	Licensed Representative	9	1, 6
CHENG Jonathan Tze-yeung	BKU690	Licensed Representative		2
CHENG Tak Choi	ADO907	Licensed Representative		2
CHEUNG Hoi Fung	BCD348	Licensed Representative	2	
CHEUNG Ka Kin	AON735	Licensed Representative	9	
CHEUNG Ka Man	BJM101	Licensed Representative		1, 4
CHEUNG On Ki	BJT503	Licensed Representative		1, 4
CHIANG Eric	BCW881	Licensed Representative		5
CHIU Curtis Sean Wai Seen	BNX912	Licensed Representative		6
CHOI Chun Wai, Raymond	ANP615	Licensed Representative		1, 4
CHONG Alvin	AZJ073	Licensed Representative		2, 5
CHOO Chong Yao, Patrick	AEI068	Licensed Representative		4
CHOW Hoi Tik, Heidi	BOT532	Licensed Representative	9	
CHU Mei Fong	BCZ103	Licensed Representative		2
CHU Po Yuen	BBL114	Licensed Representative	3	
CHU Shek Chiu	AXF395	Licensed Representative		2
CHU Wan Chi	BDQ950	Licensed Representative	2, 4	
CHU Yu Man, Priscilla	AOA610	Licensed Representative	9	
CHUNG Chi Chung	AVI422	Licensed Representative	2	
CHUNG Chi Yau	BHV441	Licensed Representative	2	
CHUNG Eva Ting Yan	AVH199	Licensed Representative	4	
CHUNG Ho Yin	BGP507	Licensed Representative	4, 5, 9	2
CHUNG Pui Ling	ANU947	Licensed Representative	9	
CHUNG Richard	ALW173	Licensed Representative	9	1, 2, 7
CHUNG Sheng Yuan	BKA489	Licensed Representative	9	1, 6
CHUNG Wai Chun	ARU112	Licensed Representative		3
COPPINGER Liam	BHT587	Licensed Representative		5
FEI Chang	BMQ943	Licensed Representative	4	
FOK Chi Tat, Michael	AGH222	Licensed Representative		4
FU Ka Ho	AOT860	Licensed Representative		4
FUNG Hok Kwan, Edmond	ACK376	Licensed Representative		1
FUNG Ka Wai	BGZ624	Licensed Representative		2, 5
GAN Wee Leong	AML648	Licensed Representative	4	
GAO Jiayang	BJI780	Licensed Representative	9	6
GAO Wei	BER852	Licensed Representative		1, 4
GAO Wei	BNH459	Licensed Representative		9
GE Yingming	BDO882	Licensed Representative		4
GU Hanyu	BIR327	Licensed Representative	4	

VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2019

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
HIBBS Mark Ashley	ARF450	Licensed Representative	1, 4	
HO Cheuk Yuen, Michael	AWU745	Licensed Representative	9	1
HO Irene Man Yi	BDF016	Licensed Representative	6	
HO Ka Wing	BNU990	Licensed Representative	2	
HO Lik Kwan, Luke	ALS703	Licensed Representative	1	
HO Shing Yan William	BED044	Licensed Representative	4	1, 2
HO Tsz Him	AVT617	Licensed Representative	2	
HOLLAND Thomas Patrick	AJE846	Licensed Representative	1, 4	
HU Bin	BHF818	Licensed Representative		2, 5, 6
HU Mingyue	BCA416	Licensed Representative	6	
HUNG Hei Shun	BNG150	Licensed Representative	9	1, 6
HUNG Lung Chuen	AVO458	Licensed Representative	4	
HUO John Xiao Yu	BEF839	Licensed Representative		5
HURSON Eric Pierre Jean	BLS680	Licensed Representative	5	
IP Ka Ho	BOM542	Licensed Representative	3	
IP Sau Him	BOB380	Licensed Representative	4	
JI Yuanyuan	AY1807	Licensed Representative	4, 9	
JIANG Yingyun	BKL592	Licensed Representative	1, 4, 9	10
JOHNSON Donald Joseph	AZH721	Licensed Representative		4
JU Tong	BMM186	Licensed Representative	1, 6	9
KAM Ka Wai	AYH477	Licensed Representative		2
KIM Justin Jongwon	AZF496	Licensed Representative	7	
KO Lap Chuen	AIH610	Licensed Representative		2
KONG Ka Fai, Simon	ABP985	Licensed Representative	2	
KWAN Wai Hang, William	ALW384	Licensed Representative		3
KWOK Chi Wai, Will	BIS591	Licensed Representative	4	2, 5
KWOK Kelvin	AHT200	Licensed Representative	4	
KWONG Marcus Mann	AFU388	Licensed Representative	7	
LAI Kai Po	BIS734	Licensed Representative	9	
LAM Andrew Robert	BFT298	Licensed Representative		1, 9
LAM Chi Shing	AKO943	Licensed Representative		4, 9
LAM Chi Yip	BGB719	Licensed Representative	4, 5	
LAM Chun Bun	BHL101	Licensed Representative	3	
LAM Kin	ADN251	Licensed Representative		3
LAM Wing Hei	ATB985	Licensed Representative		4
LAU Chun Hung	BJB485	Licensed Representative		5
LAU Shing Yan	BHH248	Licensed Representative	9	1
LAU Stella Yuet Wah	ADS277	Licensed Representative		3
LAU Yan Kit	ARI646	Licensed Representative	4, 9	
LAU Yu Leong	BNL309	Licensed Representative	9	
LAW Chung Wai, Gary	AXW635	Licensed Representative		1
LAW Kam Ho	AFV962	Licensed Representative	1	
LAW Wan Ting	BFJ078	Licensed Representative		4, 9
LEE Chia-Hua	APB416	Licensed Representative	2	
LEE Chun Sing	ALY891	Licensed Representative		1
LEE Hong Bum	BHU262	Licensed Representative	4	1, 6
LEE Ji Su	BDE438	Licensed Representative	2	
LEE Ka Yee	AOR521	Licensed Representative	1	
LEE Lok Ki	AQZ591	Licensed Representative		3
LEE Mei Lam Nicole	BNG434	Licensed Representative		2
LEE Ming Han	BNL589	Licensed Representative	1	
LEE Tsi Bun, Benjamin	AQM594	Licensed Representative	9	
LEI Ho Chun	ATY002	Licensed Representative	9	
LEUNG Yin Wing	ACD641	Licensed Representative		1
LI Anthea	BMW149	Licensed Representative		4
LI En Tzu	BNC713	Licensed Representative	2	
LI Kit Lan	BAN027	Licensed Representative	4, 9	1, 2
LI Tangfei	BMT494	Licensed Representative		1, 4
LI Teng	BLI066	Licensed Representative	1	
LI Xiang Betty	AYR059	Licensed Representative	1, 4	
LI Xiaoxi	BOT728	Licensed Representative	1	
LI Yong	BEV817	Licensed Representative		2
LIEM Chung Wong, Jasper	APY809	Licensed Representative		4
LIN Chi Hing	BIY468	Licensed Representative	4, 9	1
LIN Zheyu	BHT775	Licensed Representative	4	
LIU Baixian	BNT242	Licensed Representative	1, 6	4, 9
LIU Huan Chieh, Gary	ADW756	Licensed Representative	9	
LIU Man Lai, Manly	ADI698	Licensed Representative		1
LIU Oi Yee	AOR643	Licensed Representative	3	
LIU Victoria Audrey	BGO756	Licensed Representative	4	
LO Cheuk Yee, Helen	ANA705	Licensed Representative		4

VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2019

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
LO Siu Fong, Regina	ACB850	Licensed Representative		1
LONG Yu	BOG511	Licensed Representative	1	
LU Chengfang	BIO470	Licensed Representative	9	1
LUK Chi Yang Jonathan	BFY606	Licensed Representative		5
MA Johnny Bun Wah	AES117	Licensed Representative	9	
MA Kit Sum Isis	AYD565	Licensed Representative		9
MA Yanting	BJH264	Licensed Representative	6	
MA Yuanjing	BFE452	Licensed Representative	1, 4	
MAAYOUFI Sofiane	AOH908	Licensed Representative		4, 5
MAK Yin Ping	AGC695	Licensed Representative		1
MAO Xiaoliang	APQ231	Licensed Representative		1
MARK Wo Kim	AJL718	Licensed Representative		3
MEENAN Raymond David	AXW269	Licensed Representative	7	
MENG Bingyu	AWS029	Licensed Representative	4	
MOK Ho Tung, Clayton	APC642	Licensed Representative	1, 2	4
MOK Man Fai	AAN711	Licensed Representative		1
MU Xin	BFM721	Licensed Representative		9
NG Kin Ying	AFU582	Licensed Representative	2, 5	
NG Tsz Kin, William	BOJ972	Licensed Representative		5
NG Wai Sze	ARG815	Licensed Representative	1	
NG Yu Hin	BMO583	Licensed Representative	9	1, 6
NGAI Wing Sum	BNQ788	Licensed Representative	4, 9	
PENG Hsin-jung	BEO569	Licensed Representative	1	
PENG Hui	BMW318	Licensed Representative	4	
PENG Shuaijie	BNJ202	Licensed Representative	4, 9	
PHUA Victor Chen Ee	AZC163	Licensed Representative	9	1, 2, 7
POON Koon Ting	BGP558	Licensed Representative	9	
POON Pak Ho, Raymond	ACO263	Licensed Representative		1
POON Tit Chu, Dixon	AEI207	Licensed Representative	2	
QIAO Bin	BCC148	Licensed Representative	4, 9	
QIAO Yahong	BKS805	Licensed Representative	9	1
QIU Yue	BHD128	Licensed Representative	4, 9	
RA Helen	AYD212	Licensed Representative	7	
REN Zhen	BMC885	Licensed Representative		1
SEETO Siu Hong	BHC305	Licensed Representative	4, 9	
SHEN Chun Yu	BAH994	Licensed Representative		1
SHUM Chung Lai, Tommy	ANT372	Licensed Representative	2	
SHUM Ying Chi	BMN417	Licensed Representative		1
SIA Ke Yong Jared	BK1365	Licensed Representative	6	2
SIA Sze Wai	AQI873	Licensed Representative		3
SMITH Nicole Jia Zhong	BNF380	Licensed Representative	9	1, 6
SONG Honghai	AME465	Licensed Representative		4, 6, 9
SONG Yulin	BMW915	Licensed Representative	6, 9	
SOONG Eik Hung	BAK958	Licensed Representative		1, 4
SZE Yuk Lung	BKG801	Licensed Representative	4	
TAM Ho Kwan	BOJ234	Licensed Representative	2	
TANG Chi Ho	AQS223	Licensed Representative		2, 4, 9
TANG Ming Yuen	AIS988	Licensed Representative		3
TANG Tsz Hin	BOS424	Licensed Representative	2	
TENG Wenjia	BOF593	Licensed Representative	2	
TONG Kin Yip	BLH252	Licensed Representative		1
TONG Tak Kin	BOT315	Licensed Representative	3	
TSOI Ting Mun	AUV894	Licensed Representative		4, 9
TSOI Wai Hin	ACJ816	Licensed Representative		3
TSUI Ho Chuen, Samson	BHB670	Licensed Representative	3	
TSUI Suk Man	AEY929	Licensed Representative	2	
WAN Po Wing, Paul	APC277	Licensed Representative		1, 4
WAN Siu Kin	ASL738	Licensed Representative	1, 2	9
WANG Bin	AVZ046	Licensed Representative	1	
WANG Changli	BOI236	Licensed Representative	4, 9	1
WANG Jianyu	BOP243	Licensed Representative	4, 9	
WANG Jiawei	BJK267	Licensed Representative	6	
WANG Shuang	BEZ808	Licensed Representative	4	
WANG Wei	AJC207	Licensed Representative	1, 6	
WANG Xin	BOU787	Licensed Representative	9	
WANG Yang	BLX566	Licensed Representative	9	
WANG Yanruo	AYI703	Licensed Representative	1, 4	
WANG Yifang	BNI063	Licensed Representative	4	6
WAT Tsun Tao	BNO906	Licensed Representative	9	
WEI Chen	BHX382	Licensed Representative	2	
WONG Ho Yan	AYA616	Licensed Representative		1

VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2019

CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
WONG Ka Man	AGH379	Licensed Representative		3
WONG Kit Sum, Ada	AMU509	Licensed Representative		3
WONG Lok Him, Howard	AMX945	Licensed Representative		9
WONG Mau Ying	AWN369	Licensed Representative		4
WONG Oi Tsz	BGO969	Licensed Representative		1
WONG Tak Shing	BJD728	Licensed Representative		9
WONG Wai Hong	ACZ526	Licensed Representative		2, 5
WONG Wing Chiu	BHU097	Licensed Representative	4	
WONG Wing Lam	ARK450	Licensed Representative	2	9
WONG Yat Fun, Alfred	ALV390	Licensed Representative		9
WU Di	BNJ741	Licensed Representative	5	
WU Po	AGK695	Licensed Representative		3
XIA Tian	BFX031	Licensed Representative	6	4
XING Kainan	BDN118	Licensed Representative	9	1, 2
YABE Nanako	BEP230	Licensed Representative	1	
YAMAMOTO Hideki	AXO657	Licensed Representative		4
YAN Chongzhou	BLN679	Licensed Representative	4	
YANG Dong	BBP096	Licensed Representative		4
YANG Kaiyi	BJY550	Licensed Representative	4	
YANG Yi	BMP248	Licensed Representative		9
YAU Jason Chin Ting	BIW639	Licensed Representative	9	
YAU Michael	ANH079	Licensed Representative	4	2
YEUNG Sau Yin	BBJ902	Licensed Representative	2, 4, 5	
YICK Wai Sze, Vicky	AKX961	Licensed Representative		5, 9
YING Chi Kwan	ALZ863	Licensed Representative	1	
YIP Tsun Wah Alvan	ATO776	Licensed Representative		1
YU Peng	BGG515	Licensed Representative		9
YUEN Caroline	BIN528	Licensed Representative		2
ZHANG An	BNA995	Licensed Representative	9	
ZHANG Minghua	ASP315	Licensed Representative	9	
ZHANG Senyan	AWK695	Licensed Representative	4	
ZHANG Zhipeng	BEA629	Licensed Representative		1, 4, 9
ZHAO Shuqin	BIW564	Licensed Representative	4	
ZHAO Song	BFR106	Licensed Representative		1
ZHAO Tao	AZX096	Licensed Representative	6	
ZHOU Lihua	BFS121	Licensed Representative		1
ZHOU Qi	BMR125	Licensed Representative	4	1, 9
ZHOU Tianyou	BOC622	Licensed Representative		1, 7
ZHOU Xinyuan	BNC148	Licensed Representative	2	
ZHOU Yan	BGK629	Licensed Representative	9	
ZOU Liyi	BHO982	Licensed Representative	6	
CHAN King Chuen	AAE349	Licensed Representative - Responsible Officer	8	
CHAN Man Fung	AXN001	Licensed Representative - Responsible Officer	4	
CHEUNG Chi Yuet	AHN578	Licensed Representative - Responsible Officer	4	
CHEUNG Chi Ho	BEE471	Licensed Representative - Responsible Officer	4	
CHEUNG Tomo-hito	AUS139	Licensed Representative - Responsible Officer		2, 4, 5, 9
CHEUNG Wai Hung	AUN717	Licensed Representative - Responsible Officer	1	
CHEUNG Wing On, Rickey	AJE323	Licensed Representative - Responsible Officer	4	
FUNG Kin Tung	AKI222	Licensed Representative - Responsible Officer	4	
GAO Wei	BER852	Licensed Representative - Responsible Officer	9	
GU Erdong	AZT025	Licensed Representative - Responsible Officer	4, 9	
HONG Kam Kit Eddie	ATX920	Licensed Representative - Responsible Officer	4	
HUI Hon Yuen, Benedict	AGQ352	Licensed Representative - Responsible Officer	5	
KIKUCHI Seiichi	AJC135	Licensed Representative - Responsible Officer	4	
KO Lap Chuen	AIH610	Licensed Representative - Responsible Officer	4	
KWAN Chi Hang	AGL438	Licensed Representative - Responsible Officer	4, 9	
KWON Namhyeop	BBZ053	Licensed Representative - Responsible Officer	2	
LAM Chi Shing	AKO943	Licensed Representative - Responsible Officer	1	
LAU Ada Hiu-Yee	AHN631	Licensed Representative - Responsible Officer	4	
LAU Chak Lam	ABU297	Licensed Representative - Responsible Officer	1	
LAU Chi Yin	BND487	Licensed Representative - Responsible Officer	4	
LAU Yue Wah, Brian	AFS902	Licensed Representative - Responsible Officer	9	
LAW Ka Fai	APH953	Licensed Representative - Responsible Officer	1, 2	
LEE Ho Tak	AJB234	Licensed Representative - Responsible Officer	4	
LEE Kang-hee	BOE738	Licensed Representative - Responsible Officer	2	
LEUNG Hong Kan	AZM887	Licensed Representative - Responsible Officer	4	
LEUNG Kwok Wai	AFB193	Licensed Representative - Responsible Officer	4	
LEUNG Tsun Ip	AOD136	Licensed Representative - Responsible Officer	4	
LEUNG Yuen Hong	AAJ913	Licensed Representative - Responsible Officer	1, 4	
LIN Yen-Chun	ASM080	Licensed Representative - Responsible Officer	1, 4	
LIU Dongyue	BLU933	Licensed Representative - Responsible Officer	4	

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CE Name	CE No.	License Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
LIU Honghui	BOJ742	Licensed Representative - Responsible Officer	4, 9	
LIU Sean Meng-hsiung	ADJ311	Licensed Representative - Responsible Officer	4, 9	
MA Tengying	AZD807	Licensed Representative - Responsible Officer	1, 4	
MATSUDA Keiya	BNU699	Licensed Representative - Responsible Officer	4	
MORTON Peter Douglas	ADO886	Licensed Representative - Responsible Officer	9	6
NG Raymond Ying Wang	AEK090	Licensed Representative - Responsible Officer	4	
NI Xiang Feng	AFY231	Licensed Representative - Responsible Officer	9	
NICHOLLS Paul Stewart	ARD920	Licensed Representative - Responsible Officer		6
SIT Wing Fai, Wilfred	ACJ160	Licensed Representative - Responsible Officer	6	
SO Kuen Kei	ANR645	Licensed Representative - Responsible Officer	2	
TAHENY Kenneth John	AXS067	Licensed Representative - Responsible Officer	4	
TAM Kim Fai	ACU401	Licensed Representative - Responsible Officer	2, 4, 5, 9	
TAM Kong Lun	AXN158	Licensed Representative - Responsible Officer	5	
TING Kwok Hing	ACB661	Licensed Representative - Responsible Officer	2	
WAN Yufeng	BNC890	Licensed Representative - Responsible Officer	9	
WANG Dong	BBL833	Licensed Representative - Responsible Officer	5	
WONG Ka Fai	BCV339	Licensed Representative - Responsible Officer	4	
WONG Oi Tsz	BGO969	Licensed Representative - Responsible Officer	4	
WONG Wai San	AHP442	Licensed Representative - Responsible Officer	4	
WONG Yim Keung	AJE545	Licensed Representative - Responsible Officer	2, 5	
WU Wenquan	APC267	Licensed Representative - Responsible Officer		4
WU Xiao	AOS437	Licensed Representative - Responsible Officer	2, 4	
WU Yi-Ping	BFN192	Licensed Representative - Responsible Officer	1	
YANG Ying	BAD690	Licensed Representative - Responsible Officer	4, 9	
YEUNG Pan Na	APD582	Licensed Representative - Responsible Officer		4
YIP Tsun Wah Alvan	ATO776	Licensed Representative - Responsible Officer	4	
YIU Ka Lam	APP686	Licensed Representative - Responsible Officer	4, 9	
ZHANG Zhipeng	BEA629	Licensed Representative - Responsible Officer	5	
Royal Bank of Canada	AAE727	Registered Institution	9	