

Table C1 - Number of Licensees / Registrants

表 C1 - 持牌人 / 註冊人數目

| As at end<br>截至 | Licensed Corporations (LC)<br>持牌法團 |                                |                                             |                              | Registered Institutions (RI)<br>註冊機構 |                                |                                             |                              | Licensed Representatives (LR)<br>持牌代表 |                                |                                             |                              | Responsible/ Approved Officers (RO/AO)<br>負責人員 / 核准人員 |                                |                                             |                              | Total<br>總計 |
|-----------------|------------------------------------|--------------------------------|---------------------------------------------|------------------------------|--------------------------------------|--------------------------------|---------------------------------------------|------------------------------|---------------------------------------|--------------------------------|---------------------------------------------|------------------------------|-------------------------------------------------------|--------------------------------|---------------------------------------------|------------------------------|-------------|
|                 | SEHK<br>Participants<br>聯交所參與者     | HKFE<br>Participants<br>期交所參與者 | SEHK/HKFE<br>Participants聯交<br>所/期交所<br>參與者 | Non-<br>Participants<br>非參與者 | SEHK<br>Participants<br>聯交所參與者       | HKFE<br>Participants<br>期交所參與者 | SEHK/HKFE<br>Participants聯交<br>所/期交所<br>參與者 | Non-<br>Participants<br>非參與者 | SEHK<br>Participants<br>聯交所參與者        | HKFE<br>Participants<br>期交所參與者 | SEHK/HKFE<br>Participants聯交<br>所/期交所<br>參與者 | Non-<br>Participants<br>非參與者 | SEHK<br>Participants<br>聯交所參與者                        | HKFE<br>Participants<br>期交所參與者 | SEHK/HKFE<br>Participants聯交<br>所/期交所<br>參與者 | Non-<br>Participants<br>非參與者 |             |
| 2003            | 452                                | 123                            | 3                                           | 740                          | 0                                    | 0                              | 0                                           | 98                           | 7,350                                 | 421                            | 150                                         | 8,455                        | 1,173                                                 | 44                             | 14                                          | 1,178                        | 20,201      |
| 2004            | 436                                | 116                            | 9                                           | 736                          | 0                                    | 0                              | 0                                           | 97                           | 7,660                                 | 398                            | 424                                         | 9,875                        | 1,157                                                 | 52                             | 44                                          | 1,466                        | 22,470      |
| 2005            | 413                                | 113                            | 19                                          | 742                          | 0                                    | 0                              | 0                                           | 82                           | 7,816                                 | 365                            | 883                                         | 11,701                       | 1,224                                                 | 60                             | 116                                         | 1,758                        | 25,292      |
| 2006            | 408                                | 112                            | 23                                          | 769                          | 0                                    | 0                              | 0                                           | 88                           | 8,153                                 | 423                            | 1,195                                       | 13,643                       | 1,207                                                 | 63                             | 125                                         | 1,930                        | 28,139      |
| 2007            | 420                                | 109                            | 29                                          | 858                          | 0                                    | 0                              | 0                                           | 99                           | 9,466                                 | 380                            | 1,721                                       | 16,391                       | 1,328                                                 | 69                             | 157                                         | 2,247                        | 33,274      |
| 2008            | 421                                | 108                            | 40                                          | 978                          | 0                                    | 0                              | 0                                           | 102                          | 10,161                                | 819                            | 2,316                                       | 18,235                       | 1,374                                                 | 97                             | 210                                         | 2,484                        | 37,345      |
| 2009            | 422                                | 116                            | 51                                          | 1,019                        | 0                                    | 0                              | 0                                           | 107                          | 10,556                                | 836                            | 2,672                                       | 15,944                       | 1,382                                                 | 123                            | 262                                         | 2,570                        | 36,060      |
| 2010            | 431                                | 116                            | 63                                          | 1,121                        | 0                                    | 0                              | 0                                           | 109                          | 11,323                                | 904                            | 3,273                                       | 16,060                       | 1,444                                                 | 120                            | 358                                         | 2,809                        | 38,131      |
| 2011            | 447                                | 117                            | 66                                          | 1,174                        | 0                                    | 0                              | 0                                           | 110                          | 11,770                                | 986                            | 3,869                                       | 15,721                       | 1,541                                                 | 138                            | 367                                         | 3,100                        | 39,406      |
| 2012            | 460                                | 117                            | 68                                          | 1,252                        | 0                                    | 0                              | 0                                           | 117                          | 11,688                                | 959                            | 3,846                                       | 15,206                       | 1,602                                                 | 155                            | 394                                         | 3,372                        | 39,236      |
| 2013            | 452                                | 112                            | 67                                          | 1,325                        | 0                                    | 0                              | 0                                           | 121                          | 10,739                                | 883                            | 4,921                                       | 14,775                       | 1,564                                                 | 145                            | 461                                         | 3,541                        | 39,106      |
| 2014            | 448                                | 111                            | 67                                          | 1,408                        | 0                                    | 0                              | 0                                           | 118                          | 10,834                                | 868                            | 4,818                                       | 15,040                       | 1,585                                                 | 149                            | 481                                         | 3,812                        | 39,739      |
| 2015            | 462                                | 111                            | 68                                          | 1,531                        | 0                                    | 0                              | 0                                           | 119                          | 11,157                                | 908                            | 4,845                                       | 15,860                       | 1,633                                                 | 161                            | 477                                         | 4,134                        | 41,466      |
| 2016            | 501                                | 111                            | 69                                          | 1,730                        | 0                                    | 0                              | 0                                           | 121                          | 11,344                                | 938                            | 4,750                                       | 16,011                       | 1,791                                                 | 186                            | 503                                         | 4,610                        | 42,665      |
| 2017            | 555                                | 114                            | 71                                          | 1,920                        | 0                                    | 0                              | 0                                           | 119                          | 12,017                                | 914                            | 4,844                                       | 15,845                       | 1,996                                                 | 191                            | 527                                         | 5,056                        | 44,169      |
| 2018            | 577                                | 116                            | 78                                          | 2,134                        | 0                                    | 0                              | 0                                           | 117                          | 12,479                                | 885                            | 4,940                                       | 16,481                       | 2,146                                                 | 203                            | 551                                         | 5,664                        | 46,371      |
| 2019            | 606                                | 114                            | 80                                          | 2,284                        | 0                                    | 0                              | 0                                           | 114                          | 12,447                                | 874                            | 4,948                                       | 16,967                       | 2,205                                                 | 202                            | 588                                         | 6,008                        | 47,437      |
| 2018            |                                    |                                |                                             |                              |                                      |                                |                                             |                              |                                       |                                |                                             |                              |                                                       |                                |                                             |                              |             |
| 03/2018         | 563                                | 115                            | 74                                          | 1,950                        | 0                                    | 0                              | 0                                           | 120                          | 12,096                                | 884                            | 4,831                                       | 15,784                       | 2,043                                                 | 188                            | 536                                         | 5,174                        | 44,358      |
| 06/2018         | 569                                | 116                            | 76                                          | 2,014                        | 0                                    | 0                              | 0                                           | 118                          | 12,243                                | 863                            | 4,876                                       | 16,055                       | 2,090                                                 | 195                            | 544                                         | 5,340                        | 45,099      |
| 09/2018         | 575                                | 117                            | 77                                          | 2,075                        | 0                                    | 0                              | 0                                           | 118                          | 12,440                                | 879                            | 4,973                                       | 16,416                       | 2,115                                                 | 202                            | 548                                         | 5,528                        | 46,063      |
| 12/2018         | 577                                | 116                            | 78                                          | 2,134                        | 0                                    | 0                              | 0                                           | 117                          | 12,479                                | 885                            | 4,940                                       | 16,481                       | 2,146                                                 | 203                            | 551                                         | 5,664                        | 46,371      |
| 2019            |                                    |                                |                                             |                              |                                      |                                |                                             |                              |                                       |                                |                                             |                              |                                                       |                                |                                             |                              |             |
| 03/2019         | 581                                | 114                            | 81                                          | 2,184                        | 0                                    | 0                              | 0                                           | 116                          | 12,397                                | 849                            | 5,002                                       | 16,655                       | 2,155                                                 | 199                            | 576                                         | 5,769                        | 46,678      |
| 06/2019         | 594                                | 114                            | 79                                          | 2,230                        | 0                                    | 0                              | 0                                           | 115                          | 12,501                                | 868                            | 5,002                                       | 16,898                       | 2,185                                                 | 198                            | 575                                         | 5,880                        | 47,239      |
| 09/2019         | 600                                | 114                            | 79                                          | 2,255                        | 0                                    | 0                              | 0                                           | 115                          | 12,542                                | 890                            | 5,046                                       | 17,053                       | 2,206                                                 | 202                            | 578                                         | 5,955                        | 47,635      |
| 12/2019         | 606                                | 114                            | 80                                          | 2,284                        | 0                                    | 0                              | 0                                           | 114                          | 12,447                                | 874                            | 4,948                                       | 16,967                       | 2,205                                                 | 202                            | 588                                         | 6,008                        | 47,437      |
| 2020            |                                    |                                |                                             |                              |                                      |                                |                                             |                              |                                       |                                |                                             |                              |                                                       |                                |                                             |                              |             |
| 03/2020         | 604                                | 113                            | 84                                          | 2,308                        | 0                                    | 0                              | 0                                           | 112                          | 12,208                                | 870                            | 4,862                                       | 16,934                       | 2,196                                                 | 200                            | 612                                         | 6,064                        | 47,167      |

Remarks: LC includes licensed corporations, deemed licensed corporations and temporary licensed corporations

RI includes registered institutions and deemed registered institutions

LR includes licensed representatives, provisional licensed representatives, deemed licensed representatives and temporary licensed representatives

RO/AO includes responsible officers, provisional responsible officers, deemed responsible officers and temporary approved officers

Source: Securities and Futures Commission

備註: 持牌法團包括持牌法團、當作已獲發牌的法團及短期持牌法團  
註冊機構包括註冊機構及當作已獲註冊的機構  
持牌代表包括持牌代表、臨時持牌代表、當作已獲發牌的代表及短期持牌代表  
負責人員/ 核准人員包括負責人員、臨時負責人員、當作負責人員及短期核准人員  
資料來源: 證券及期貨事務監察委員會