



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
3 Capital Partners Limited	BHP587	Licensed Corporation	4, 9
ARCH Capital Property Advisors Co. Limited	BGX469	Licensed Corporation	4
Architech Capital Management Limited	BHQ258	Licensed Corporation	9
Asia Joyful Limited	BHB694	Licensed Corporation	9
Asia-Pac Futures Limited	AHA296	Licensed Corporation	2
Bei Asset Management (HK) Limited	BHL115	Licensed Corporation	4, 9
Dayou Futures (HK) Company Limited	BHF476	Licensed Corporation	2
Dragon Investment Advisory Company Limited	BHK241	Licensed Corporation	9
Ferran Securities Limited	BHG080	Licensed Corporation	1, 4
Fusion Wealth Management Limited	BEF106	Licensed Corporation	4, 9
Huatai (Hong Kong) Futures Limited	BHE003	Licensed Corporation	2, 5
IFM Investors (HK) Ltd	BHP417	Licensed Corporation	1, 4, 9
INV Advisory Limited	BHW980	Licensed Corporation	4, 9
Kadensa Capital Limited	BHO368	Licensed Corporation	9
Kingsmead Asset Management (HK) Pte. Limited	BHA162	Licensed Corporation	9
Lakeville Capital Management Limited	BHO328	Licensed Corporation	9
Logos Technologies (HK) Limited	BHL997	Licensed Corporation	9
Lunch Box Capital Management Limited	BGR547	Licensed Corporation	9
Octal Capital Asset Management Limited	BGE660	Licensed Corporation	9
Parantoux Capital Limited	BHO717	Licensed Corporation	9
Prime China Securities Limited	BHG557	Licensed Corporation	1, 4
Prior Asset Management Limited	BDR227	Licensed Corporation	4, 9
Righteous Capital Limited	BHN808	Licensed Corporation	9
RSI Securities Limited	BHT553	Licensed Corporation	1
SITCOAM (Hong Kong) Holdings Limited	BHF749	Licensed Corporation	4, 9
Sixpoint Partners Asia Limited	BHH721	Licensed Corporation	1
SP Topstone Capital Management Limited	BHG531	Licensed Corporation	4, 9
United Zone Investment Limited	BHJ966	Licensed Corporation	1, 2, 4, 9
Weshine Securities Company Limited	BHR807	Licensed Corporation	1, 4
Yuzhou Financial Holdings Limited	BHJ194	Licensed Corporation	1, 4, 9
AGARWAL Ankit	BHS909	Licensed Representative	1, 2
AHN Jung Hyeon	BCK013	Licensed Representative	1, 2
ALEVIZOS Sarah Alexandra Schell	BIC287	Licensed Representative	1, 4, 6
AU Chan Hung, James	BHY171	Licensed Representative	1
AU Kai Man	BHY489	Licensed Representative	4
AU-YEUNG Ka Hung	BHZ815	Licensed Representative	1, 2
BAE Seongwan	BHV026	Licensed Representative	1
BAJARIA Sejal	ATC149	Licensed Representative	1
BAKER Mark	BHY118	Licensed Representative	9
BALL Theodore Alexander	BHX803	Licensed Representative	1, 2, 4, 5
BAZANY Rosalind Jane	BIC636	Licensed Representative	1, 4
BESKIN Claire Victoria	BHY091	Licensed Representative	1, 2
BOWMAN Steven Michael	BIB654	Licensed Representative	1
BUCHAN Tamhas Clwyd Angus	BHT840	Licensed Representative	1
CAHILL Xin	BHY903	Licensed Representative	10
CAI Hua	BHZ819	Licensed Representative	1, 4, 9
CHAN Chi Wai	BIC618	Licensed Representative	1
CHAN Ching	BHZ033	Licensed Representative	4, 9
CHAN Chun Kit	BIC447	Licensed Representative	3
CHAN Chung	BHX884	Licensed Representative	1
CHAN Darren	BBP205	Licensed Representative	1
CHAN Fuk Lun	ARG180	Licensed Representative	1, 9
CHAN Ho Ying	BHY941	Licensed Representative	1, 6
CHAN Jet Han	BHZ797	Licensed Representative	4
CHAN Kiu Yee, Eva	BEM502	Licensed Representative	6
CHAN Ngai Fun	BIC891	Licensed Representative	1, 4



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHAN Shing Yin	AST185	Licensed Representative	4
CHAN Wai Hang	APP375	Licensed Representative	1
CHAN Wai Ling	BHW840	Licensed Representative	1
CHAN Yip Pang	BHV392	Licensed Representative	6
CHAN Yiu Man	ATB477	Licensed Representative	1, 4
CHAN Yue Tat Andy	BHY880	Licensed Representative	1, 9
CHANG Lui Yiu, Louis	BBH087	Licensed Representative	3
CHANG Ming Gi, Allison	BHZ141	Licensed Representative	1
CHANG Yifan	BHW898	Licensed Representative	1
CHANTRELL John Robert	BIB351	Licensed Representative	1, 4, 9
CHAO Catherine Fushin	APL832	Licensed Representative	10
CHAY Lei	BID402	Licensed Representative	4, 9
CHEN Beifang	BIC145	Licensed Representative	1, 4, 9
CHEN Cecile	BHY105	Licensed Representative	1
CHEN Jesse C.	BID398	Licensed Representative	9
CHEN Jianping	BHQ444	Licensed Representative	1, 4, 9
CHEN Kuang Yuan	BIC514	Licensed Representative	1, 4
CHEN Lihan	BHY094	Licensed Representative	1, 2
CHEN Ling-Ching	AMJ753	Licensed Representative	1
CHEN Qi	BHV162	Licensed Representative	1, 6
CHEN Yiwei	BIA272	Licensed Representative	1, 4
CHEN Yu Jen	ANM696	Licensed Representative	1, 4, 9
CHEN Zhangchen	BHY095	Licensed Representative	1, 4, 9
CHENG Chi Keung	BIC344	Licensed Representative	1, 9
CHENG Ho Lam	BIC181	Licensed Representative	4, 9
CHENG Ming Ho	BIA005	Licensed Representative	1, 4, 6
CHENG Tan Chiing	BIC619	Licensed Representative	1
CHENG Tin Lun	BIC623	Licensed Representative	1, 2
CHENG Xiaomin	BHY663	Licensed Representative	1, 6
CHEONG Kwok Wing	BIA261	Licensed Representative	1, 4
CHEUNG Chi Lok	BID269	Licensed Representative	1, 4
CHEUNG Ching Ho Wilson	BHY757	Licensed Representative	1, 4
CHEUNG Hoi Yan	BIB646	Licensed Representative	4
CHEUNG Jonathan Lok-yin	BIA117	Licensed Representative	1, 4
CHEUNG Judy Hiu Ching	BEV160	Licensed Representative	1
CHEUNG Kin Wah	BIB959	Licensed Representative	9
CHEUNG Lok Ching, Rachel	BHX763	Licensed Representative	9
CHEUNG Philip Yin Loong	AKY122	Licensed Representative	1, 2, 3
CHEUNG Shun Ka, Toby	AFI382	Licensed Representative	1, 2
CHIO Kai Chong	BHY008	Licensed Representative	1, 4
CHIU Hsu-hui Vanessa	BHZ131	Licensed Representative	1
CHO Eun Sang	BID288	Licensed Representative	1, 4, 9
CHODA Bharat	BHX392	Licensed Representative	1, 9
CHOI Chau Kit	BIC269	Licensed Representative	1
CHOI Seung Jae	BHZ340	Licensed Representative	2, 5
CHOI Young Hyun	BIB393	Licensed Representative	1, 4, 9
CHOW Mandy	BHY521	Licensed Representative	1, 6
CHU Weijia	BHZ238	Licensed Representative	4
CHUANG Jia Chen	BIB867	Licensed Representative	1, 2
CHUNG Chi Hang	BIA002	Licensed Representative	6
CHUNG Chi Ho	BIA004	Licensed Representative	1, 2
CHUNG Chor Kiu, Janice	BHY506	Licensed Representative	1, 6
CHUNG Jong Hun	BHX002	Licensed Representative	1, 4
CHUNG Ming Hay	BIA074	Licensed Representative	1, 6
CHUNG Shuk Ling	BIC455	Licensed Representative	3
COOK Eugene Christopher	BID553	Licensed Representative	1, 4



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
COUGHLIN Benjamin John	BID245	Licensed Representative	1, 4, 9
CREED Richard Philip	BHW997	Licensed Representative	10
DAI Yining	BHZ132	Licensed Representative	6
DANG Xuyang	BHY253	Licensed Representative	1, 2
DARLING Christopher Edwin	ALW790	Licensed Representative	1, 4, 9
DEMEULEMEESTER Julien Marcel	BHZ067	Licensed Representative	9
DENG Jingting	BIC489	Licensed Representative	1, 4
DENG Yongkang	BHY084	Licensed Representative	4
DIETRICH Peter	BHY877	Licensed Representative	4
DING Dandan	BID792	Licensed Representative	4, 9
DING Ding	AVR355	Licensed Representative	1, 4, 6
DING Yihua	AQQ496	Licensed Representative	4
DOLAN Scott Eric	BHZ240	Licensed Representative	1, 4
DONDE Mandar Suresh	BIC773	Licensed Representative	1, 4, 6
DONG Huayi	BHY263	Licensed Representative	1
DOU Dou	BHY623	Licensed Representative	1
DRURY Benjamin	BIE662	Licensed Representative	1
DU Chao	AUM373	Licensed Representative	6
DU Nan Chiang	BGH452	Licensed Representative	4
DU Xiang	BIA070	Licensed Representative	6
DU Ximing	BHR661	Licensed Representative	1, 6
EMMERSON Scott	BHZ163	Licensed Representative	9
FAN Tian Hao	BHY037	Licensed Representative	1, 4, 6
FAN Wei	BIA162	Licensed Representative	1
FELDMANN Daniel Thomas	BIB605	Licensed Representative	4
FENG Lingtian	AYQ548	Licensed Representative	4
FRASER Duncan Robert	BHX752	Licensed Representative	1, 9
FREY Ambroise Georges	ASD203	Licensed Representative	1, 2, 4, 5
FU Fai Wong	AVO462	Licensed Representative	1, 2, 3, 4
GAO Yang	BHX710	Licensed Representative	1, 4, 6
GAO Zhifeng	BHZ151	Licensed Representative	1
GE Zhengqi	BIB804	Licensed Representative	1, 6
GELIOT Adrien Marie Gregoire	AZX660	Licensed Representative	4, 5, 9
GENG Wen	AWC781	Licensed Representative	9
GONG Hsien-yu Stephen	BIG067	Licensed Representative	6
GONG Li	BHV427	Licensed Representative	1, 6
GORMLEY Michael Kenneth	BIC462	Licensed Representative	2, 5
GU Hongyuan	BHT839	Licensed Representative	4
GU YiLi	AXQ891	Licensed Representative	1
GUENIER Alix Long Daniel	BHX737	Licensed Representative	1, 4
GUERRERO Adrien Francisco	BHZ097	Licensed Representative	1
GUI Hua	AOC915	Licensed Representative	1, 6
GUO Hanze	BIE895	Licensed Representative	1, 2, 4
GUO Yue	BHX273	Licensed Representative	1, 4, 6
GUPTA Pooja	BIC159	Licensed Representative	1, 4, 9
GUPTA Rohit Kumar	BIF178	Licensed Representative	4, 9
HAK Natalie Cheuk Man	BHZ698	Licensed Representative	1, 4, 9
HARDWICKE Tristan	BHY271	Licensed Representative	1, 2
HO Cheuk Ming	BID232	Licensed Representative	1
HO Ching Yan	BID166	Licensed Representative	1
HO Justin Gah-jen	BIA038	Licensed Representative	1, 9
HO Kam To, Hank	BHZ805	Licensed Representative	1
HO King Yan, Lilian	BHZ137	Licensed Representative	1, 6
HON Ian Tin-yeung	BIC957	Licensed Representative	4, 5, 9
HONG Kon Chew	BHZ897	Licensed Representative	1, 2
HONG Lanfang	BHY141	Licensed Representative	1



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
HONG Yu	BIC250	Licensed Representative	1, 6
HORIE Tomoo	BIC672	Licensed Representative	1, 2, 4
HSIEH Fu Jen	BHX649	Licensed Representative	1, 4
HU Yong	BGT644	Licensed Representative	1, 2
HUANG Chin	BHY493	Licensed Representative	1
HUANG Haiming	AWU883	Licensed Representative	1
HUANG Sijia	BHX186	Licensed Representative	6
HUANG Wen Wei	BHY268	Licensed Representative	1, 4
HUANG Wenyi	BIC123	Licensed Representative	1, 4
HUGHES Anna-Maree Erica	BHY883	Licensed Representative	10
HUI Lok Chi	BDW597	Licensed Representative	1
HUI Siu Yin Jimmy	BHY281	Licensed Representative	1, 2
JANG Suh Won	BIB440	Licensed Representative	1, 4, 6
JENKINS Ryan	BHY430	Licensed Representative	1, 4
JI Zhong	BID412	Licensed Representative	1
JIANG Yang	BHZ344	Licensed Representative	1, 6
JIANG Yi	BAU773	Licensed Representative	4, 9
JIN Liangzhu	BHY759	Licensed Representative	1, 6
JIN Meng	BHY650	Licensed Representative	1, 4
JIN Shengyu	BHY887	Licensed Representative	1, 6
JING Shu	BIC415	Licensed Representative	1, 2
JONG Larissa Howlyn	BIA026	Licensed Representative	1, 2
JOO Sehoon	BHZ065	Licensed Representative	1, 6
JOYCE John Collins	BIB302	Licensed Representative	1, 2
JU Lixin	BFR736	Licensed Representative	4
KAN Shuk Ting	BHY024	Licensed Representative	1
KAR Manabesh	BHY557	Licensed Representative	1, 2
KENT Alexander H	BIB434	Licensed Representative	9
KEOGH Paul Thomas	AOR368	Licensed Representative	1
KHOURY Natalie Alexandra	BIB669	Licensed Representative	1, 2
KIM Kyung Ryun	BHY115	Licensed Representative	1, 2
KIM Minjung	BIB823	Licensed Representative	1, 4, 6
KIM Su Hee	BHU272	Licensed Representative	1, 2
KIMURA Mitsuko	AVW853	Licensed Representative	1
KING Wei Yean	APB661	Licensed Representative	9
KITO Keijiro	BFA603	Licensed Representative	1
KO Jae Il	BIB435	Licensed Representative	1, 4
KOH Chink Ee	BHB655	Licensed Representative	4
KOH Wan Chin	BIC280	Licensed Representative	1
KONG Fanjiao	BHY395	Licensed Representative	1, 4, 9
KOO Dajun Edlyn	BHQ243	Licensed Representative	1, 2, 9
KOO Yunhoi	BHY096	Licensed Representative	1, 2
KOT Suet Bing	BIC115	Licensed Representative	1, 2, 7
KUANG Kefu	BEA507	Licensed Representative	1, 4
KUDO Yoko	BHT721	Licensed Representative	1, 2
KUO Kan-Ying	BHY927	Licensed Representative	1, 6
KWAN Chi Man	BHY242	Licensed Representative	9
KWAN Siu Tat, Tommy	BAR660	Licensed Representative	1, 2
KWOK Hang Kin	BHZ244	Licensed Representative	1, 2
KWOK Ka Fai	BHW838	Licensed Representative	1
KWOK Ka Kit	BHZ556	Licensed Representative	1, 6
KWOK Yuk Lun, Thomas	BHZ272	Licensed Representative	1, 4
KWONG Johnathan Laurent	BHZ843	Licensed Representative	4
KWONG Ka Ho	BIG236	Licensed Representative	1, 4, 9
LAI Brian	APR852	Licensed Representative	1
LAM Hiu Ming	BIC174	Licensed Representative	1



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
LAM Chi Ho	BHY523	Licensed Representative	9
LAM Chi Pui	BID982	Licensed Representative	1, 4
LAM Chin Ting	BIB399	Licensed Representative	6
LAM Deborah	BHZ436	Licensed Representative	1
LAM Fong Chun	AYR790	Licensed Representative	6
LAM Ming Kai	AMH584	Licensed Representative	1
LAM Shuk Ling	BIE131	Licensed Representative	1
LAM Sik Pan	BIC613	Licensed Representative	1
LAM Tai Loi	BIB908	Licensed Representative	1
LAN Weibo	BIA001	Licensed Representative	1, 2
LAU Chak Wing	ANU565	Licensed Representative	1
LAU Chi To	BHZ830	Licensed Representative	1, 4, 9
LAU Hiu Wing	BIC883	Licensed Representative	1, 2
LAU Ho Yan	BHZ343	Licensed Representative	1, 6
LAU Lik Alaric	AHK681	Licensed Representative	9
LAU Tak Wing	BID287	Licensed Representative	1, 2
LAU Tsz Lam	BHZ125	Licensed Representative	1, 2
LAW Kwai Yee	BHZ142	Licensed Representative	6
LE SAINT Bruno Stephane Jean Marie	BIB332	Licensed Representative	1, 4
LEDDINGTON-HILL Matthew John	BHZ654	Licensed Representative	1, 2, 4
LEE Hei Shing	BIB598	Licensed Representative	1, 6
LEE Isaac	BFX302	Licensed Representative	1, 2
LEE Lok Hin, Clement	BHZ872	Licensed Representative	1, 6
LEE Pui Shan	BHX611	Licensed Representative	1, 2
LEE Pui Yin, Andrew	BIC442	Licensed Representative	3
LEE Sau Lai, Agnes	BHZ149	Licensed Representative	1
LEE Sin Man, Cynthia	AFV230	Licensed Representative	1
LEE Suet Hang	BIA003	Licensed Representative	1
LEE Ting Fung	AKX239	Licensed Representative	1
LEUNG Cheuk Kuen	BIB355	Licensed Representative	2
LEUNG Desmond Cheuk-kei	BID377	Licensed Representative	4
LEUNG Hiu Yan	BHZ868	Licensed Representative	1, 6
LEUNG Kai Chun	APK360	Licensed Representative	1
LEUNG Pui Man	AFG786	Licensed Representative	4
LEUNG Terrance Scott	BHZ474	Licensed Representative	1, 2
LEUNG Wing Yan	BIH511	Licensed Representative	1
LI Cheng	BIC748	Licensed Representative	1, 4
LI Chi Leung Able	BHY423	Licensed Representative	1, 4
LI Chi Ping	BCZ784	Licensed Representative	1, 4
LI Hin Wang Kenneth	BHY675	Licensed Representative	1, 2
LI Ka Yan	BID105	Licensed Representative	1
LI Kevin Zhen Ting	BHZ557	Licensed Representative	1, 4
LI Lai Shan Sera	AOW922	Licensed Representative	1
LI Lefu	BHY683	Licensed Representative	1, 4
LI Man Lok Jonathan	BHX227	Licensed Representative	4, 9
LI Pengjia	BHW643	Licensed Representative	1, 4, 6
LI Pui Ching	ANB179	Licensed Representative	1, 4
LI Qiya	BHZ111	Licensed Representative	1, 6
LI Sui Hong	BIA032	Licensed Representative	6
LI Wai Kwan	ALU154	Licensed Representative	1, 4, 9
LI Wenzheng	BIC793	Licensed Representative	9
LI Xiaocen	BIC345	Licensed Representative	1
LI Xiaochong	BIC137	Licensed Representative	1, 4
LI Xiaoyan	BIB928	Licensed Representative	1, 4, 9
LI Xintong	BHZ073	Licensed Representative	1
LI Xuefei	BIA007	Licensed Representative	1

**ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2016**

CE Name	CE No.	Licence Type	Types of Regulated Activity
LI Yang	BIA101	Licensed Representative	4, 9
LI Yikai	BHY743	Licensed Representative	2
LI Yuan	BHV442	Licensed Representative	1, 6
LI Yuanyuan	BHY383	Licensed Representative	6
LI Yuk Lok	BIA108	Licensed Representative	1, 4, 6
LI Yun	BHZ514	Licensed Representative	1, 2
LI Zhuoning	BHY505	Licensed Representative	1, 4
LI Zihan	BHY745	Licensed Representative	1, 4, 6
LIANG Liang	AUM947	Licensed Representative	4
LIANG Pei-Hsin	BHY224	Licensed Representative	1, 2, 4, 5
LIANG Ruizhi	BHZ469	Licensed Representative	1, 4
LIAO Shifan	AWO654	Licensed Representative	4
LIAO Xin	BIC886	Licensed Representative	4, 9
LIM Wei Jian	BIC277	Licensed Representative	1
LIN Hing Lei	BGZ317	Licensed Representative	1
LIN Junjie	AVU628	Licensed Representative	9
LIN Suan	BHY684	Licensed Representative	1, 4, 6
LIN Tong	BHJ408	Licensed Representative	1, 4, 9
LISTER Andrew	BHX821	Licensed Representative	1
LITTMANN Levi	BHY528	Licensed Representative	9
LIU Chung Him	BHY106	Licensed Representative	1
LIU Hoi Keung	AET992	Licensed Representative	1, 4, 9
LIU Hoi Ki	BIA237	Licensed Representative	1
LIU Jiyiing	BHZ223	Licensed Representative	1, 4
LIU Li	BHX713	Licensed Representative	1, 4, 6
LIU Man Chi Alphorsa	BIC302	Licensed Representative	1
LIU Tianren	BHZ311	Licensed Representative	4, 9
LIU Ting	BHZ148	Licensed Representative	1, 6
LIU Wai Ho	BIC281	Licensed Representative	1, 2
LIU Wenting	BHY292	Licensed Representative	4
LIU Yamin	BHZ018	Licensed Representative	1, 4, 9
LIU Yatian	BHX819	Licensed Representative	4
LIU Yenchun	BHY531	Licensed Representative	10
LIU Yihao	AFT482	Licensed Representative	1, 4, 9
LO King San	BHT733	Licensed Representative	4, 9
LO Michael Sai Cheong	AFR449	Licensed Representative	9
LOH Elizabeth J	ACC527	Licensed Representative	1, 4
LOW John Meng	AAN623	Licensed Representative	1, 6
LU Hailei	BIC117	Licensed Representative	1, 6
LU Jiping	BHU978	Licensed Representative	1, 4, 9
LU Lucas Peng	BHZ101	Licensed Representative	1, 6
LU Mei Ying	AHY761	Licensed Representative	4, 9
LU Xinrong	BHZ090	Licensed Representative	1, 6
LUO Xiang	BHT346	Licensed Representative	1, 6
LUO Yiwen	BIC107	Licensed Representative	4, 5, 9
LUONG Sieu Quang	AVW501	Licensed Representative	1, 4, 7
MA Chi Keung	ABS585	Licensed Representative	1, 4
MA Chih-Hua	BHV388	Licensed Representative	1, 4, 9
MA Li	BBG535	Licensed Representative	2, 5
MA Nan	BHZ145	Licensed Representative	1, 6
MA Tin Martin	BIB630	Licensed Representative	1, 4
MAGHFUR USMAN Ahmad Bin	BHW630	Licensed Representative	4
MAI Ziqi	BHY888	Licensed Representative	4
MAK Ho Yan Jonathan	AYU358	Licensed Representative	4, 9
MAK Suet Man	BIB910	Licensed Representative	6
MARCHINGTON Paul Anthony	AAJ078	Licensed Representative	1, 2



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
MATHUR Nitin	BHZ863	Licensed Representative	4
MATSUNO Maoki	BHY513	Licensed Representative	4
MCKENZIE William Ian Mackinnon	ASY398	Licensed Representative	1
MEI Qianwen	BAH855	Licensed Representative	1
MENG Na	BHX267	Licensed Representative	1, 4, 6
MESZAROS Andor Istvan	AQU256	Licensed Representative	1, 4
MIMURADA Jumpei	BIC416	Licensed Representative	1, 2
MIWA Takashi	BHZ442	Licensed Representative	4
MO Chao-chi Richard	AJL084	Licensed Representative	1, 4, 9
MO Yulu	BHY101	Licensed Representative	6
MURAKAMI Yusuke	BHQ207	Licensed Representative	1
NADARAJAH Rayhan	BHY231	Licensed Representative	1, 4
NAN Feiyan	BGG972	Licensed Representative	4
NAPHTALI David Jacob Samuel	BGT102	Licensed Representative	4, 9
NARAYANAN Arvind	BHX265	Licensed Representative	1, 2
NAVANI Sai Naren Jetha	BID247	Licensed Representative	9
NG Cheuk Nin	BHZ345	Licensed Representative	1, 4
NG Ka Po	AGN945	Licensed Representative	1
NG Kai Fung	BHW683	Licensed Representative	1, 6
NG Ming Yan	BHZ147	Licensed Representative	1
NG Su Ching Resa	BHY256	Licensed Representative	1, 2
NG Ting Wai	AOV642	Licensed Representative	4, 9
NGAI Chun Yin	ANU613	Licensed Representative	1
NIE Rentong	BHX802	Licensed Representative	1
NIE Shuoliang	AWX068	Licensed Representative	1, 4, 6
NING Benson	BHY278	Licensed Representative	1
NING Jun	BHX027	Licensed Representative	4, 9
OHARA Kayoko	BIA073	Licensed Representative	4, 9
ONISHI Shunsuke	BIC183	Licensed Representative	1, 4
ONO Masanori	BDR307	Licensed Representative	1, 4, 7
PAN Dengke	BIC438	Licensed Representative	2
PAREKH Bharat Nalinkant	BAR454	Licensed Representative	4
PATEL Ashish Gordhandas Vachhani	AZG517	Licensed Representative	9
PEDLEY Benjamin Ian	AQN579	Licensed Representative	1
PEI Haosong	BHY119	Licensed Representative	1
PENDERT Stefan Alexander	ANF152	Licensed Representative	4
PENG Bo	BIA035	Licensed Representative	1, 2
POON Philip Chung Hein	AIC797	Licensed Representative	2
POON Tat Fung	BHV384	Licensed Representative	6
POON Tik Oscar	BIB123	Licensed Representative	1, 4, 9
POON Tsz Wang	BIB419	Licensed Representative	4
PRIEST James David	BHX572	Licensed Representative	1, 2
PRITCHARD Laurie Thomas Mccurdy	BIA009	Licensed Representative	1, 2
QI Nan	BIC343	Licensed Representative	1, 6
QIN Hao	BIC905	Licensed Representative	9
QIN Hao	BID193	Licensed Representative	1, 2
QIU Yujia	BID374	Licensed Representative	6
QU Weien	BHY742	Licensed Representative	1, 4, 6
QU Yan	BHZ234	Licensed Representative	1, 2
RANA Arvind	BHU967	Licensed Representative	10
RAY Hung Pang	BID045	Licensed Representative	1
RICHARDSON Angus Mckenzie	BHV033	Licensed Representative	1
RYAN Liam Jack	BHZ541	Licensed Representative	1, 4, 9
SABAS Steffen Erich August	BIB411	Licensed Representative	1, 2
SACHDEVA Amit	BIB386	Licensed Representative	1, 4, 9



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
SANTER Christophe J. M. C.	BHW657	Licensed Representative	1
SCHWEIGERT Birgit	BHZ319	Licensed Representative	1, 2, 4
SEEWALD Michael, Rainer	BHY705	Licensed Representative	10
SETO Pui Lum	BIC413	Licensed Representative	1
SHAO Qin	BIA089	Licensed Representative	4
SHEN Fangzheng	BHZ444	Licensed Representative	1, 4, 6
SHEN Yueming	BHZ113	Licensed Representative	4, 9
SHI Guowu	BHX470	Licensed Representative	9
SHIAU Yann-Huei	BHX554	Licensed Representative	1, 4, 9
SHIN I-Lin	BIC597	Licensed Representative	1, 4
SIN Man Ho	BIE361	Licensed Representative	1, 6
SIN Wai Lok	BHU734	Licensed Representative	1
SINGH Aditya	AUP889	Licensed Representative	1, 2
SIT Sze Man, Tiffany	BHY503	Licensed Representative	1
SIU Kai Yun	BIB329	Licensed Representative	1
SMITH Alistair Campbell	BIE667	Licensed Representative	1
SMITH Stephen	BID322	Licensed Representative	9
SNOOKS Jane Nicola	BIC245	Licensed Representative	1, 9
SO Pui Ki	BID017	Licensed Representative	6
SONG Rong	BHX646	Licensed Representative	2
SOO Chun Ying, Vickie	BHV184	Licensed Representative	1
SU Shih Yen	BHY240	Licensed Representative	1
SUN Hsueh Yi	BIC120	Licensed Representative	1, 2
SUN Kangning	BIB906	Licensed Representative	1
SUN King Hei	BHY889	Licensed Representative	1, 4
SUN Ning	BID332	Licensed Representative	9
SUN Qing	BHY622	Licensed Representative	1, 4, 9
SUN Qiwen	BHZ320	Licensed Representative	1
SUN Wanxing	BDJ929	Licensed Representative	1, 6
SUN Yan	BIC310	Licensed Representative	1, 2
SUN Yilin	BHZ452	Licensed Representative	1, 4, 6
SUN Yu	BID148	Licensed Representative	1
SUN Yutong	BIC658	Licensed Representative	1, 2
SUNG Hon Wing Edward	BHY910	Licensed Representative	1, 2
SUNG Yin Wa	BIB362	Licensed Representative	1, 2
SZE Kam Ying	BID167	Licensed Representative	1, 4
SZETO Pui Yee June	BIB933	Licensed Representative	1
TAI Kwok Man	AQK987	Licensed Representative	1
TAI Luen Kam	AMF607	Licensed Representative	1
TAM Chun Ho	BIB790	Licensed Representative	1, 4
TAM Siu Chung Tony	BHZ322	Licensed Representative	9
TAM Wai Man, Grace	ALN365	Licensed Representative	1, 4, 9
TAN Jonathan Hiu Fung	BHY515	Licensed Representative	1
TAN Lu	BIC625	Licensed Representative	4
TAN Paul Peck Teng	BHX390	Licensed Representative	1, 2
TAN Rachel Hui Ch'ing	BIC290	Licensed Representative	1
TAN Shaoguang	BHZ233	Licensed Representative	1, 4, 6
TAN Szu-Min Desmond	BHY508	Licensed Representative	1, 4
TANG Chin Wan	AQV733	Licensed Representative	9
TANG Elaine Donna	BIB118	Licensed Representative	1, 4
TANG Jennifer Wing Chung	BHY293	Licensed Representative	1
TECHAVARUTAMA Suttalak	BHY260	Licensed Representative	1, 2
THOMSON James Joseph	BBA635	Licensed Representative	6
TIELSCH Jascha Andre Helmut	BIB682	Licensed Representative	1, 6
TIRTASENTANA Arthur William	BHY356	Licensed Representative	4, 9
TO Sau Fun	BIA132	Licensed Representative	1, 4

**ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2016**

CE Name	CE No.	Licence Type	Types of Regulated Activity
TONG Chi Yeung, Stephen	AER930	Licensed Representative	1
TSANG Ting Ting	BHY673	Licensed Representative	1, 2
TSANG Tsz Man	BHY549	Licensed Representative	6
TSANG Yuen Ying	BHY436	Licensed Representative	9
TSE Christopher Shing-kwun	BFN119	Licensed Representative	1
TSO Hon Wai, Adam	APR581	Licensed Representative	1, 9
TSOI Chi Ying, Kate	BIB294	Licensed Representative	1, 2
TSOI Kwok Chun	BID087	Licensed Representative	1
TSOI San Ki	BIB377	Licensed Representative	1, 2
TSOI Sze Yeung	AQI788	Licensed Representative	1, 4, 9
TUNG Yuk Yu, Anthony	BDL726	Licensed Representative	1, 4
TURNER Daniel Philip	AOV461	Licensed Representative	1, 2
VAN VEEN Arjan Francis	AUX492	Licensed Representative	4
VAZE Deep	BIB642	Licensed Representative	1, 4
VERMA Divya Prem Kumar	BHX709	Licensed Representative	1, 4, 6
WALSH Noel Edward	BEN585	Licensed Representative	2
WAN Pik San	BIC607	Licensed Representative	1
WANG Zhixuan	BIA047	Licensed Representative	1, 4, 9
WANG Ben	BHX268	Licensed Representative	1, 4, 6
WANG Charles Hongxin	AVS571	Licensed Representative	4, 9
WANG Chenye	AYA832	Licensed Representative	1, 4, 6
WANG Cindy Tzu Yu	BIC109	Licensed Representative	1
WANG Dong	BHR911	Licensed Representative	1, 6
WANG Haitong	BHY108	Licensed Representative	1, 4, 6
WANG Han	BIC317	Licensed Representative	1
WANG Jianping	BHZ817	Licensed Representative	1, 4, 6
WANG Jue	BHX885	Licensed Representative	4
WANG Qian	BHZ255	Licensed Representative	1, 4, 6
WANG Shiyuan	BIC903	Licensed Representative	1, 2
WANG Xu	BFG300	Licensed Representative	2
WANG Yaoping	ALE841	Licensed Representative	4
WANG Yayu	BCY189	Licensed Representative	1
WANG Yi Ran	BIB840	Licensed Representative	6
WANG Yue	BHW899	Licensed Representative	1
WEBB Mark Cameron Ross	AEJ064	Licensed Representative	4
WEI Chen	BHX382	Licensed Representative	1, 2
WONG Lun	BHZ924	Licensed Representative	1
WONG Hei Yu	BHY617	Licensed Representative	6
WONG Hon Sum	AOY966	Licensed Representative	6
WONG Ka Ming	AWP779	Licensed Representative	1, 2, 9
WONG Kin Fung	BIB895	Licensed Representative	6
WONG Kok Hung	AMP461	Licensed Representative	1, 4
WONG Kwok Ping	BHW629	Licensed Representative	6
WONG Kwok Sing	BHX703	Licensed Representative	1
WONG Kwok To	BIC259	Licensed Representative	1, 6
WONG Man Lee	BIA103	Licensed Representative	1, 2
WONG Po Chin	ALY361	Licensed Representative	1
WONG Sau Lai, Charles	BBQ211	Licensed Representative	1, 4
WONG Shing Kit	BHZ124	Licensed Representative	1, 4
WONG Shuk Ha	ACM193	Licensed Representative	1, 2, 4, 5
WONG Siu Tat	AWL142	Licensed Representative	3
WONG Wai	APL830	Licensed Representative	1, 4
WONG Wai Kin	BIC832	Licensed Representative	9
WONG Yiu Kwong	BGO349	Licensed Representative	1, 4, 9
WONG Yiu Ting	BHY754	Licensed Representative	6
WU Fu Fu	BIA143	Licensed Representative	10

**ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2016**

CE Name	CE No.	Licence Type	Types of Regulated Activity
WU Miao	BIE353	Licensed Representative	4, 9
WU Sidi	BHX712	Licensed Representative	1, 4, 6
WU Yang	BHY416	Licensed Representative	4, 6
WU Yaqian	BHY582	Licensed Representative	1, 6
WU Yihuang	BHZ696	Licensed Representative	9
WU Yingyingjian	BIE144	Licensed Representative	1
WU Yuchao	BHY856	Licensed Representative	1
XIAO Yang	BHS174	Licensed Representative	9
XIE Huan Jessica	BIC428	Licensed Representative	1, 6
XIE Xinxin	BHZ673	Licensed Representative	1, 4, 6
XIE Yang	BIC745	Licensed Representative	1, 4
XU Jingxin	BHZ082	Licensed Representative	1, 6
XU Ke	BHU228	Licensed Representative	1, 6
XU Qiwen	BIC457	Licensed Representative	4
XU Xiao	BID813	Licensed Representative	9
XU Xiaoyin	BHY353	Licensed Representative	1, 6
XU Yixian	BHT647	Licensed Representative	1, 4, 6
XUE Bing	BHZ669	Licensed Representative	1, 4, 6
XUE YANG	BHX996	Licensed Representative	1, 2, 4
YANG Aijun	AZK677	Licensed Representative	1, 4
YANG Jinhan	BHZ998	Licensed Representative	1
YANG Menglin	BHW493	Licensed Representative	1, 4, 6
YANG Mi	BIB113	Licensed Representative	1, 6
YANG Peikai	BHT314	Licensed Representative	1
YANG Seolhyung	BIA010	Licensed Representative	1, 2
YANG Tiantian	BHZ119	Licensed Representative	1
YANG Xi	BHY736	Licensed Representative	1, 4, 6
YANG Yunqing	BHY837	Licensed Representative	6
YAO Minghui	BHY139	Licensed Representative	1, 4, 6
YE Binyao	BHR970	Licensed Representative	1
YE Zhijian	BHS216	Licensed Representative	1, 4
YEUNG Edwin Chun Yue	BIB909	Licensed Representative	1, 2
YEUNG Ming Tat	BHZ687	Licensed Representative	9
YEUNG Pui Yee, Holly	BIB573	Licensed Representative	6
YEUNG Sau Hei	BBK335	Licensed Representative	1
YIN Jitong	BHU278	Licensed Representative	1, 6
YIP Man Hon	BHZ902	Licensed Representative	4
YIP Pui King	BHZ318	Licensed Representative	1
YOU Young Hak	BHY584	Licensed Representative	1, 4
YU Guoshen	BHR988	Licensed Representative	9
YU Junyi	BHZ538	Licensed Representative	1, 4
YU Xin	BHZ338	Licensed Representative	1, 2
YU Yiu Lun Christopher	BHZ168	Licensed Representative	6
YUK Christopher Chak Kwan	BHY517	Licensed Representative	1, 6
YUN Hyung-Jin	BBS890	Licensed Representative	1, 6
YUNG Cheuk Yin	BHV021	Licensed Representative	1, 2, 4, 9
ZHAI Xue	BIB420	Licensed Representative	1, 4, 6
ZHAN Hanxi	BHY418	Licensed Representative	1, 4
ZHANG Dora Yuhe	BHY098	Licensed Representative	1, 9
ZHANG Gordon Burdy	BHZ445	Licensed Representative	1, 4, 6
ZHANG Han	BHZ548	Licensed Representative	1, 4, 6
ZHANG Kaixian	BHY755	Licensed Representative	1, 6
ZHANG Keyu	BHX655	Licensed Representative	1, 2
ZHANG Qi	BHX083	Licensed Representative	1, 6
ZHANG Qian	BHY747	Licensed Representative	1, 6
ZHANG Ran	BHP610	Licensed Representative	1, 4, 9



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
ZHANG Shenping	BCN230	Licensed Representative	4, 9
ZHANG Shuashuai	BHQ055	Licensed Representative	1, 4
ZHANG Wan	BHZ850	Licensed Representative	4
ZHANG Ying	BIC282	Licensed Representative	4, 9
ZHANG Yuling	BHU828	Licensed Representative	4, 9
ZHANG Yunfang	BHY180	Licensed Representative	1, 4, 9
ZHANG Zekun	BIB945	Licensed Representative	1, 4, 9
ZHAO Chong	BHY437	Licensed Representative	1, 2
ZHAO Hongmei	BHY882	Licensed Representative	4
ZHAO Ruikun	BHY588	Licensed Representative	1, 6
ZHAO Siyu	BHZ251	Licensed Representative	1, 2, 7
ZHENG Martin	BIB401	Licensed Representative	6
ZHENG Xiaolei	BHZ670	Licensed Representative	10
ZHENG Yanjun	BHZ896	Licensed Representative	1, 2
ZHENG Yifan	BIC690	Licensed Representative	1, 2
ZHONG Hao	BHX264	Licensed Representative	1, 4, 6
ZHOU Bo	BIC885	Licensed Representative	4
ZHOU Jiaxin	BHY010	Licensed Representative	1, 4
ZHOU Lin	BIA045	Licensed Representative	1
ZHOU Shunli	BDP523	Licensed Representative	1, 4
ZHOU Shuyi	BBB564	Licensed Representative	1, 2
ZHU Chen	AYY540	Licensed Representative	1, 6
ZHU Haojun	BHY023	Licensed Representative	1
ZHU Jiayi	BHX199	Licensed Representative	1, 4, 6
ZHU Xuhua	AUK284	Licensed Representative	2, 5
ZHU Yue	BID410	Licensed Representative	4, 9
ZHUANG Yiyang	BHY685	Licensed Representative	1, 4
CAO Hua	BHF790	Licensed Representative - Responsible Officer	4, 9
CHAN Kin Leung	APC074	Licensed Representative - Responsible Officer	4, 9
CHAN Kin Wah	AEN763	Licensed Representative - Responsible Officer	1, 2
CHEN Jinglei	BHL213	Licensed Representative - Responsible Officer	4, 9
CHEN Wen-Liang	BHE181	Licensed Representative - Responsible Officer	2, 5
CHEUNG Hiu Hoi	BCN387	Licensed Representative - Responsible Officer	4
CHEUNG Kwok Yuen	ABT596	Licensed Representative - Responsible Officer	9
CHOU Chien-Hwa	BHK743	Licensed Representative - Responsible Officer	4
CHUNG Tak Ming	ADR331	Licensed Representative - Responsible Officer	9
COHEN Timothy Michael	BHS742	Licensed Representative - Responsible Officer	9
DENNIG Gerald Froemke	ACJ196	Licensed Representative - Responsible Officer	4, 9
FAN Chor Ho, Paul	AAC968	Licensed Representative - Responsible Officer	1, 4
FANG Zhi	AQR774	Licensed Representative - Responsible Officer	1, 4, 9
FOO Chee King, John	AGC136	Licensed Representative - Responsible Officer	9
HE Jiahao	BDM345	Licensed Representative - Responsible Officer	4, 9
HUANG Yan	BIA282	Licensed Representative - Responsible Officer	1, 4, 9
KWOK Shun Keung, Roy	AQI400	Licensed Representative - Responsible Officer	4, 9
LAM Man Lun	ADL530	Licensed Representative - Responsible Officer	9
LAM Wai Chun	ASM382	Licensed Representative - Responsible Officer	3
LAU Ka Lam, Collin	AEB176	Licensed Representative - Responsible Officer	4, 9
LAU Yee Tong Yvonne	BHY929	Licensed Representative - Responsible Officer	9
LEE Mei Chi	ALL205	Licensed Representative - Responsible Officer	4, 9
LEE Pui Hang Julian	AFN050	Licensed Representative - Responsible Officer	1, 4, 6
LEE Shu Nung	BHO663	Licensed Representative - Responsible Officer	9
LEE Siu Wah	AAE157	Licensed Representative - Responsible Officer	1, 4
LEE Yip Fung	ALS464	Licensed Representative - Responsible Officer	1, 4
LEUNG Chun Keung	AFG667	Licensed Representative - Responsible Officer	4, 9
LIAW Irene Milin	ANG854	Licensed Representative - Responsible Officer	9
LIN Ning	ASF476	Licensed Representative - Responsible Officer	9



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
LIU Boya	BHL924	Licensed Representative - Responsible Officer	2
LIU Wai Kuen	AAC325	Licensed Representative - Responsible Officer	4, 9
LOO Peck Hwee Celene	AFC204	Licensed Representative - Responsible Officer	4, 9
LU Rong Qiang	BBT824	Licensed Representative - Responsible Officer	1, 4, 9
LUO Liuyi	AHS854	Licensed Representative - Responsible Officer	9
LUO Xi	AQO326	Licensed Representative - Responsible Officer	9
MANKODI Nikhil	AOH351	Licensed Representative - Responsible Officer	9
MCCLATCHEY Mark	BHR464	Licensed Representative - Responsible Officer	1, 4, 9
MOK Kon Lim	ABS236	Licensed Representative - Responsible Officer	1, 4
SMITH Laurence Joseph	BHK765	Licensed Representative - Responsible Officer	1
TAKEDA Shinichi	ADR470	Licensed Representative - Responsible Officer	4, 9
TANG Wah Wai	AKT453	Licensed Representative - Responsible Officer	1
WAN Ming Kwan	AFU394	Licensed Representative - Responsible Officer	9
WAN Oscar Hoyin	ANM161	Licensed Representative - Responsible Officer	9
WANG Wenhui	AOL182	Licensed Representative - Responsible Officer	9
WILEY Benjamin Alexander	ACH415	Licensed Representative - Responsible Officer	1
WU Chi Chung, Nelson	AZR638	Licensed Representative - Responsible Officer	9
XIA Xiaoning	AFR423	Licensed Representative - Responsible Officer	9
XIAO Long	BHF480	Licensed Representative - Responsible Officer	2
YANG Haoying	BHC252	Licensed Representative - Responsible Officer	9
YANG Yuchuan	AHK019	Licensed Representative - Responsible Officer	1, 4
YORK Philip Michael	AXO808	Licensed Representative - Responsible Officer	4, 9
YU Alex Chung-wei	BHP591	Licensed Representative - Responsible Officer	4, 9
ZHAI Jun	AEW118	Licensed Representative - Responsible Officer	9
ZHANG Li	ANK352	Licensed Representative - Responsible Officer	9
ZHANG Qing	ALA368	Licensed Representative - Responsible Officer	9
ZHANG Xuejin	BHE183	Licensed Representative - Responsible Officer	2, 5
ZHU Lei	BAK409	Licensed Representative - Responsible Officer	4, 9
ALEVIZOS Sarah Alexandra Schell	BIC287	Licensed Representative (Provisional Licence)	1, 4, 6
ALFAY Elia	BIG072	Licensed Representative (Provisional Licence)	1, 2
ASHBY Nicholas Stephen	BIC981	Licensed Representative (Provisional Licence)	1, 7
BAI Yang	BIG080	Licensed Representative (Provisional Licence)	1, 4, 9
BAJARIA Sejal	ATC149	Licensed Representative (Provisional Licence)	1
BONNEVILLE DE MARSANGY Roland Philippe Marie Guillaume	BIG552	Licensed Representative (Provisional Licence)	1, 7
BORGI Faouzi	BIG338	Licensed Representative (Provisional Licence)	2
BRODSKY Alec Michael	BIG113	Licensed Representative (Provisional Licence)	1, 6
CAI Jiayi	BIE648	Licensed Representative (Provisional Licence)	6
CAI Shuting	BID096	Licensed Representative (Provisional Licence)	1, 4, 6
CALA Carlos	ADL125	Licensed Representative (Provisional Licence)	1, 4
CALDWELL Harriet Anne	BIE126	Licensed Representative (Provisional Licence)	1
CAMARDA JR Joseph Andrew	AXN289	Licensed Representative (Provisional Licence)	1, 2, 9
CAO Xiaohong	BIB392	Licensed Representative (Provisional Licence)	1, 4, 6
CHAI Jun	BID608	Licensed Representative (Provisional Licence)	1, 2
CHAN Chi Kin, Elton	BBB495	Licensed Representative (Provisional Licence)	9
CHAN Chi Wai	BIC618	Licensed Representative (Provisional Licence)	1
CHAN Cho Yan	BID789	Licensed Representative (Provisional Licence)	1, 2, 9
CHAN Jo Ann	BIG716	Licensed Representative (Provisional Licence)	9
CHAN Ka Chi	BIG461	Licensed Representative (Provisional Licence)	1, 6
CHAN Kay Wah	BID699	Licensed Representative (Provisional Licence)	1, 2
CHAN Kwun Yin	BID386	Licensed Representative (Provisional Licence)	1, 2, 4, 5
CHAN Ngai Fun	BIC891	Licensed Representative (Provisional Licence)	1, 4
CHAN Pui Chi	BIE991	Licensed Representative (Provisional Licence)	1, 4, 9
CHAN See Han	AIB680	Licensed Representative (Provisional Licence)	1
CHAN Shut Sang	BIH308	Licensed Representative (Provisional Licence)	1, 2
CHAN Terence Eng Hin	BIG481	Licensed Representative (Provisional Licence)	10

**ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2016**

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHAN Ting Him	BIE645	Licensed Representative (Provisional Licence)	1, 2
CHAN Yui Richard	BIH702	Licensed Representative (Provisional Licence)	1
CHANG Andrew	BIE912	Licensed Representative (Provisional Licence)	1, 2
CHEN Bin	BIH025	Licensed Representative (Provisional Licence)	1, 4
CHEN Chiu-Chin	BIG430	Licensed Representative (Provisional Licence)	1, 4, 9
CHEN Hui	BIE088	Licensed Representative (Provisional Licence)	1, 4, 6
CHEN Huilin	APC643	Licensed Representative (Provisional Licence)	1, 4, 9
CHEN Liming	BID773	Licensed Representative (Provisional Licence)	2
CHEN Pang Yen	AGB362	Licensed Representative (Provisional Licence)	9
CHEN Yuja	BIH327	Licensed Representative (Provisional Licence)	2
CHENG Siu Wing	BIG999	Licensed Representative (Provisional Licence)	1, 4
CHENG Tin Lun	BIC623	Licensed Representative (Provisional Licence)	1, 2
CHENG Yi-Feng	AMS323	Licensed Representative (Provisional Licence)	1, 4
CHEUNG Ching	BID498	Licensed Representative (Provisional Licence)	1, 4, 6
CHEUNG Chui Chui	BID362	Licensed Representative (Provisional Licence)	1
CHEUNG Chun Wai	BIE759	Licensed Representative (Provisional Licence)	1, 4
CHEW Emily Loei Yeen	BIH236	Licensed Representative (Provisional Licence)	4, 9
CHIU Siu Po, Steve	AAJ831	Licensed Representative (Provisional Licence)	1
CHIU Wai Ting	BIC432	Licensed Representative (Provisional Licence)	1, 4
CHO Eun Sang	BID288	Licensed Representative (Provisional Licence)	1, 4, 9
CHOI Yon-sue	BID689	Licensed Representative (Provisional Licence)	1, 4, 6
CHONG Choon Lian	BIG652	Licensed Representative (Provisional Licence)	9
CHOW King Wai	BIG312	Licensed Representative (Provisional Licence)	1
CHOW Yuet Tsz	BID700	Licensed Representative (Provisional Licence)	6
CHUI Heung Chin	ANQ230	Licensed Representative (Provisional Licence)	1, 2
CHUI Lik Ching	BIH311	Licensed Representative (Provisional Licence)	4
CHUN Jungil	AVL144	Licensed Representative (Provisional Licence)	9
COLLETT Michael James	AUB134	Licensed Representative (Provisional Licence)	1, 4
COOK Eugene Christopher	BID553	Licensed Representative (Provisional Licence)	1, 4
COTTRELL Kevin John	BIG266	Licensed Representative (Provisional Licence)	9
COUGHLIN Benjamin John	BID245	Licensed Representative (Provisional Licence)	1, 4, 9
CUI Jian	BIC651	Licensed Representative (Provisional Licence)	1, 9
DE BEST Bregje Maria Gerardina	BDX553	Licensed Representative (Provisional Licence)	2, 5
DE SILVA Edmund Daniel	BIB149	Licensed Representative (Provisional Licence)	1, 2
DENG Qi	BIH039	Licensed Representative (Provisional Licence)	1
DI Yuxin	BID693	Licensed Representative (Provisional Licence)	1, 4, 6
DING Dandan	BID792	Licensed Representative (Provisional Licence)	4, 9
DING Mei Ling, Dorothy	BIE128	Licensed Representative (Provisional Licence)	1
DONDE Mandar Suresh	BIC773	Licensed Representative (Provisional Licence)	1, 4, 6
DU Chao	AUM373	Licensed Representative (Provisional Licence)	6
DU Yuwei	BIH329	Licensed Representative (Provisional Licence)	2
EDSTROEM Hanna Inga Maria	BIF125	Licensed Representative (Provisional Licence)	1, 4
ELLIS Stephen David	BAX591	Licensed Representative (Provisional Licence)	1
EUM Soo Hyun	BIE106	Licensed Representative (Provisional Licence)	1
FAN Luying	BIG852	Licensed Representative (Provisional Licence)	1, 2
FEI Jingyuan	BID172	Licensed Representative (Provisional Licence)	1, 2, 4
FENG Yuanting	BIG599	Licensed Representative (Provisional Licence)	1, 6
FOK Kin Bon	BIC286	Licensed Representative (Provisional Licence)	1
FONG Shing Wan Andy	BIH318	Licensed Representative (Provisional Licence)	2
FORTE Francesco	BIE652	Licensed Representative (Provisional Licence)	2, 5
FU Liwati	BIF048	Licensed Representative (Provisional Licence)	1, 4, 9
GANNE Nicolas Jean-Luc	BIC835	Licensed Representative (Provisional Licence)	1, 2, 4
GAO Li	BID420	Licensed Representative (Provisional Licence)	1, 4, 9
GAO Xiang	BIC191	Licensed Representative (Provisional Licence)	1
GE Yang	BIG061	Licensed Representative (Provisional Licence)	1, 4, 6
GENG Wen	AWC781	Licensed Representative (Provisional Licence)	9



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
GENG Yang	BID762	Licensed Representative (Provisional Licence)	4, 9
GIBBS Jonathan	BIG073	Licensed Representative (Provisional Licence)	1
GIUDICE Matteo	BID328	Licensed Representative (Provisional Licence)	1, 4, 6
GONG Zhen	BIG500	Licensed Representative (Provisional Licence)	1, 4
GORMLEY Michael Kenneth	BIC462	Licensed Representative (Provisional Licence)	2, 5
GU Danxia	BIE951	Licensed Representative (Provisional Licence)	4
GUI Hua	AOC915	Licensed Representative (Provisional Licence)	1, 6
GUO Hanze	BIE895	Licensed Representative (Provisional Licence)	1, 2, 4
GUO Muyu	BIE674	Licensed Representative (Provisional Licence)	9
GUPTA Shagun	BID042	Licensed Representative (Provisional Licence)	1, 6
HAN Kexiong	BIG730	Licensed Representative (Provisional Licence)	1
HASHIMOTO Kenichi	AFA748	Licensed Representative (Provisional Licence)	1
HATTANGADI Amay Ashok	BAZ947	Licensed Representative (Provisional Licence)	1
HE Guilin	BID600	Licensed Representative (Provisional Licence)	4, 9
HE Wenyi	BID174	Licensed Representative (Provisional Licence)	10
HO Garrick Chun Lim	BHA268	Licensed Representative (Provisional Licence)	1, 6
HORIE Tomoo	BIC672	Licensed Representative (Provisional Licence)	1, 2, 4
HSU Shih Chen	BIE417	Licensed Representative (Provisional Licence)	1, 2
HU Lingxi	BIE143	Licensed Representative (Provisional Licence)	1, 4
Hu Wai Kwok	AJO631	Licensed Representative (Provisional Licence)	4
HUANG Zhen	BID796	Licensed Representative (Provisional Licence)	1, 6
HUANG Jiajun	BIC863	Licensed Representative (Provisional Licence)	1, 6
HUANG Xinyi	BIE349	Licensed Representative (Provisional Licence)	1, 4
HUANG Zhongran	BIH250	Licensed Representative (Provisional Licence)	1
HUI Oi Man	BIG351	Licensed Representative (Provisional Licence)	1, 4
HUNG Jacqueline Chi-ching	BID986	Licensed Representative (Provisional Licence)	1, 4
IKEDA-THEW Kosuke Robert	BIC279	Licensed Representative (Provisional Licence)	1
IU Yam San	AIN691	Licensed Representative (Provisional Licence)	4, 9
JIANG Zhuoyan	BID177	Licensed Representative (Provisional Licence)	10
JIN Joseph	BID411	Licensed Representative (Provisional Licence)	1, 2
JIN Xiaojing	BIG115	Licensed Representative (Provisional Licence)	1, 6
JIN Xiwan	BIH078	Licensed Representative (Provisional Licence)	4
JIN Yongbo	BID144	Licensed Representative (Provisional Licence)	1, 6
JING Shu	BIC415	Licensed Representative (Provisional Licence)	1, 2
JOYCE John Collins	BIB302	Licensed Representative (Provisional Licence)	1, 2
JU Yansu Christie	ALI339	Licensed Representative (Provisional Licence)	4, 9
KAGA Maximilian Shotaro	BIC284	Licensed Representative (Provisional Licence)	1, 6
KATO Jun	BIG275	Licensed Representative (Provisional Licence)	4
KATOH Hironobu	BID384	Licensed Representative (Provisional Licence)	9
KE Meiyang	BIE105	Licensed Representative (Provisional Licence)	4, 9
KE Xiao	BIG114	Licensed Representative (Provisional Licence)	1
KEUNG Ming Hoi	AOV715	Licensed Representative (Provisional Licence)	9
KILAPARTHI Uttam Kumar	BIC749	Licensed Representative (Provisional Licence)	4
KIM Jeeseok	BID696	Licensed Representative (Provisional Licence)	1, 4, 6
KIM Minjib	BBO928	Licensed Representative (Provisional Licence)	10
KIM Minjung	BIB823	Licensed Representative (Provisional Licence)	1, 4, 6
KING Wei Yean	APB661	Licensed Representative (Provisional Licence)	9
KITO Kejiro	BFA603	Licensed Representative (Provisional Licence)	1
KOGAHARA So	BIE102	Licensed Representative (Provisional Licence)	1, 4, 6
KOH Feng Hui	BIC330	Licensed Representative (Provisional Licence)	1, 4
KOH Soo Wei	BIH098	Licensed Representative (Provisional Licence)	1
KOT Suet Bing	BIC115	Licensed Representative (Provisional Licence)	1, 2, 7
KUANG Kefu	BEA507	Licensed Representative (Provisional Licence)	1, 4
KWOK Yee Lui	BIH809	Licensed Representative (Provisional Licence)	1
LAI Wai Lam Angel	BID347	Licensed Representative (Provisional Licence)	1
LAI Hin Wai	BIE108	Licensed Representative (Provisional Licence)	1, 2

**ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2016**

CE Name	CE No.	Licence Type	Types of Regulated Activity
LAI Yeye	BIG515	Licensed Representative (Provisional Licence)	1, 4
LAM Chi Pui	BID982	Licensed Representative (Provisional Licence)	1, 4
LAM Hoi Shan	AXB616	Licensed Representative (Provisional Licence)	1, 4
LAM Kin Wa	BIE364	Licensed Representative (Provisional Licence)	1, 2
LAM Sik Pan	BIC613	Licensed Representative (Provisional Licence)	1
LAN On	BIE761	Licensed Representative (Provisional Licence)	4, 9
LAU Hiu Wing	BIC883	Licensed Representative (Provisional Licence)	1, 2
LAU Hon Man	AJO171	Licensed Representative (Provisional Licence)	1, 4
LAU Hon Wai	ACI109	Licensed Representative (Provisional Licence)	1, 4
LAU Wilson	BID034	Licensed Representative (Provisional Licence)	6
LAUK Leon-Alexis Johann Carol	BIE149	Licensed Representative (Provisional Licence)	6
LE SAINT Bruno Stephane Jean Marie	BIB332	Licensed Representative (Provisional Licence)	1, 4
LEDDINGTON-HILL Matthew John	BHZ654	Licensed Representative (Provisional Licence)	1, 2, 4
LEE Calvin Young Khoa	BEO427	Licensed Representative (Provisional Licence)	9
LEE Hoo Wan, Owen	AOR607	Licensed Representative (Provisional Licence)	1, 2
LEE Isaac	BFX302	Licensed Representative (Provisional Licence)	1, 2
LEE Ka Chun	BIE947	Licensed Representative (Provisional Licence)	3
LEE Seung Won	BIC536	Licensed Representative (Provisional Licence)	1
LEE So Ching	BID598	Licensed Representative (Provisional Licence)	1
LEUNG Man Hon Ivan	ANG301	Licensed Representative (Provisional Licence)	1, 2
LEUNG Po Hung	BIH003	Licensed Representative (Provisional Licence)	1, 4
LI An Kit	BIG062	Licensed Representative (Provisional Licence)	4
LI Berenger Julien	BHL240	Licensed Representative (Provisional Licence)	2, 5
LI Curtis Yang	BIE457	Licensed Representative (Provisional Licence)	4
LI Guowei	BIG462	Licensed Representative (Provisional Licence)	1, 2
LI Ka Yan	BID105	Licensed Representative (Provisional Licence)	1
LI Min	BIE089	Licensed Representative (Provisional Licence)	1, 2, 4
LI Po Wa	BIC644	Licensed Representative (Provisional Licence)	1, 2, 3
LI Xiaolin	BID274	Licensed Representative (Provisional Licence)	6
LI Xiaomin	BIE107	Licensed Representative (Provisional Licence)	6
LI Xiaoyan	BIB928	Licensed Representative (Provisional Licence)	1, 4, 9
LI Yiming	BIE646	Licensed Representative (Provisional Licence)	1, 2, 4
LIANG Liang	AUM947	Licensed Representative (Provisional Licence)	4
LIM Chin Chan	BID162	Licensed Representative (Provisional Licence)	1, 4
LIN Amy	BIG433	Licensed Representative (Provisional Licence)	1, 4, 6
LIN Junjie	AVU628	Licensed Representative (Provisional Licence)	9
LIN Long	BIC892	Licensed Representative (Provisional Licence)	1
LIN Na	BBR324	Licensed Representative (Provisional Licence)	4
LIN Ziqiao	BIG915	Licensed Representative (Provisional Licence)	1, 2
LIN Zitong	BID146	Licensed Representative (Provisional Licence)	10
LIU Dongling	BIF176	Licensed Representative (Provisional Licence)	1
LIU Man Chi Alphorsa	BIC302	Licensed Representative (Provisional Licence)	1
LIU Yang	BIC615	Licensed Representative (Provisional Licence)	1, 4, 9
LIU Yang	BID098	Licensed Representative (Provisional Licence)	1, 4, 6
LIU Yixing	BIG093	Licensed Representative (Provisional Licence)	1, 4, 9
LIU Zhijing	AWW251	Licensed Representative (Provisional Licence)	4
LO Chi Hang	BIH220	Licensed Representative (Provisional Licence)	1
LO Chun Yin	BID277	Licensed Representative (Provisional Licence)	1, 4
LO Kin Wa	BIH322	Licensed Representative (Provisional Licence)	2
LO Pui Chi Lyon	AAF036	Licensed Representative (Provisional Licence)	1
LOH Elizabeth J	ACC527	Licensed Representative (Provisional Licence)	1, 4
LU Cheng	BIG466	Licensed Representative (Provisional Licence)	1, 4, 6
LU Jiahong	BID376	Licensed Representative (Provisional Licence)	1, 2
LU Liyang	BGH413	Licensed Representative (Provisional Licence)	1, 4



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
LU Yili	BID346	Licensed Representative (Provisional Licence)	9
LUI Kwan Ho	ANH163	Licensed Representative (Provisional Licence)	6
LUK Chin Man	BIE369	Licensed Representative (Provisional Licence)	1
LUK Kai Wing, Brian	BIE313	Licensed Representative (Provisional Licence)	1, 2, 4, 5
LUK Pui Chi	AWJ279	Licensed Representative (Provisional Licence)	1, 6
LUK Sum Kin	BID698	Licensed Representative (Provisional Licence)	1, 4, 6
LUO Bote	BID801	Licensed Representative (Provisional Licence)	6
LUO Qiwen	BIE311	Licensed Representative (Provisional Licence)	1, 4, 6
LUO Xuwen	BID692	Licensed Representative (Provisional Licence)	10
LUO Yukun	BID325	Licensed Representative (Provisional Licence)	6
LUONG Sieu Quang	AVW501	Licensed Representative (Provisional Licence)	1, 4, 7
MA Christopher Kent	BID710	Licensed Representative (Provisional Licence)	4
MAGHFUR USMAN Ahmad Bin	BHW630	Licensed Representative (Provisional Licence)	4
MATHIE Robbi	ANQ501	Licensed Representative (Provisional Licence)	1, 2
MATSUNO Maoki	BHY513	Licensed Representative (Provisional Licence)	4
MCWILLIAM Shaun	BID085	Licensed Representative (Provisional Licence)	1, 4
MIMURADA Jumpei	BIC416	Licensed Representative (Provisional Licence)	1, 2
MOSS Adam Alexander Guy	AEI504	Licensed Representative (Provisional Licence)	1, 4
NA Hao	BIG705	Licensed Representative (Provisional Licence)	1, 4, 9
NAN Feiyan	BGG972	Licensed Representative (Provisional Licence)	4
NANNEH Amir	BIC188	Licensed Representative (Provisional Licence)	1
NAVANI Sai Naren Jetha	BID247	Licensed Representative (Provisional Licence)	9
NG Man Yan	BIE094	Licensed Representative (Provisional Licence)	1
NG Chek Siang	BCI060	Licensed Representative (Provisional Licence)	1, 4
NG Kian Heng	AOJ160	Licensed Representative (Provisional Licence)	9
NG Mei Hang	BIG096	Licensed Representative (Provisional Licence)	1, 4, 9
NG Soo Choon	BIE098	Licensed Representative (Provisional Licence)	4
NG Yan Yan	BIE164	Licensed Representative (Provisional Licence)	1
NG Yuk Yi	BID283	Licensed Representative (Provisional Licence)	1, 4
NGAN Chun Pang	BIG851	Licensed Representative (Provisional Licence)	1, 2
NIE Shuoliang	AWX068	Licensed Representative (Provisional Licence)	1, 4, 6
NIU Zhuowen	BIG601	Licensed Representative (Provisional Licence)	1, 4
OLSTEIN Stephen Jeffery	BID599	Licensed Representative (Provisional Licence)	1, 4
ONISHI Shunsuke	BIC183	Licensed Representative (Provisional Licence)	1, 4
PARASRAMPURIA Gaurav	BIE654	Licensed Representative (Provisional Licence)	2, 5
PAREKH Bharat Nalinkant	BAR454	Licensed Representative (Provisional Licence)	4
PARK Hong Cheol	BEX842	Licensed Representative (Provisional Licence)	1
PECK Young Min	BID336	Licensed Representative (Provisional Licence)	9
PEIFFER Noemie Alize	BID249	Licensed Representative (Provisional Licence)	6
PHOU Christian David	BID239	Licensed Representative (Provisional Licence)	1
PONG Tat Fai	AMI213	Licensed Representative (Provisional Licence)	9
POON Yuk	BCA382	Licensed Representative (Provisional Licence)	4
POPEK David Paul	BIE936	Licensed Representative (Provisional Licence)	1, 4, 9
QIN Hao	BIC905	Licensed Representative (Provisional Licence)	9
QIN Hao	BID193	Licensed Representative (Provisional Licence)	1, 2
QIN Tian	BID504	Licensed Representative (Provisional Licence)	1, 4, 6
QIU Yujia	BID374	Licensed Representative (Provisional Licence)	6
QIU Zhonghao	BGM487	Licensed Representative (Provisional Licence)	1
RAH Sangdae	BBD963	Licensed Representative (Provisional Licence)	1
RAJAONARIVONY Maeva	BIG468	Licensed Representative (Provisional Licence)	1, 4
RAMEAU Kei	AZC549	Licensed Representative (Provisional Licence)	9
RAY Hung Ching	BIG235	Licensed Representative (Provisional Licence)	1, 6
RAY Hung Pang	BID045	Licensed Representative (Provisional Licence)	1
REN Anthony W	BIH515	Licensed Representative (Provisional Licence)	4



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
ROOTH Jean Jesper	BFY797	Licensed Representative (Provisional Licence)	1, 4
RUMBLE Stuart Paul	BIG604	Licensed Representative (Provisional Licence)	1, 4, 9
SEEWALD Michael, Rainer	BHY705	Licensed Representative (Provisional Licence)	10
SHANG Xiao	BIG870	Licensed Representative (Provisional Licence)	1, 6
SHARP Richard Anthony	AJL639	Licensed Representative (Provisional Licence)	1, 4
SHEN Xiaolei	BIE109	Licensed Representative (Provisional Licence)	4, 9
SHI Lei	BIE889	Licensed Representative (Provisional Licence)	1, 4
SHIN I-Lin	BIC597	Licensed Representative (Provisional Licence)	1, 4
SHUM Fuk Min	BID161	Licensed Representative (Provisional Licence)	1
SI Lu	BBB768	Licensed Representative (Provisional Licence)	1
SILVEY Christopher James	BIG126	Licensed Representative (Provisional Licence)	1
SIN Man Ho	BIE361	Licensed Representative (Provisional Licence)	1, 6
SINGH Aditya	AUP889	Licensed Representative (Provisional Licence)	1, 2
SMITH Adam Alexander	ANT189	Licensed Representative (Provisional Licence)	1
SMITH Stephen	BID322	Licensed Representative (Provisional Licence)	9
SO Tsz Yin	BID175	Licensed Representative (Provisional Licence)	10
SO Ying Hong, Calvin	BIG916	Licensed Representative (Provisional Licence)	1, 6
SOLIDUM Niko Angelo Paningbatan	BIH240	Licensed Representative (Provisional Licence)	1, 4
SOLOMONS Jarrad Brendon	BIH718	Licensed Representative (Provisional Licence)	1, 4, 9
SONG Lihua	AXE839	Licensed Representative (Provisional Licence)	1, 4
STENSKE Michael James	BID159	Licensed Representative (Provisional Licence)	9
SU Hui	BID890	Licensed Representative (Provisional Licence)	1
SU Tingjuan	BIE113	Licensed Representative (Provisional Licence)	1
SUN Ning	BID332	Licensed Representative (Provisional Licence)	9
SUN Yan	BIC310	Licensed Representative (Provisional Licence)	1, 2
SUN Yu	BID148	Licensed Representative (Provisional Licence)	1
SUN Yutong	BIC658	Licensed Representative (Provisional Licence)	1, 2
SZE Kam Ying	BID167	Licensed Representative (Provisional Licence)	1, 4
TABELI Naohiko	BHY363	Licensed Representative (Provisional Licence)	1, 4
TAM Pui Sze, Grace	BID748	Licensed Representative (Provisional Licence)	1, 2
TAN Hsien Jun, Brian	ALY372	Licensed Representative (Provisional Licence)	1, 4, 9
TAN Mu Rong	BID590	Licensed Representative (Provisional Licence)	1, 6
TAN Ruishen	BIE315	Licensed Representative (Provisional Licence)	1, 4, 6
TAO Cheng	BIE657	Licensed Representative (Provisional Licence)	2, 5
TEH Min Yee	AFW855	Licensed Representative (Provisional Licence)	4, 9
TIAM-LEE Rainier Jared Ayroso	BIC143	Licensed Representative (Provisional Licence)	1
TIN Chui Wa	BIG522	Licensed Representative (Provisional Licence)	2
TOKOYODA Toru	AZY615	Licensed Representative (Provisional Licence)	4, 9
TONG Kai Hei, Angela	BID400	Licensed Representative (Provisional Licence)	1, 2, 4, 5
TONG Pauline	AFK529	Licensed Representative (Provisional Licence)	1, 4
TOYOSAKI Arisa	BIG289	Licensed Representative (Provisional Licence)	1, 2
TSANG Fiona Siu Fong	BID690	Licensed Representative (Provisional Licence)	9
TSANG Kong Kiu, Balder	BIH023	Licensed Representative (Provisional Licence)	4, 9
TSE Catherine	BIG074	Licensed Representative (Provisional Licence)	1, 2
TSE Chi Ho	BIG076	Licensed Representative (Provisional Licence)	1, 2
TSE Wing Yee	BID679	Licensed Representative (Provisional Licence)	1, 4
TSENG Hsien Hsu	AVX017	Licensed Representative (Provisional Licence)	1, 4
TSOI Hiu Yeung	BIH535	Licensed Representative (Provisional Licence)	9
TSOI Kwok Chun	BID087	Licensed Representative (Provisional Licence)	1
TSUI Chun Ting	BIE097	Licensed Representative (Provisional Licence)	1, 2
TU Lei	BIE091	Licensed Representative (Provisional Licence)	1, 4
TU Ying	BIH719	Licensed Representative (Provisional Licence)	1
TUNG Yu Yam	BIE170	Licensed Representative (Provisional Licence)	4, 9
VAN BEEK Christiaan Lieven	BEL614	Licensed Representative (Provisional Licence)	1, 4

**ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2016**

CE Name	CE No.	Licence Type	Types of Regulated Activity
VAN DER SCHAFT Pieter	ADW623	Licensed Representative (Provisional Licence)	9
WAKIZAKI Emi	ANH732	Licensed Representative (Provisional Licence)	1, 6
WALLIS Shane Bernard	ANR608	Licensed Representative (Provisional Licence)	1
WAN Siu Yung	ARR913	Licensed Representative (Provisional Licence)	1
WANG Chen-hsiang	BIG701	Licensed Representative (Provisional Licence)	1
WANG Dai	BIG090	Licensed Representative (Provisional Licence)	1, 6
WANG Fei	BIH086	Licensed Representative (Provisional Licence)	9
WANG Huixin	BBR453	Licensed Representative (Provisional Licence)	1
WANG Lu	BID335	Licensed Representative (Provisional Licence)	1, 4
WANG Ping	BIG438	Licensed Representative (Provisional Licence)	1, 4
WANG Shihui	BIG680	Licensed Representative (Provisional Licence)	6
WANG Shujun	BIE631	Licensed Representative (Provisional Licence)	1, 4
WANG Yannan	BID497	Licensed Representative (Provisional Licence)	4
WANG Yao	BHZ686	Licensed Representative (Provisional Licence)	4
WANG Yi	BIH253	Licensed Representative (Provisional Licence)	1, 4, 9
WANG Yizhou	BIE387	Licensed Representative (Provisional Licence)	1, 6
WANG Yuqian	BIE760	Licensed Representative (Provisional Licence)	4
WANG Zhuo	BID808	Licensed Representative (Provisional Licence)	1, 4
WANG Zi	BIE874	Licensed Representative (Provisional Licence)	1, 6
WEE Yao Hui Joel	BIE426	Licensed Representative (Provisional Licence)	1
WEI Yangkun	BID176	Licensed Representative (Provisional Licence)	1, 4, 6
WEN Fan	BIG672	Licensed Representative (Provisional Licence)	1, 4, 9
WILSON Edward Ross	BIC906	Licensed Representative (Provisional Licence)	1
WONG Chi Lok	BEK843	Licensed Representative (Provisional Licence)	4
WONG Chi Yip	BIE423	Licensed Representative (Provisional Licence)	1
WONG Faat Chi	BID535	Licensed Representative (Provisional Licence)	1, 2
WONG Hiu Kwan	BIF173	Licensed Representative (Provisional Licence)	1, 4
WONG Ka Ming	AWP779	Licensed Representative (Provisional Licence)	1, 2, 9
WONG Ka Tsz	BID684	Licensed Representative (Provisional Licence)	9
WONG Wai Lap	APP233	Licensed Representative (Provisional Licence)	4, 9
WONG Wing Ki Winky	BID605	Licensed Representative (Provisional Licence)	1, 2
WONG Yan Chi, John	BIH006	Licensed Representative (Provisional Licence)	4
WONG Yin Teng, Nicole	BIG459	Licensed Representative (Provisional Licence)	4, 5, 9
WU Di	BID885	Licensed Representative (Provisional Licence)	1, 4, 6
WU Man	AWH055	Licensed Representative (Provisional Licence)	1, 2
WU Miao	BIE353	Licensed Representative (Provisional Licence)	4, 9
WU Yangbin	BID880	Licensed Representative (Provisional Licence)	1, 4
XIA Tenglei	BIH760	Licensed Representative (Provisional Licence)	2
XIAO Kaidi	BIH047	Licensed Representative (Provisional Licence)	1, 4, 6
XIE Huan Jessica	BIC428	Licensed Representative (Provisional Licence)	1, 6
XU Hantian	BIE314	Licensed Representative (Provisional Licence)	1
XU Nuo	BID508	Licensed Representative (Provisional Licence)	1, 4, 6
XU Zhi	BID035	Licensed Representative (Provisional Licence)	1, 4
XUE Bing	BHZ669	Licensed Representative (Provisional Licence)	1, 4, 6
XUE Ping	BIG682	Licensed Representative (Provisional Licence)	6
XUE Yang	AWK548	Licensed Representative (Provisional Licence)	9
YANG Fei	BEJ497	Licensed Representative (Provisional Licence)	4, 9
YANG Tianyi	BID345	Licensed Representative (Provisional Licence)	6
YANG Xiao	BID413	Licensed Representative (Provisional Licence)	1, 4, 9
YANG Yang	AZF235	Licensed Representative (Provisional Licence)	4, 9
YANG Yiyi	BIE111	Licensed Representative (Provisional Licence)	6
YAO Huili	BIC895	Licensed Representative (Provisional Licence)	9
YEUNG Chin Fai	BID614	Licensed Representative (Provisional Licence)	1, 2, 4, 5
YING Xiaotong	BID518	Licensed Representative (Provisional Licence)	1, 4, 6



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
YOU Shike	BIC870	Licensed Representative (Provisional Licence)	1, 6
YU Guoshen	BHR988	Licensed Representative (Provisional Licence)	9
YU Kwan Nam Gabriel	BIF124	Licensed Representative (Provisional Licence)	6
YU Liang	BID601	Licensed Representative (Provisional Licence)	4
YU Meng	APF778	Licensed Representative (Provisional Licence)	1, 4
YU Ming Yan	BID401	Licensed Representative (Provisional Licence)	1, 4, 9
YU Yin	BID593	Licensed Representative (Provisional Licence)	1, 6
YUE Richard Ka Ming	BIE101	Licensed Representative (Provisional Licence)	4, 9
ZHAI Daqi	BIE441	Licensed Representative (Provisional Licence)	6
ZHAN Yi	BIG057	Licensed Representative (Provisional Licence)	1, 2, 7
ZHANG Han	BIE642	Licensed Representative (Provisional Licence)	1, 2, 4
ZHANG Jiheng	BIC147	Licensed Representative (Provisional Licence)	1
ZHANG Lingfeng	BID271	Licensed Representative (Provisional Licence)	1
ZHANG Mengjiao	BIG465	Licensed Representative (Provisional Licence)	1, 4, 6
ZHANG Nan	BHN934	Licensed Representative (Provisional Licence)	4
ZHANG Shuheng	BID781	Licensed Representative (Provisional Licence)	4, 9
ZHANG Xinming	BID694	Licensed Representative (Provisional Licence)	1, 2
ZHANG Yixia	BID685	Licensed Representative (Provisional Licence)	10
ZHANG Yuer	BIE512	Licensed Representative (Provisional Licence)	1, 2
ZHANG Zhehang	BID297	Licensed Representative (Provisional Licence)	3
ZHAO Wenjun	BIG086	Licensed Representative (Provisional Licence)	1, 4
ZHENG Hongda	BIH547	Licensed Representative (Provisional Licence)	4
ZHENG Lihui	BIG918	Licensed Representative (Provisional Licence)	1, 6
ZHENG Lixia	BDQ700	Licensed Representative (Provisional Licence)	1, 2, 4
ZHU Qi	BIH729	Licensed Representative (Provisional Licence)	1, 4, 9
ZHU Xuhua	AUK284	Licensed Representative (Provisional Licence)	2, 5
ZHU Yanyin	BIH554	Licensed Representative (Provisional Licence)	1, 4
ADROGUE Ricardo	BIG054	Licensed Representative (Temporary Licence)	1, 4
ALLEN Trent Cameron	BFP178	Licensed Representative (Temporary Licence)	4
BALASUBRAMANIAM Venkatesh	BDT263	Licensed Representative (Temporary Licence)	4
BARUS Felicia Asrinanda	AUT955	Licensed Representative (Temporary Licence)	4
BEHERA Roshan Raj	ARP091	Licensed Representative (Temporary Licence)	1, 4
BELL James Andrew Keith	BIE099	Licensed Representative (Temporary Licence)	1, 4
BEVAN Richard	BFK559	Licensed Representative (Temporary Licence)	1, 2
BIRRELL David Andrew	AWF135	Licensed Representative (Temporary Licence)	1
BROWN Scott David	BIE338	Licensed Representative (Temporary Licence)	1, 4
CASTELLAN Steven	ARV908	Licensed Representative (Temporary Licence)	1
CHADHA Dushyant	BIE137	Licensed Representative (Temporary Licence)	1
CHEN Shou-Hui	BFO656	Licensed Representative (Temporary Licence)	1
CHEN Yang	BIC435	Licensed Representative (Temporary Licence)	1
CHENG Jiaqi	BIE148	Licensed Representative (Temporary Licence)	1, 2
CHIA Jackie Shu Min	BIG318	Licensed Representative (Temporary Licence)	1, 2
CHING Yi Edmund	AKU003	Licensed Representative (Temporary Licence)	4
CHO Jung Yong	BIG107	Licensed Representative (Temporary Licence)	1
CHOPRA Sameer	BAU420	Licensed Representative (Temporary Licence)	1, 4
CHOPRA Sameer	BAU420	Licensed Representative (Temporary Licence)	1, 4
CHUNG Jeehyun	BEX928	Licensed Representative (Temporary Licence)	1
DAWSON James	BCA004	Licensed Representative (Temporary Licence)	1
DE POULPIQUET DE BRESANVEL Olivier Yves Marie	BAV394	Licensed Representative (Temporary Licence)	1
DIDELOT Nicolas Mathieu	BHO975	Licensed Representative (Temporary Licence)	1
EZAWA Kota	BDY402	Licensed Representative (Temporary Licence)	4
GISH Steven Charles	BIG081	Licensed Representative (Temporary Licence)	1, 4
GLEESON David Luke	BDL878	Licensed Representative (Temporary Licence)	1, 4
GONZALES Emeterio III David	AAI265	Licensed Representative (Temporary Licence)	1, 4

**ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2016**

CE Name	CE No.	Licence Type	Types of Regulated Activity
GRAHAM Colin Walsh	BEC790	Licensed Representative (Temporary Licence)	4
GRASECK Elizabeth Lynn	BBQ720	Licensed Representative (Temporary Licence)	1
HAMBRO Evy Piers George	AOR313	Licensed Representative (Temporary Licence)	1, 4
HANDA Saurabh	BFA991	Licensed Representative (Temporary Licence)	4
HAZELL Deborah Anne	BID110	Licensed Representative (Temporary Licence)	1
HENDERSON James Alan	BID978	Licensed Representative (Temporary Licence)	1, 4
HERR Kathryn Jane	BHK246	Licensed Representative (Temporary Licence)	4
HILL Andrew Duncan	BCK617	Licensed Representative (Temporary Licence)	1, 4
HO Marcus Jian Yung	BID036	Licensed Representative (Temporary Licence)	1
HONGO Junichi	BHZ859	Licensed Representative (Temporary Licence)	1
HOPE Rupert Dickie	BHM098	Licensed Representative (Temporary Licence)	1, 4
HORIGUCHI Seiji	BEC557	Licensed Representative (Temporary Licence)	1, 2
HOSOI Katsumi	BID688	Licensed Representative (Temporary Licence)	4
JANG Young Woo	AGW609	Licensed Representative (Temporary Licence)	4
JAVELLANA Nicole Marie Fortune Tan	BFH781	Licensed Representative (Temporary Licence)	1
JENKINS Gareth William	AVG891	Licensed Representative (Temporary Licence)	4
KAROFISKY Robert B	ASX340	Licensed Representative (Temporary Licence)	1
KAYE Richard James	BID164	Licensed Representative (Temporary Licence)	1
KELLEY Shaun Clisby	BIE854	Licensed Representative (Temporary Licence)	1, 4
KIM Sungeun	BIE125	Licensed Representative (Temporary Licence)	4
KINOSHITA Yoshiyuki	BBL047	Licensed Representative (Temporary Licence)	1, 4
KIT Wei Zheng	BEB420	Licensed Representative (Temporary Licence)	4
KLUGHERZ Thomas Charles	BID168	Licensed Representative (Temporary Licence)	1, 4
KOENDERS Dale Johannes	BFD868	Licensed Representative (Temporary Licence)	4
KONG Robert Patrick	BDQ917	Licensed Representative (Temporary Licence)	4
KONISHI Keisuke	BIE917	Licensed Representative (Temporary Licence)	1, 6
KORSCHULT Kai Folker	BFB232	Licensed Representative (Temporary Licence)	1, 4
KUSNADI Veronica	BCN530	Licensed Representative (Temporary Licence)	1
LEAHY Timothy James	AWB788	Licensed Representative (Temporary Licence)	1
LEE Seung Hyun	AMA939	Licensed Representative (Temporary Licence)	4
LEE Shin Yin	AWD039	Licensed Representative (Temporary Licence)	4
LESNE David Laurent	AXE221	Licensed Representative (Temporary Licence)	4
LI Jing	AOV618	Licensed Representative (Temporary Licence)	1, 2
LIE Vivi Handoyo	BEN583	Licensed Representative (Temporary Licence)	4
LIM Johan Yoeng Unn	BBS389	Licensed Representative (Temporary Licence)	1
LIN Li-Chun	BIG303	Licensed Representative (Temporary Licence)	4
LIN Yongwei Caleb	BID697	Licensed Representative (Temporary Licence)	1, 2
LOW Audrey Ying Jun	BFI437	Licensed Representative (Temporary Licence)	1
LUDLAM Christopher David	BGV479	Licensed Representative (Temporary Licence)	1
LY VATH WARD Chantana	BID169	Licensed Representative (Temporary Licence)	1
MA Beijia	BID097	Licensed Representative (Temporary Licence)	1, 4
MARTIN Adam Hugh	BEV776	Licensed Representative (Temporary Licence)	1
MEERS William Neame	BID388	Licensed Representative (Temporary Licence)	1
MICHALIK Thorsten	AJK533	Licensed Representative (Temporary Licence)	1, 4
MIHALICK David Martin	BID984	Licensed Representative (Temporary Licence)	1, 4
MOOKIM Sanjay Kumar	AUW976	Licensed Representative (Temporary Licence)	1, 4
MORAN Seth James Edward	BBP361	Licensed Representative (Temporary Licence)	1
MOREEN Gabriel Philip	BIE853	Licensed Representative (Temporary Licence)	1, 4
Narain Aditya	BEG544	Licensed Representative (Temporary Licence)	4
NATCHARIAN Matthew Paul	BIG055	Licensed Representative (Temporary Licence)	1, 4
NEELE Jacob Marinus	BGL189	Licensed Representative (Temporary Licence)	1, 4
NG Stew Hoon	BFJ976	Licensed Representative (Temporary Licence)	1, 2
NISHIMURA Rika	BHB795	Licensed Representative (Temporary Licence)	1
PARK Sung Mee	BFT696	Licensed Representative (Temporary Licence)	4



ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2016

CE Name	CE No.	Licence Type	Types of Regulated Activity
PASQUALE Michael David	BIC448	Licensed Representative (Temporary Licence)	1
PIDCOCK Jason John	BHZ823	Licensed Representative (Temporary Licence)	1
PINEDA Arthur San Diego	AGL866	Licensed Representative (Temporary Licence)	4
PODRUG Frane	BDH801	Licensed Representative (Temporary Licence)	1, 4
PORTILLO Joseph Charles	AXD722	Licensed Representative (Temporary Licence)	1
PRANOTO Henry Sulisty	BHO644	Licensed Representative (Temporary Licence)	1
PROJIT Chatterjee	BID889	Licensed Representative (Temporary Licence)	1, 4
QUOIREZ Lorraine	BIE680	Licensed Representative (Temporary Licence)	4
RAMJEE Shaniel	BFS335	Licensed Representative (Temporary Licence)	4
REDBOURN Paul Robert	AFQ906	Licensed Representative (Temporary Licence)	1
ROLFE Roland Christopher	AVI388	Licensed Representative (Temporary Licence)	1
RUANGRIT Kraingkrai	ATI757	Licensed Representative (Temporary Licence)	1
SCANDELLA Jean-Louis Patrick	AUF111	Licensed Representative (Temporary Licence)	1, 4
SCHACHER Mitchell Allen	BIC460	Licensed Representative (Temporary Licence)	1
SCHARF Seth Douglas	BIE334	Licensed Representative (Temporary Licence)	1
SCHINDLER Nathaniel Holmes	BIG463	Licensed Representative (Temporary Licence)	1, 4
SEKI Atsushi	BIB389	Licensed Representative (Temporary Licence)	4
SEMARK Richard Mark	BIG719	Licensed Representative (Temporary Licence)	1
SHAH Amish Chandrakant	AUW978	Licensed Representative (Temporary Licence)	1, 4
SILVER Benjamin Wolf	BIE150	Licensed Representative (Temporary Licence)	1, 4
SINGH Puneet	BCG408	Licensed Representative (Temporary Licence)	4
SITTON Jose Daniel	AMI233	Licensed Representative (Temporary Licence)	1, 4
SOON Yin Moi Desmond	ARH222	Licensed Representative (Temporary Licence)	1
STAFFORD Melvyn	BIE092	Licensed Representative (Temporary Licence)	1
STIMPSON Andrew David	BGM799	Licensed Representative (Temporary Licence)	1, 4
STOCK Michael William Anderton	BHR752	Licensed Representative (Temporary Licence)	1, 4, 6
SWAMINATHAN Anand	AUW975	Licensed Representative (Temporary Licence)	1, 4
TAKAKU Hirofumi	AXI172	Licensed Representative (Temporary Licence)	1, 2
TAKEDA Marina	BHJ816	Licensed Representative (Temporary Licence)	1, 2
TAN Adrian Ying Chuan	BBU789	Licensed Representative (Temporary Licence)	1
TAN Wei Ning Rachael	BIE894	Licensed Representative (Temporary Licence)	4
TANG Yin Kin Polo	AZW790	Licensed Representative (Temporary Licence)	4
TIWARI Atul Kumar	BDT253	Licensed Representative (Temporary Licence)	4
TROMAN Mark Antony	BAJ469	Licensed Representative (Temporary Licence)	1, 4
TSUI Terence Mun-sion	BDD866	Licensed Representative (Temporary Licence)	1
UNAL Gokhan	BHG359	Licensed Representative (Temporary Licence)	1
VALENSISE Marino	BGC385	Licensed Representative (Temporary Licence)	1, 4
VINE Michael James	BHW670	Licensed Representative (Temporary Licence)	10
WALSH Paul Richard	BAF529	Licensed Representative (Temporary Licence)	1
WATANABE Ritsuo	BAZ846	Licensed Representative (Temporary Licence)	1, 4
WEEKS Charles Anthony Jolyon	BIG056	Licensed Representative (Temporary Licence)	1, 4
WILKINS Clarke Harold	BEN577	Licensed Representative (Temporary Licence)	4
WILSON Philipp Andrew	BHB791	Licensed Representative (Temporary Licence)	1
WITTET Alistair Patrick	BID171	Licensed Representative (Temporary Licence)	4
WON Wee Yih	BHR599	Licensed Representative (Temporary Licence)	4
WONG Bennie Chiu Kit	BEK754	Licensed Representative (Temporary Licence)	1
WONG Wee Soon Nelson	BID969	Licensed Representative (Temporary Licence)	1, 2
WOOLFORD Craig John	BFD306	Licensed Representative (Temporary Licence)	4
YOSHIDA Arifumi	BEA842	Licensed Representative (Temporary Licence)	4
YUEN Yan Chi	BIG336	Licensed Representative (Temporary Licence)	5
YUHARA Kaori	BHZ852	Licensed Representative (Temporary Licence)	1
ZAMIR Omar	BAP084	Licensed Representative (Temporary Licence)	1
ZHONG Tiantian	AZB127	Licensed Representative (Temporary Licence)	1, 2