

**VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2020**

| CE Name   | CE No. | Licence Type            | Types of Regulated Activity Added | Types of Regulated Activity Removed |
|---|--------|-------------------------|-----------------------------------|-------------------------------------|
| Ample Capital Limited                             | AFZ323 | Licensed Corporation    | 1                                 |                                     |
| BNP PARIBAS ASSET MANAGEMENT ASIA LIMITED         | BNS488 | Licensed Corporation    |                                   | 5                                   |
| Caelus Asset Management Limited                   | BOT895 | Licensed Corporation    | 4                                 |                                     |
| CN First International Futures Limited            | BBH027 | Licensed Corporation    | 1, 4, 5                           |                                     |
| Delta Asia Securities Limited                     | AAW265 | Licensed Corporation    |                                   | 3                                   |
| Dignari Capital Partners (HK) Limited             | BDE251 | Licensed Corporation    | 1, 4                              |                                     |
| EAI SECURITIES LIMITED                            | BMZ403 | Licensed Corporation    | 4, 9                              |                                     |
| Intermediate Capital Asia Pacific Limited         | AHF467 | Licensed Corporation    | 1                                 |                                     |
| JZ Asset Management Company Limited               | BNY618 | Licensed Corporation    | 4                                 |                                     |
| OTS Capital Management Limited                    | BEL626 | Licensed Corporation    | 1                                 |                                     |
| SINOIF Asset Management (Hong Kong) Co. Limited   | BOS872 | Licensed Corporation    | 2                                 |                                     |
| Standard Chartered Securities (Hong Kong) Limited | AAF212 | Licensed Corporation    |                                   | 6                                   |
| VMS Securities Limited                            | AAC621 | Licensed Corporation    |                                   | 4                                   |
| Yaw Kai Financial Group Limited                   | BNJ747 | Licensed Corporation    | 9                                 |                                     |
| Bank of Nova Scotia, The                          | AVE909 | Registered Institution  |                                   | 6                                   |
| BONE Andrew John                                  | BLN439 | Licensed Representative |                                   | 1                                   |
| BREL Maxime                                       | BFZ187 | Licensed Representative | 9                                 | 1, 2                                |
| CHAN Ho Kin                                       | ANT708 | Licensed Representative |                                   | 3, 4, 5                             |
| CHAN Ho Ming                                      | ATS071 | Licensed Representative | 2                                 |                                     |
| CHAN Ka Ho  | BLY764 | Licensed Representative | 4                                 |                                     |
| CHAN Ka Kin                                       | BHS185 | Licensed Representative |                                   | 9                                   |
| CHAN Ka Ming                                      | BEC229 | Licensed Representative | 2                                 |                                     |
| CHAN Po Lung                                      | BNG645 | Licensed Representative | 2                                 |                                     |
| CHAN Sheung Yin Jobi                              | AOR779 | Licensed Representative |                                   | 2                                   |
| CHAN Shuk Yee Stephanie                           | ARD372 | Licensed Representative | 4                                 |                                     |
| CHAN Siu Wing                                     | ACK807 | Licensed Representative | 1                                 |                                     |
| CHAN Sze Wei, Eric                                | ALG205 | Licensed Representative | 4, 9                              |                                     |
| CHAN Tak Hong                                     | BHX406 | Licensed Representative |                                   | 1, 2, 4                             |
| CHAN Tat Chung                                    | BIQ532 | Licensed Representative |                                   | 4                                   |
| CHAN Wai Yu                                       | BHH219 | Licensed Representative |                                   | 1                                   |
| CHAN Wing Ki, Nicole                              | BCN236 | Licensed Representative | 9                                 |                                     |
| CHAN Wing Sum                                     | ASY722 | Licensed Representative |                                   | 2                                   |
| CHAN Yue  | ARE773 | Licensed Representative | 4                                 |                                     |
| CHANG Hoi Yan, Vivian                             | AEE778 | Licensed Representative | 1, 2                              |                                     |
| CHANG Julie America                               | BFP514 | Licensed Representative | 1                                 | 9                                   |
| CHANG Kai Kuan                                    | BKE812 | Licensed Representative |                                   | 2, 4                                |
| CHEN Che  | BCB567 | Licensed Representative |                                   | 1                                   |
| CHEN Chuang                                       | BBN472 | Licensed Representative |                                   | 1                                   |
| CHEN Qijian                                       | BNH103 | Licensed Representative | 7                                 |                                     |
| CHEN Rupeng                                       | BNZ819 | Licensed Representative | 4                                 |                                     |
| CHEN Yibiao                                       | AXN055 | Licensed Representative |                                   | 4                                   |
| CHEN Yiqing                                       | AWE362 | Licensed Representative |                                   | 1                                   |
| CHEN Yuguo  | BFY404 | Licensed Representative | 6                                 |                                     |
| CHEN Zhang  | BNR831 | Licensed Representative | 4, 9                              | 6                                   |
| CHENEVIER Antoine Philippe Jean Marie             | BMZ545 | Licensed Representative | 9                                 | 1, 2                                |
| CHENG Chak Nam                                    | ALZ880 | Licensed Representative | 4, 9                              |                                     |
| CHENG Jie   | BCZ612 | Licensed Representative |                                   | 1                                   |
| CHENG Suet Kwan Shirley                           | BCK468 | Licensed Representative | 4                                 |                                     |
| CHENG Wei Chi Edlyn                               | BEF807 | Licensed Representative | 1, 4                              |                                     |
| CHEUNG Chun Mei                                   | BLL105 | Licensed Representative | 2                                 |                                     |
| CHEUNG Chung Yiu                                  | AEF749 | Licensed Representative | 1                                 | 3                                   |
| CHEUNG Johnson                                    | ABI721 | Licensed Representative |                                   | 9                                   |
| CHEUNG Ka Kee, Keith                              | AD1133 | Licensed Representative |                                   | 3                                   |
| CHEUNG Lik Ping                                   | AFJ470 | Licensed Representative | 9                                 |                                     |
| CHIANG Pei-Ju                                     | AZY034 | Licensed Representative | 2                                 |                                     |
| CHIU Lawrence Albert Hong Yui                     | AYF580 | Licensed Representative | 4                                 |                                     |
| CHOI Joon Ho                                      | ARJ837 | Licensed Representative |                                   | 4, 5                                |

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| CE Name                              | CE No. | License Type            | Types of Regulated Activity Added | Types of Regulated Activity Removed |
|--------------------------------------|--------|-------------------------|-----------------------------------|-------------------------------------|
| CHOI Ka Ming                         | AYC999 | Licensed Representative | 4, 9                              |                                     |
| CHOI Man, Raymond                    | AXK789 | Licensed Representative |                                   | 1                                   |
| CHONG Lok Man                        | ASF220 | Licensed Representative |                                   | 4                                   |
| CHONG Yuk Ting                       | BEJ355 | Licensed Representative | 9                                 |                                     |
| CHOY Chak Po                         | BJL730 | Licensed Representative | 4, 6, 9                           | 1                                   |
| CHU Kar Son                          | AUZ444 | Licensed Representative | 1                                 |                                     |
| CHU Ming Sun                         | APR825 | Licensed Representative | 2                                 |                                     |
| CHU Wing Chun                        | BBE991 | Licensed Representative |                                   | 1                                   |
| CHUANG Mei                           | AJK953 | Licensed Representative | 4                                 |                                     |
| CHUI Lick Ko, Nicholas               | AXB053 | Licensed Representative | 1, 4                              |                                     |
| CHUNG Da Young                       | BNH707 | Licensed Representative | 9                                 |                                     |
| CLARK Kelly Kent                     | ARK432 | Licensed Representative | 7                                 | 9                                   |
| CORREA FRAGA DE FREITAS Claudio Luis | BLZ760 | Licensed Representative |                                   | 1, 4                                |
| CUI Xueying                          | BAR201 | Licensed Representative | 1                                 |                                     |
| DHIR Poonam                          | AVH305 | Licensed Representative |                                   | 4, 5                                |
| DICKINSON Sheila                     | ANS128 | Licensed Representative | 9                                 |                                     |
| DONG Chunchun                        | BBZ411 | Licensed Representative | 2                                 |                                     |
| FAN Kam Ho                           | AMG966 | Licensed Representative |                                   | 3, 4                                |
| FAN Yanjin                           | AGP744 | Licensed Representative | 9                                 |                                     |
| FANG Jiaying                         | BCD190 | Licensed Representative | 4                                 |                                     |
| FANG Yanlai                          | BDA475 | Licensed Representative |                                   | 4, 9                                |
| FANG Yuan                            | BLI961 | Licensed Representative |                                   | 6                                   |
| FENG Dafu                            | BFN926 | Licensed Representative |                                   | 2                                   |
| FONG Po                              | BMW084 | Licensed Representative | 5, 9                              |                                     |
| FU Hoi Yeung                         | BJC220 | Licensed Representative |                                   | 2                                   |
| FUNG Yim Hon, Johnny                 | ACC655 | Licensed Representative | 9                                 | 1                                   |
| GAO Xiong                            | BNS044 | Licensed Representative | 4                                 |                                     |
| GAO Yalin                            | BNS318 | Licensed Representative | 2                                 |                                     |
| GE Chen                              | BGQ236 | Licensed Representative | 1, 4, 6                           | 10                                  |
| GE Xueting                           | BOS651 | Licensed Representative |                                   | 6                                   |
| HO King Shiu, Nelson                 | AGO785 | Licensed Representative | 4                                 |                                     |
| HO Mei Lok                           | AMY548 | Licensed Representative | 4                                 | 2, 3                                |
| HO Wai Lee                           | ASK885 | Licensed Representative | 2                                 |                                     |
| HO Winston Hon Tao                   | BDK999 | Licensed Representative | 3                                 |                                     |
| HU Chao                              | BLZ388 | Licensed Representative | 4                                 | 9                                   |
| HUANG Chao                           | ASF493 | Licensed Representative |                                   | 1                                   |
| HUANG Chenjie                        | BPM346 | Licensed Representative | 4, 9                              |                                     |
| HUANG Xin                            | BEK861 | Licensed Representative |                                   | 2                                   |
| HUANG Yu                             | ATI173 | Licensed Representative |                                   | 4                                   |
| HUANG Yuelun                         | BNV533 | Licensed Representative | 6                                 |                                     |
| HUI Chi Kong, Joseph                 | AEZ713 | Licensed Representative | 9                                 |                                     |
| HUI Tsz Chun                         | BNI600 | Licensed Representative | 4, 9                              |                                     |
| HUNG Kai Wah                         | AAZ491 | Licensed Representative |                                   | 3                                   |
| HUNG Leung                           | AFE042 | Licensed Representative | 1                                 | 9                                   |
| HUNG Wan Man                         | BGZ149 | Licensed Representative | 2                                 |                                     |
| HYDE Nicholas J                      | BMZ490 | Licensed Representative | 4                                 |                                     |
| IP Kar Kok                           | ARA152 | Licensed Representative | 3                                 |                                     |
| JIA Weimian                          | BIK043 | Licensed Representative | 1                                 |                                     |
| JIN Zhe                              | BDY094 | Licensed Representative | 4, 9                              | 1                                   |
| KANG Lei                             | BMK459 | Licensed Representative | 6                                 |                                     |
| KONG Pii Sung Philip                 | BNT057 | Licensed Representative |                                   | 2                                   |
| KWAN Po Kuen, Joyce                  | ABC588 | Licensed Representative |                                   | 1                                   |
| KWOK Ka Shing                        | BOP314 | Licensed Representative | 4                                 |                                     |
| KWOK Siu Ching                       | BNU021 | Licensed Representative |                                   | 9                                   |
| KWOK Wing Yuet                       | BOD533 | Licensed Representative | 1                                 |                                     |
| KWOK Ying Cheuk                      | AKU150 | Licensed Representative |                                   | 4, 9                                |
| KWONG Ka Leung                       | BGB944 | Licensed Representative | 4                                 | 6                                   |

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| CE Name               | CE No. | License Type            | Types of Regulated Activity Added | Types of Regulated Activity Removed |
|-----------------------|--------|-------------------------|-----------------------------------|-------------------------------------|
| LAI Iris Chin Yan     | BAU634 | Licensed Representative |                                   | 1, 4                                |
| LAI Yiu Ting          | BHW792 | Licensed Representative | 5                                 |                                     |
| LAM Cheuk Hin         | BJS893 | Licensed Representative | 3                                 |                                     |
| LAM Hong Yu           | BOC005 | Licensed Representative | 2                                 |                                     |
| LAM Royan             | AFX839 | Licensed Representative | 4                                 |                                     |
| LAM Tsz Leung         | BJS144 | Licensed Representative |                                   | 6                                   |
| LAU Chi Yung          | AOY348 | Licensed Representative | 5                                 |                                     |
| LAU Ho Fung           | AMW835 | Licensed Representative |                                   | 4                                   |
| LAU Ka Pan            | AXS397 | Licensed Representative | 9                                 |                                     |
| LAU Ka Yu             | BGL391 | Licensed Representative |                                   | 2, 4                                |
| LAU On Wah            | AAD083 | Licensed Representative |                                   | 1                                   |
| LAU Ying Tung         | ATD665 | Licensed Representative | 9                                 |                                     |
| LAW Wing Yin          | AYI484 | Licensed Representative | 9                                 | 2                                   |
| LEE Ho Him            | BCJ103 | Licensed Representative | 1, 2                              |                                     |
| LEE Ka Ki             | AVT065 | Licensed Representative | 4                                 | 2                                   |
| LEE Kar Ming, Kenneth | AED932 | Licensed Representative | 6                                 |                                     |
| LEE Shiu Ki           | AWC496 | Licensed Representative |                                   | 4                                   |
| LEE Yin Han           | AWX947 | Licensed Representative |                                   | 2                                   |
| LEE Yuk Kei           | APG884 | Licensed Representative | 9                                 |                                     |
| LEUNG Shing Wai       | ACZ462 | Licensed Representative |                                   | 1, 2                                |
| LEUNG Wai Kei         | ANQ085 | Licensed Representative | 2                                 |                                     |
| LEUNG Yan Ki          | BNT781 | Licensed Representative |                                   | 2                                   |
| LI April Qingnan      | AZR336 | Licensed Representative | 4                                 |                                     |
| LI Chun Kit, Joseph   | ALU441 | Licensed Representative | 2                                 |                                     |
| LI Hao                | AWZ990 | Licensed Representative |                                   | 1                                   |
| LI Hoi                | BBR401 | Licensed Representative |                                   | 2, 4                                |
| LI Jian               | BFU979 | Licensed Representative | 1                                 | 4, 9                                |
| LI Po Yi              | AWQ112 | Licensed Representative |                                   | 2, 5, 9                             |
| LI Qianwei            | BEI843 | Licensed Representative | 4                                 |                                     |
| LI Ruoran             | BPF761 | Licensed Representative | 9                                 |                                     |
| LI Sai Hung           | BKT393 | Licensed Representative |                                   | 9                                   |
| LI Shuo               | BCY584 | Licensed Representative | 4                                 |                                     |
| LI Tiantian           | BGI747 | Licensed Representative | 2                                 |                                     |
| LI Yue                | BGR292 | Licensed Representative | 9                                 |                                     |
| LI Zhuoqing           | BNJ129 | Licensed Representative | 9                                 | 1                                   |
| LIU Cham Yin          | BEF801 | Licensed Representative | 9                                 |                                     |
| LIU Cheng-Yi          | BBD532 | Licensed Representative |                                   | 9                                   |
| LIU Hongyu            | BHO167 | Licensed Representative | 1                                 |                                     |
| LIU Li                | AVR897 | Licensed Representative | 6                                 |                                     |
| LIU Shen              | BMW835 | Licensed Representative |                                   | 1                                   |
| LIU Sing Chi          | APX096 | Licensed Representative |                                   | 2                                   |
| LIU Wenjiao           | BJE604 | Licensed Representative | 2                                 |                                     |
| LIU Yan               | ARI569 | Licensed Representative | 2, 9                              |                                     |
| LO Cheuk Yee, Helen   | ANA705 | Licensed Representative |                                   | 2, 5                                |
| LO Chia-Chen          | ARG670 | Licensed Representative | 4, 9                              |                                     |
| LO Ching Kong         | BFD628 | Licensed Representative |                                   | 4, 9                                |
| LO Ning Yue, Sam      | ASY867 | Licensed Representative | 4                                 |                                     |
| LU Junyi              | BJA751 | Licensed Representative | 4                                 |                                     |
| LU Xinliang           | AQM135 | Licensed Representative | 4                                 |                                     |
| LU Yuan               | BEZ159 | Licensed Representative | 1                                 |                                     |
| LUAN Qian             | BPK584 | Licensed Representative | 9                                 | 1                                   |
| LUI Ho Ming, Paul     | ACK409 | Licensed Representative | 1                                 |                                     |
| LUK Mun Tak           | BNS686 | Licensed Representative |                                   | 9                                   |
| LUO Chendi            | BGU665 | Licensed Representative |                                   | 2, 5                                |
| LUO Hankun            | BMH148 | Licensed Representative | 9                                 | 1, 2                                |
| MAK Ka Chun           | BPS633 | Licensed Representative | 4                                 |                                     |
| MAK Ka Sing           | AFA762 | Licensed Representative |                                   | 1                                   |

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| CE Name                        | CE No. | Licence Type            | Types of Regulated Activity Added | Types of Regulated Activity Removed |
|--------------------------------|--------|-------------------------|-----------------------------------|-------------------------------------|
| MENG Yunke                     | BPI936 | Licensed Representative | 1                                 | 9                                   |
| MIRONENKO Aleksey              | BAV577 | Licensed Representative | 9                                 | 1                                   |
| NG Fung Lam                    | ABP956 | Licensed Representative |                                   | 2                                   |
| NG Ka Wai                      | APO972 | Licensed Representative | 9                                 |                                     |
| NG Mei Kuen, Vivian            | AEK109 | Licensed Representative | 2                                 |                                     |
| NG Ping Kin                    | BLL568 | Licensed Representative |                                   | 2, 9                                |
| NG Siu Wai                     | AYD102 | Licensed Representative |                                   | 4                                   |
| NG Suet Man                    | AEK106 | Licensed Representative |                                   | 2, 3                                |
| NG Ting Cheong                 | BEQ321 | Licensed Representative |                                   | 1, 2                                |
| NG Wing Fai                    | AJD666 | Licensed Representative | 6                                 |                                     |
| NG Yuen Ki                     | BFB096 | Licensed Representative | 1, 4                              |                                     |
| PAN Candice                    | ALU600 | Licensed Representative | 4                                 |                                     |
| PANG Ka Kon, Stephen           | ACW359 | Licensed Representative | 2                                 |                                     |
| PARK Bum Chul                  | BOG746 | Licensed Representative | 6                                 |                                     |
| PEI Yunbo                      | BNB940 | Licensed Representative |                                   | 9                                   |
| PENG An                        | BOH787 | Licensed Representative | 9                                 |                                     |
| PENG Wensheng                  | ARI892 | Licensed Representative |                                   | 1                                   |
| PERERA Errol Alistair Devindra | BDR321 | Licensed Representative | 2, 7                              |                                     |
| PUN Man Fung                   | BPK757 | Licensed Representative | 2                                 |                                     |
| QI Tingting                    | ANH044 | Licensed Representative | 1                                 |                                     |
| QIN Hao                        | BID193 | Licensed Representative | 6                                 |                                     |
| RAMANATHAN Rajeev              | BPS178 | Licensed Representative | 4                                 |                                     |
| RONG Baiding                   | AUJ708 | Licensed Representative | 9                                 |                                     |
| SEETO Siu Hong                 | BHC305 | Licensed Representative |                                   | 4, 9                                |
| SHANG Xiao                     | BIG870 | Licensed Representative | 4                                 |                                     |
| SHI Yu                         | AOX368 | Licensed Representative | 9                                 |                                     |
| SIM Rick Man                   | BNF965 | Licensed Representative | 4, 5                              |                                     |
| SNAITH Michael Lachman         | AJ329  | Licensed Representative | 4                                 |                                     |
| SO Kin                         | AID232 | Licensed Representative | 2                                 | 1, 2                                |
| SONG Ziyi                      | ANT825 | Licensed Representative | 9                                 | 6                                   |
| SZE Hoi Yan, Selina            | AQD955 | Licensed Representative |                                   | 4                                   |
| SZE Lam Lam                    | AQR414 | Licensed Representative |                                   | 9                                   |
| TAN Yifan                      | BLT958 | Licensed Representative |                                   | 1, 2                                |
| TANG Kwan Wai                  | AOX764 | Licensed Representative | 9                                 | 4                                   |
| TANG Rui                       | AXC394 | Licensed Representative | 1                                 |                                     |
| TENG Wai Li                    | BOK328 | Licensed Representative |                                   | 4                                   |
| TONG Hang Yan                  | BEO229 | Licensed Representative | 9                                 |                                     |
| TONG Tsz Chun                  | ATS073 | Licensed Representative |                                   | 1                                   |
| TSANG Lei Sin                  | BNH617 | Licensed Representative | 9                                 |                                     |
| TSANG Yung Fat                 | BJX769 | Licensed Representative | 1, 2, 4                           |                                     |
| TSE Ying Kin                   | AXV656 | Licensed Representative | 3                                 |                                     |
| TSOI Fai Tin, Andes            | ABN399 | Licensed Representative |                                   | 4, 9                                |
| TSUI Tsun Ying, Eva            | AZQ388 | Licensed Representative | 9                                 | 1                                   |
| UNSAL Salih                    | AZU989 | Licensed Representative |                                   | 2                                   |
| WAN Yuk Wa                     | BJL666 | Licensed Representative | 1                                 |                                     |
| WANG Bixuan                    | BND228 | Licensed Representative | 6                                 | 4                                   |
| WANG Edwin Meng Bai            | BMX625 | Licensed Representative | 2                                 |                                     |
| WANG Kenneth Chuan             | AHU775 | Licensed Representative |                                   | 1, 4                                |
| WANG Qi                        | BHB949 | Licensed Representative | 4                                 | 2                                   |
| WANG Rulin                     | BGJ256 | Licensed Representative | 4                                 |                                     |
| WANG Yanni                     | BNH166 | Licensed Representative |                                   | 4                                   |
| WANG Yao                       | BHZ686 | Licensed Representative | 9                                 |                                     |
| WEI Wang-Li                    | BNE447 | Licensed Representative |                                   | 5                                   |
| WEN Qingyuan                   | BOL383 | Licensed Representative | 1                                 |                                     |
| WONG Cheuk Wing, Daisy         | BFK315 | Licensed Representative |                                   | 4                                   |
| WONG Chun Mui                  | BGI640 | Licensed Representative |                                   | 1                                   |
| WONG Chun Tung, Anthony        | AQJ979 | Licensed Representative |                                   | 4                                   |

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|-------------------------|--------|---|-----------------------------------|-------------------------------------|
| WONG Horg Wang, Howard  | ADV962 | Licensed Representative                       | 9                                 |                                     |
| WONG Ka Wai, Kavi       | ALQ402 | Licensed Representative                       | 1                                 |                                     |
| WONG On Yiu             | BOL123 | Licensed Representative                       | 4, 5                              |                                     |
| WONG Sze Sze            | AQR527 | Licensed Representative                       |                                   | 1                                   |
| WONG Tsang Yin          | ACA835 | Licensed Representative                       | 9                                 |                                     |
| WONG Tung Yuen          | BHD388 | Licensed Representative                       | 6                                 |                                     |
| WONG Wai Chi            | BMR056 | Licensed Representative                       | 2                                 |                                     |
| WONG Yik Hung, Elsa     | AWI792 | Licensed Representative                       |                                   | 1, 4                                |
| WONG Yui Ho             | AOR998 | Licensed Representative                       | 1, 2                              | 9                                   |
| WU Charles Qian         | BEO731 | Licensed Representative                       | 4, 9                              | 1, 6                                |
| WU Nan                  | BGI309 | Licensed Representative                       |                                   | 6                                   |
| WU Yufei                | BFY120 | Licensed Representative                       | 9                                 | 1, 4                                |
| XIE Haituo              | BOD009 | Licensed Representative                       | 4, 9                              |                                     |
| XIE Yuhong              | BLR085 | Licensed Representative                       | 2                                 |                                     |
| XU Pengbiao             | ATW741 | Licensed Representative                       |                                   | 2                                   |
| YAN Tianyi              | BPT623 | Licensed Representative                       | 1                                 |                                     |
| YANG Meng               | BJP089 | Licensed Representative                       | 4, 9                              | 10                                  |
| YAU Chung Tak, Atak     | AEK472 | Licensed Representative                       | 9                                 |                                     |
| YE Haodi                | BCC156 | Licensed Representative                       | 6                                 |                                     |
| YE Zhijian              | BHS216 | Licensed Representative                       | 4                                 |                                     |
| YEUNG Hoi Ki Isabel     | BNH084 | Licensed Representative                       | 3                                 |                                     |
| YI Xingxing             | BGC842 | Licensed Representative                       | 9                                 |                                     |
| YIP Chin Hong           | APP546 | Licensed Representative                       | 4                                 |                                     |
| YIU Chun Lung           | AZG934 | Licensed Representative                       | 4                                 |                                     |
| YU Clive                | BIB443 | Licensed Representative                       | 4, 5, 7                           |                                     |
| YU Tsz Kam              | AXO649 | Licensed Representative                       | 4                                 |                                     |
| YU Xiangzhi             | BOW433 | Licensed Representative                       | 9                                 |                                     |
| YUAN Aaron              | BEH954 | Licensed Representative                       |                                   | 4                                   |
| YUAN Chi                | ATL424 | Licensed Representative                       | 2                                 | 4, 9                                |
| YUEN Ching Yiu          | BHQ072 | Licensed Representative                       | 9                                 | 1, 2, 5                             |
| YUN Tsz Chun            | BOH294 | Licensed Representative                       | 3                                 |                                     |
| ZENG Qingpei            | BPG558 | Licensed Representative                       | 4                                 |                                     |
| ZHAN Yueying            | BNI774 | Licensed Representative                       |                                   | 6                                   |
| ZHANG Hao               | BMK619 | Licensed Representative                       | 4                                 | 6                                   |
| ZHANG Jinsong           | BDF218 | Licensed Representative                       | 2                                 |                                     |
| ZHANG Linnan            | BNL378 | Licensed Representative                       | 4                                 |                                     |
| ZHANG Qin               | AYA188 | Licensed Representative                       | 1, 4                              |                                     |
| ZHANG Wenlang           | BFE988 | Licensed Representative                       | 1                                 |                                     |
| ZHANG Yi                | BNR542 | Licensed Representative                       | 9                                 | 4, 9                                |
| ZHANG Yijun             | BDA073 | Licensed Representative                       |                                   | 1                                   |
| ZHANG Yongcheng         | BNO698 | Licensed Representative                       | 9                                 |                                     |
| ZHANG Zhang             | BJI580 | Licensed Representative                       | 9                                 | 1                                   |
| ZHAO Yue                | BKA711 | Licensed Representative                       | 5                                 |                                     |
| ZHEN Zeyu               | BND377 | Licensed Representative                       | 9                                 |                                     |
| ZHU Zhen                | BEF402 | Licensed Representative                       | 4, 9                              |                                     |
| ZHU Yingdi              | BBZ083 | Licensed Representative                       |                                   | 4                                   |
| ZHUANG Yinyin           | BIN731 | Licensed Representative                       |                                   | 2                                   |
| ZUO Sa                  | BNV280 | Licensed Representative                       | 4                                 |                                     |
| AU Chong Kit, Stanley   | AAA969 | Licensed Representative - Responsible Officer |                                   | 3                                   |
| CHEUNG Kwok Wing, Barry | ABM132 | Licensed Representative - Responsible Officer | 3                                 |                                     |
| CHOI Man, Raymond       | AXK789 | Licensed Representative - Responsible Officer | 9                                 |                                     |
| CHUN Sau Yee            | AWY508 | Licensed Representative - Responsible Officer | 4                                 |                                     |
| CHUNG Ho Fai, Derek     | ALA688 | Licensed Representative - Responsible Officer | 1, 4                              |                                     |
| FAN Wenchao             | AUQ956 | Licensed Representative - Responsible Officer | 2                                 |                                     |
| FU Hung Man             | AAD516 | Licensed Representative - Responsible Officer | 4                                 |                                     |
| FUNG Ching Wan, Jackie  | AOB388 | Licensed Representative - Responsible Officer | 1                                 |                                     |
| GANY Yuki               | BBW706 | Licensed Representative - Responsible Officer | 1                                 |                                     |

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|----------------------------|--------|---|-----------------------------------|-------------------------------------|
| HO Chung Ming              | AEN031 | Licensed Representative - Responsible Officer |                                   | 4                                   |
| HO Wai Leung, Dick         | AGL919 | Licensed Representative - Responsible Officer | 4, 9                              |                                     |
| HSIAO Wan Ting             | BEN214 | Licensed Representative - Responsible Officer | 4                                 |                                     |
| HUANG Chun-chieh           | ATC043 | Licensed Representative - Responsible Officer | 4                                 |                                     |
| HUI Chun                   | AWQ526 | Licensed Representative - Responsible Officer |                                   | 2                                   |
| IP Fai Kit                 | BBY803 | Licensed Representative - Responsible Officer | 4                                 |                                     |
| KANG Wing Hong, Jansen     | ACD417 | Licensed Representative - Responsible Officer |                                   | 5                                   |
| KEUNG Hon Kwan             | ASD765 | Licensed Representative - Responsible Officer | 9                                 |                                     |
| KO Wai Shing               | AGI886 | Licensed Representative - Responsible Officer |                                   | 5                                   |
| KONG Chiu San, Raymond     | AAH157 | Licensed Representative - Responsible Officer | 4                                 |                                     |
| KOO Wing Tat, Vincent      | ACW766 | Licensed Representative - Responsible Officer | 4                                 |                                     |
| KOO Yuk Shing              | AWA385 | Licensed Representative - Responsible Officer | 4                                 |                                     |
| LEE Ching                  | AYK657 | Licensed Representative - Responsible Officer | 9                                 |                                     |
| LEE Jonathan               | BGM239 | Licensed Representative - Responsible Officer | 4                                 |                                     |
| LEUNG Chuen Fai            | AJH516 | Licensed Representative - Responsible Officer |                                   | 4                                   |
| LI Marco Man Fung          | AYW855 | Licensed Representative - Responsible Officer | 1, 2                              |                                     |
| LI Qianwei                 | BEI843 | Licensed Representative - Responsible Officer | 1                                 |                                     |
| LI Shuo                    | BOS628 | Licensed Representative - Responsible Officer | 2                                 |                                     |
| LI Ting Ting Iris          | BHL594 | Licensed Representative - Responsible Officer | 4                                 |                                     |
| LIU Xutong                 | BAC151 | Licensed Representative - Responsible Officer | 9                                 |                                     |
| LO Ching Kong              | BFD628 | Licensed Representative - Responsible Officer | 3                                 |                                     |
| LUI Yu Kau                 | AQN586 | Licensed Representative - Responsible Officer | 4, 9                              |                                     |
| LUK Simon                  | AAV295 | Licensed Representative - Responsible Officer | 4                                 |                                     |
| MA Chih-Hao                | BJV179 | Licensed Representative - Responsible Officer | 2                                 |                                     |
| MONDOVITS Andreas Georg    | ALO012 | Licensed Representative - Responsible Officer | 1                                 |                                     |
| NG Ka Wing                 | ARB120 | Licensed Representative - Responsible Officer | 9                                 |                                     |
| NG Ting Cheong             | BEQ321 | Licensed Representative - Responsible Officer | 4, 9                              |                                     |
| NGO Tsz Fei                | BBW943 | Licensed Representative - Responsible Officer | 2, 4                              |                                     |
| PARK Edward                | ASD313 | Licensed Representative - Responsible Officer | 4                                 |                                     |
| ROBERTSON Duncan Alexander | BCZ766 | Licensed Representative - Responsible Officer |                                   | 1, 2                                |
| SE Yung Yee, David Carven  | ABL977 | Licensed Representative - Responsible Officer | 1, 2                              |                                     |
| SHEA Kwok Hing, Patrick    | AAC349 | Licensed Representative - Responsible Officer | 1                                 |                                     |
| SHUM Alan Koon Ho          | BBV882 | Licensed Representative - Responsible Officer |                                   | 1, 4                                |
| SO Kin                     | AID232 | Licensed Representative - Responsible Officer | 1                                 |                                     |
| TAI Kwok Leung, Alexander  | ABG881 | Licensed Representative - Responsible Officer |                                   | 4                                   |
| TAM Mo Kit                 | ABH719 | Licensed Representative - Responsible Officer | 1                                 |                                     |
| TAN Mei Zie, Grace         | AIQ482 | Licensed Representative - Responsible Officer | 1, 4                              |                                     |
| TAN Ming Kiu, John         | AEK216 | Licensed Representative - Responsible Officer |                                   | 6                                   |
| TANG Ho Wai, Howard        | ADQ936 | Licensed Representative - Responsible Officer | 1                                 |                                     |
| TANG Rui                   | AXC394 | Licensed Representative - Responsible Officer | 4                                 |                                     |
| TEY Eng Chee, Thomas       | ABN323 | Licensed Representative - Responsible Officer | 1, 4, 5                           |                                     |
| TIAN Linyang               | ARR344 | Licensed Representative - Responsible Officer | 5                                 |                                     |
| TO Wai Man                 | AEM387 | Licensed Representative - Responsible Officer |                                   | 3                                   |
| TONG Yim                   | AHM284 | Licensed Representative - Responsible Officer | 4, 9                              |                                     |
| TSANG Ka Kit               | AXD389 | Licensed Representative - Responsible Officer | 2, 4                              |                                     |
| TSUI Yuen Sha              | BDA218 | Licensed Representative - Responsible Officer | 4, 9                              |                                     |
| WANG Zhen                  | AZC796 | Licensed Representative - Responsible Officer |                                   | 6                                   |
| WEEKES Mark Alan Wentworth | AVQ693 | Licensed Representative - Responsible Officer | 4                                 |                                     |
| WONG Chun Lang, Johann     | AWJ931 | Licensed Representative - Responsible Officer | 2                                 |                                     |
| WONG Siu Kuen Becky        | ADB986 | Licensed Representative - Responsible Officer | 1                                 |                                     |
| WONG Tracy Po-yi           | BCA264 | Licensed Representative - Responsible Officer | 1                                 |                                     |
| WONG Yuet Kwan             | BHS581 | Licensed Representative - Responsible Officer | 5                                 |                                     |
| WU Xiao                    | AOS437 | Licensed Representative - Responsible Officer |                                   | 2                                   |
| YAN Po Kwan                | ADP430 | Licensed Representative - Responsible Officer | 4                                 |                                     |
| YAU Wai Ching              | ASZ106 | Licensed Representative - Responsible Officer | 4                                 |                                     |
| YEUNG Sum Ho               | AOK594 | Licensed Representative - Responsible Officer | 4                                 |                                     |
| ZHANG Weiwen               | ANM884 | Licensed Representative - Responsible Officer | 4                                 |                                     |

**VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2020**

| <b>CE Name</b>              | <b>CE No.</b> | <b>Licence Type</b>                           | <b>Types of Regulated Activity Added</b> | <b>Types of Regulated Activity Removed</b> |
|-----------------------------|---------------|---|--|--|
| ZHANG Yumin                 | BFM942        | Licensed Representative - Responsible Officer | 2  |  |
| ZHENG Weiwei                | ARG416        | Licensed Representative - Responsible Officer | 4  |  |
| ZHOU Chenggang              | AVJ131        | Licensed Representative - Responsible Officer | 9  |  |
| FAIRFULL Angus Ewan Spowart | BPY726        | Licensed Representative (Provisional Licence) |  | 9  |