

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
Apices Advisory Limited	AUB792	Licensed Corporation	4
Arete Research Asia Limited	ATS894	Licensed Corporation	4
Black's Link Capital Limited	AUA996	Licensed Corporation	9
Channel 8 Wealth Management Limited	ATT491	Licensed Corporation	1, 4, 9
Chrysalis Limited	AUA257	Licensed Corporation	4, 9
Jefferies Hong Kong Limited	ATS546	Licensed Corporation	1, 4, 6
Kriya Capital Limited	ATY278	Licensed Corporation	9
LQ Asset Management Limited	ATX853	Licensed Corporation	9
Vestmore Capital Management Limited	ATR283	Licensed Corporation	4, 9
ADOLF .	AUE375	Licensed Representative	1, 2
AHN Joong Min	AUJ487	Licensed Representative	1
AICARDI Jean-francois	AUJ793	Licensed Representative	1, 2, 4
ALBANESE II Louis Francais	AUC929	Licensed Representative	1, 4, 6
ARGYRIDES Mario	AUI171	Licensed Representative	1
ASHTON Scott Randall	ACC199	Licensed Representative	1
AU Ki Lun	AUI280	Licensed Representative	1
BADLANI Reena Jawahar	AUJ915	Licensed Representative	1, 2, 4, 9
BAJPAI Jayanti Shankar	AEV502	Licensed Representative	1, 4, 6
BAKER Edward James	AUI994	Licensed Representative	1, 2
BAMBER Richard Mark Anthony	AGM551	Licensed Representative	1
BAN Sui Lyn, Lena	AUE036	Licensed Representative	1, 6
BANGHART III James Munger	AUE953	Licensed Representative	1, 4
BASQUIN Frederic Pierre Rene	AUK292	Licensed Representative	1, 2
BEDAWI Nagi	AUJ252	Licensed Representative	1, 4
BERMEJO Philippe	AUH272	Licensed Representative	2
BESSON Florent	AUI988	Licensed Representative	1, 7
BHATTACHARYA Gopal	AUJ488	Licensed Representative	1
BI Ye	AUH561	Licensed Representative	9
BRET Severine-Laurence Caroline	AUH263	Licensed Representative	2
BYWORTH Richard Anthony	AUF080	Licensed Representative	1, 2
CAMPBELL Alexander Roderick	AUG899	Licensed Representative	4, 9
CARBONNEL Julien Pierre	AUJ493	Licensed Representative	1
CARIASO Reginaldo Balibay	AGO290	Licensed Representative	1, 4, 6
CAZAUBIEL Paul Charles Roger	AUK294	Licensed Representative	1
CHA Gyeongmin	AUG884	Licensed Representative	1, 4, 6
CHAN Chun Kong	AUL595	Licensed Representative	1
CHAN Chun Tat, Alfred	AUC171	Licensed Representative	4
CHAN Dixon	AUL684	Licensed Representative	1, 2

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHAN Hiu Yi	AUG801	Licensed Representative	1
CHAN Hoi Kong, Brian	AUJ313	Licensed Representative	4
CHAN Hon Chou, Stanley	AUJ778	Licensed Representative	1
CHAN Kai Lin	AUD562	Licensed Representative	1, 4
CHAN Man Fung	AUE707	Licensed Representative	1, 4
CHAN Pui Yi	AUM181	Licensed Representative	9
CHAN Pun Kong	AUJ424	Licensed Representative	1
CHAN Siu Ying	AUJ215	Licensed Representative	1
CHAN Tsz Shing Spenser	AUK266	Licensed Representative	1
CHAN Vince Wing-chee	AUE373	Licensed Representative	4
CHAN Wah Man Carman	AQD276	Licensed Representative	6, 9
CHAN Yan	AUG812	Licensed Representative	1
CHAN Yin Kiu, Louis	AUI586	Licensed Representative	1
CHAN Ying Wai	AUC919	Licensed Representative	1, 4, 6, 9
CHAN Yue Hang, Emerson	AUK171	Licensed Representative	9
CHAN Yuen Bui	AUG873	Licensed Representative	1
CHANG Hsun-Chih	AUG806	Licensed Representative	4
CHAU Chi Tong	AUI928	Licensed Representative	1
CHAU Po Yuen	AUL685	Licensed Representative	1, 2
CHAU Sai Cheong	AUH275	Licensed Representative	1
CHEN Chi Ho	AUI937	Licensed Representative	1, 2
CHEN Hsin-shu Branden	AUK172	Licensed Representative	4
CHEN Taotao	AUK286	Licensed Representative	1, 2
CHEN Tin Wai	AUK299	Licensed Representative	4
CHEN Tse Wei, Geoffrey	AHR045	Licensed Representative	4
CHEN Yongren	ATJ227	Licensed Representative	6
CHENG Ka Ho	AUJ853	Licensed Representative	1
CHENG Pui Shan	AUJ702	Licensed Representative	1
CHENG Shu Yuen	AIS494	Licensed Representative	9
CHENG Stanley Hsing-i	AUE093	Licensed Representative	1, 7
CHEUNG Chung Ki	AUI730	Licensed Representative	1
CHEUNG King Fai	AUH631	Licensed Representative	1, 2
CHEUNG Man Chun	AUL627	Licensed Representative	1
CHEUNG Ngai	AUI051	Licensed Representative	1, 2
CHEUNG Sze Ting, Jessie	AFN580	Licensed Representative	1, 7
CHEUNG Tsz Wei, Michele	AQI408	Licensed Representative	1, 2
CHEUNG Victor Chor Keung	AUH716	Licensed Representative	6
CHEUNG Wang Fat	AUI883	Licensed Representative	1, 2

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHEUNG Wing Kit	AUJ486	Licensed Representative	1
CHEUNG Ying Lok	AUJ314	Licensed Representative	4, 9
CHEUNG Yuk Lam	AUE967	Licensed Representative	1
CHEUNG Yung Yung, Annie	AEW947	Licensed Representative	1
CHIANG Hui-Chen	AUH933	Licensed Representative	1
CHIU Jonathan Chun Yip	AUK261	Licensed Representative	1, 2
CHIU Man Ho	AUI275	Licensed Representative	1, 2
CHIU Wai Leung	AUD892	Licensed Representative	1
CHOI Hon Wai, Allen	AUH944	Licensed Representative	1, 2
CHOI Tan Yee	AUM132	Licensed Representative	1, 4, 6
CHOUILLET Laurent	AUI381	Licensed Representative	1, 2
CHOW Hin Lun, Kevin	AUD696	Licensed Representative	1
CHOW Wai Ho	AUJ413	Licensed Representative	1
CHOW Wang	AIV279	Licensed Representative	4, 9
CHUANG Shu-Chuan	AUE868	Licensed Representative	1
CHUI Chi Yip	AUD694	Licensed Representative	1
CHUNG Chak Man	APH261	Licensed Representative	1, 2
CHUNG Ho Lun	AUJ772	Licensed Representative	1, 2
CHUNG Man Wai, David	AOU630	Licensed Representative	4
CLARK Kelly Kent	ARK432	Licensed Representative	1
CO Elaine Yap	AUL926	Licensed Representative	9
COHEN Fabrice, Albert	AUI722	Licensed Representative	1, 2, 7
DADABHOY Imran Sooleman	AJH414	Licensed Representative	1, 2
DARMECI Calapi	AUA850	Licensed Representative	9
DAVIDS Mark Robert John	AUE966	Licensed Representative	4, 5, 9
DAVIES Kyle Livingston	AUD999	Licensed Representative	1, 2, 7
DE SUPERVIELLE-RAGEAU Francois	ANN402	Licensed Representative	1
DE VliegHER Pierre-edouard M.R.G.A.	AUH914	Licensed Representative	2
DESAI Dhaval Pravinkumar	AUG328	Licensed Representative	1, 2
DIALDAS Anand	ALD236	Licensed Representative	1, 2, 4, 9
DONG Zimeng	AUI206	Licensed Representative	9
DOU Ruirui	AUH943	Licensed Representative	1
DOWLAND Richard Adetokunbo	AUH913	Licensed Representative	2
DOWNES Dianne Michelle	ATY162	Licensed Representative	4
FAN Kin Ngai	AUI158	Licensed Representative	1
FAN Lin	AUD641	Licensed Representative	1
FANG Hong	ALY689	Licensed Representative	1, 4
FANG Liang	ASG438	Licensed Representative	6

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
FARRELL Douglas John	AUD727	Licensed Representative	1, 4, 6
FEI Xiang	AOV610	Licensed Representative	1
FONG Chun Kit, Alexander	AUI793	Licensed Representative	1
FONG Fu Ying	AQC320	Licensed Representative	1
FUNG Hin Wai	AUH265	Licensed Representative	1
GALEA Ronald Francis	AUG567	Licensed Representative	1, 2
GARNER Jonathan Frederick	AUE987	Licensed Representative	1
GARREAU Vincent Olivier	AUI992	Licensed Representative	1, 2, 7
GAUTIER DE CHARNACE Arthur Bernard Jean Marie	AUJ425	Licensed Representative	1
GHOSH Anandomoy	ALL099	Licensed Representative	1, 2
GHOSH Soujit	AOJ195	Licensed Representative	1, 2
GITTUS Richard Alan	AAK404	Licensed Representative	1
GLOVER Jethro Alexander John	AED015	Licensed Representative	1, 2
GOLDIE Benjamin James	AJD455	Licensed Representative	1
GOO Hanna	AUH579	Licensed Representative	4
GU Dechun	AQQ831	Licensed Representative	6
GUO Jung Rong	AHN977	Licensed Representative	1, 4
GUO Shiling	AUE007	Licensed Representative	4
GVOZDEN Alexander Robin	ADR449	Licensed Representative	4
HAN Sangkyoon	ARJ172	Licensed Representative	4, 9
HAN Xu	AUH929	Licensed Representative	6
HARILELA Kavi Kishin	AUH928	Licensed Representative	6
HART Matthew Edward	AUI290	Licensed Representative	1
HATTANGDI Geetika	AUJ927	Licensed Representative	1, 2, 4
HE Jia	AOJ239	Licensed Representative	4
HEER Jasdeep Singh	AUI675	Licensed Representative	1, 2
HO Chung-Yeng	AUH936	Licensed Representative	1, 2
HO Kam Hung	AUJ460	Licensed Representative	1
HO Kam Kai	AUI935	Licensed Representative	6
HO Kei Him, Calvin	ATF046	Licensed Representative	1, 4
HO Lai Ming	AUF129	Licensed Representative	1, 4
HO So Shing, Edward	AAD566	Licensed Representative	1
HO Sze Man	AUK300	Licensed Representative	4
HO Tin Chu	AUJ705	Licensed Representative	1
HO Tung Pak, Victor	AMQ909	Licensed Representative	1, 4
HO Wai Wan, Vivien	AUI394	Licensed Representative	4
HOE Beng Hian Patrick	AUA757	Licensed Representative	2
HONG Yiu Fai	AUJ477	Licensed Representative	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
HONGSUWAN Natravee	AUI205	Licensed Representative	4
HORSLEY-HEATHER Nicholas John	ASZ379	Licensed Representative	1, 2
HSU She-Hung Danny	AUC935	Licensed Representative	1, 4
HSU Wen-Tang	ANP629	Licensed Representative	1
HU Lingling	AUI056	Licensed Representative	1, 4
HUANG I-Chiang	ATY943	Licensed Representative	1
HUANG Pei-Hsuan	AUH256	Licensed Representative	1, 4
HUANG Yan	AUI679	Licensed Representative	1
HUEN Tak Pan, Philip	AUH257	Licensed Representative	1, 4
HUNG CHOI Grecia Wing Yee	ARU588	Licensed Representative	1, 2, 3
HUNG Chun	ARO135	Licensed Representative	1, 6
HUNG Kap Keung	AUG766	Licensed Representative	1
IANKOVA Nedialka Dimova	AUI026	Licensed Representative	1, 4, 6
IN Weiyee	AUD689	Licensed Representative	4
IP Kar King, Kenneth	ACP180	Licensed Representative	1, 2
IP Kong Fung	AUI998	Licensed Representative	1
ISHIBASHI Katsumi	AUG572	Licensed Representative	4, 9
ISHIDA Sosuke	AUH911	Licensed Representative	2
JAMESON Robert Welch	AUF139	Licensed Representative	4
JAYARAMAN Sreenivas	AUG804	Licensed Representative	1
JEON Ryan Taylor	AUE101	Licensed Representative	1, 4
JIANG Zhicheng	AUG887	Licensed Representative	1, 4
JIN Mingzhe	AUJ261	Licensed Representative	4
JOORIS Dominique M.	AUI976	Licensed Representative	1
JUDD Cameron Paul	AUG332	Licensed Representative	1
JUEN Kam Wing	AUI996	Licensed Representative	1
KAMEYAMA Naoto	AUH907	Licensed Representative	2
KANG Kyung Mo	AUG575	Licensed Representative	4
KAO Hiu Hing Stanley	ATM450	Licensed Representative	1
KATO Takashi	AUD160	Licensed Representative	1, 4
KEUNG Chin Kit	AUG568	Licensed Representative	1
KIM Ethan Sung	AUC281	Licensed Representative	1
KIM Seung Wook	ATT490	Licensed Representative	4
KLOISER-JONES Jeremy Stuart	AUG623	Licensed Representative	1
KO Ka Fai, Philip	AUH553	Licensed Representative	1
KOJIMA Kyoko	AUG573	Licensed Representative	4, 9
KOLOTIY Dmitry	AUE810	Licensed Representative	1, 2
KONG Tak Kwan	AUI049	Licensed Representative	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
KU Wai	AUI279	Licensed Representative	1, 2
KUI Yingchun	AOU648	Licensed Representative	1, 4, 6
KWAN Oi Yee	AUK260	Licensed Representative	1, 2
KWOK Chau Mo	AUH267	Licensed Representative	4, 5
KWOK Tsz Ching	AUH399	Licensed Representative	1
KWOK Tsz Chung	AUK433	Licensed Representative	4
KWOK Wing Hei	AUJ773	Licensed Representative	1
LAI Fai Yeung	AUH727	Licensed Representative	1
LAI Kam Luen	AUJ703	Licensed Representative	1
LAI Lai Shuen	AMF491	Licensed Representative	1, 2
LAM Cheuk Yan	AUH942	Licensed Representative	4
LAM Chi Mei	AUL979	Licensed Representative	1, 2
LAM Hon Cheong	ARD493	Licensed Representative	4, 9
LAM Hung Kai	ACZ478	Licensed Representative	1, 2
LAM Pui Fan	AUK448	Licensed Representative	1, 4, 6
LAM Suen Kit	AIL177	Licensed Representative	1
LAM Ting Wai, Anita	AOE462	Licensed Representative	1, 4, 9
LAM Tsz Man	AUG805	Licensed Representative	9
LAU Chung Kit	AUE965	Licensed Representative	1, 2
LAU Geoffrey Chun Hei	AUJ339	Licensed Representative	4
LAU Hin Cheung	AUK242	Licensed Representative	4
LAU Ka On, David	AOE652	Licensed Representative	4
LAU Kin Sau	APQ334	Licensed Representative	1
LAU Siu Cheong	AUI274	Licensed Representative	1, 2
LAU Tat Fai	AUD253	Licensed Representative	1, 2
LAU Tse Chiang, Carlson	AUI150	Licensed Representative	1, 9
LAU Tsz Chun	AUL596	Licensed Representative	1
LAU Yee Lok, Glory	AUJ784	Licensed Representative	1
LAUNAY Thomas	AUG654	Licensed Representative	1, 2, 7
LAW Chi Yuen Edmond	AUL788	Licensed Representative	1, 3
LAW Lok Hang	AUI155	Licensed Representative	1, 2
LAW Robert Balbir	AUI078	Licensed Representative	4
LAW Wan Ho	ATY319	Licensed Representative	1
LEE Jeong Ju	AOJ328	Licensed Representative	1
LEE Kar Woon, Karen	AQI268	Licensed Representative	1, 2
LEE Ngan Anh	AEL574	Licensed Representative	1, 4
LEE Steven Hyung Wk	AUJ842	Licensed Representative	1, 4
LEE Su Jin	ARD670	Licensed Representative	1, 2, 4, 5

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
LEE Wang Kei	AQN811	Licensed Representative	4
LEE Yee Nam	AUC313	Licensed Representative	4, 9
LEE Yin Ping	AUI783	Licensed Representative	1
LEE Yiu Wai	AUE952	Licensed Representative	1
LEFEVRE John James Reginald	ALG130	Licensed Representative	1, 4, 6
LEUNG Hing Man	AUH927	Licensed Representative	1
LEUNG Ho Ming	AJH302	Licensed Representative	1, 2, 3
LEUNG Kok Sze	AUJ774	Licensed Representative	1
LEUNG Man, Johnson	AUI268	Licensed Representative	1, 4, 9
LEUNG Mo Ki, Connie	AEU416	Licensed Representative	1
LEUNG Tsz Kin	AUJ387	Licensed Representative	4
LI Anthony Sze-Long	AUK438	Licensed Representative	1, 4, 6
LI Ken Ning	AUE960	Licensed Representative	1
LI Lei	AUG807	Licensed Representative	4
LI Ming Hei	AUJ251	Licensed Representative	1
LI Na	AUI489	Licensed Representative	1, 2
LI Siu Ying, Freda	AKV283	Licensed Representative	1
LI Xiaowen	AUI296	Licensed Representative	2
LI Xihua	AUI662	Licensed Representative	1
LI Yim Ling, Alice	AUE414	Licensed Representative	4, 5, 9
LI Yuk Wa	AUJ264	Licensed Representative	1
LIM Boon Aik	AUI668	Licensed Representative	4, 9
LIN Hwei-Jen	AUI488	Licensed Representative	1
LIN Ming-Jung	AUG886	Licensed Representative	1
LIN Yan Jenny	AUI064	Licensed Representative	1
LIU Jason Chee Lai	AUI480	Licensed Representative	1
LIU Jing	AUK370	Licensed Representative	1, 4
LIU Rui	ATJ183	Licensed Representative	1
LIU Wenyun	AUI940	Licensed Representative	1
LIU Yaqiu	AUI166	Licensed Representative	1
LO Ka Hing	AUH632	Licensed Representative	1
LO Ka Leong	AUH576	Licensed Representative	4
LOU Chung-te	ANT228	Licensed Representative	9
LUI Tsz Fong	AUK119	Licensed Representative	1, 2
LUK Chi Fung Dennis	AUK264	Licensed Representative	1
LUK Chun Pong Andrew	AUL608	Licensed Representative	1, 2
LUK Tsun Kiu, Julian	AUG331	Licensed Representative	1, 2
LUNDIA Yogesh	APZ525	Licensed Representative	1, 6

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
LUO Peng	AUJ707	Licensed Representative	1
LUPOLI Christopher	AUD573	Licensed Representative	4
LURIE Mattan Hillel	ANB366	Licensed Representative	1
MA Chui Yee	AUI050	Licensed Representative	1, 4
MADDOCK Julian Paul	AUH900	Licensed Representative	2
MAI Siwei	AUJ127	Licensed Representative	2
MAK Po Man	AGL178	Licensed Representative	1, 2
MAK Wai Yee	AUI938	Licensed Representative	1, 2
MARSDEN Matthew Owen	AMA934	Licensed Representative	4
MIN Jie	AUK452	Licensed Representative	1, 2
MIURA Fumiko	ACX126	Licensed Representative	4, 9
MO Jiao	AUK245	Licensed Representative	4, 9
MOK Joseph	AUG919	Licensed Representative	1, 4, 6
MOK Long Sang	AUL590	Licensed Representative	1, 2
MOK Suet Ying	AUI024	Licensed Representative	4
MONCUIT Bertrand Hubert	AUH273	Licensed Representative	2
MONTEUX Oriane Gabrielle Anne	AUI993	Licensed Representative	1, 2, 7
MOSHKOV Maxim	AUE711	Licensed Representative	4
MUN Jongchul	AUG126	Licensed Representative	1
NAIR Manjith Raghavan	AUE012	Licensed Representative	4
NEARY James Joseph	AQE987	Licensed Representative	1
NG Fong Chun	AFG500	Licensed Representative	1, 4, 9
NG Hoi Yan, Kyly	AUI169	Licensed Representative	4
NG Ka Sin	AUH342	Licensed Representative	4
NG Kin Sang	ARB853	Licensed Representative	1
NG Ming Cheung	AUI677	Licensed Representative	4, 9
NG Ngan Sum	AUH924	Licensed Representative	1
NG Pui Wah	AUI678	Licensed Representative	1
NG Siu Ngong, Anson	AHA002	Licensed Representative	4, 9
NG Tze Hong	AUI453	Licensed Representative	4
NG Yao Loong	AUJ779	Licensed Representative	1, 6
NGAI Yue Yan, Ian	AUC912	Licensed Representative	1, 4, 6
NGAN Ka Sing	AUM483	Licensed Representative	1
NING Ning	AUK246	Licensed Representative	4, 9
NING Tak Bong	AUI979	Licensed Representative	1, 2
O'DONNELL Loretta Maura	AUA695	Licensed Representative	4
O'SULLIVAN Gerard William	AUI817	Licensed Representative	1
OH Kuan Yu	AUI149	Licensed Representative	4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
OH Minsok	AUI148	Licensed Representative	4
ONO Jumpei	AUC930	Licensed Representative	1, 4
PALMETTO Erik Thomas	AND634	Licensed Representative	1, 4
PANAECH Aman Jeet Singh	AUE107	Licensed Representative	1, 4, 6
PANG Kin Yip	AUI025	Licensed Representative	4
PENG Stevens Pauyuan	AUL631	Licensed Representative	4
POOL Jonathan Michael	AMU497	Licensed Representative	4
POON Shun Shing	AMP561	Licensed Representative	1
POON Wai Yip	AUI080	Licensed Representative	1, 2
PURDIE Ross Kenyon	ABS450	Licensed Representative	1
QIAN Wangxin	AUJ354	Licensed Representative	4
QIAO Fei	ATJ228	Licensed Representative	6
QIU Jialiang	AUJ975	Licensed Representative	1, 2
QIU Shirley	ARN136	Licensed Representative	1, 6
RADZKI Michael	AUE954	Licensed Representative	1, 4
ROMA Olivier Norbert Gaston	AUJ134	Licensed Representative	1, 2
RONG Yi	AUI463	Licensed Representative	4
SAJNANI Roshan	AUH912	Licensed Representative	1
SCHRAGE Rebecca Mak Karen	AUE422	Licensed Representative	1, 4
SCHWARZ Rami Lempert	AUE955	Licensed Representative	1, 4
SEGAL James Marc Lee	ANM994	Licensed Representative	1, 2
SEMIONATO BERNARDES Eduardo Henrique	AUL622	Licensed Representative	1
SENGUPTA Ashis Kumar	AUI272	Licensed Representative	1, 4
SEVE Mickael Arnaud	AUJ499	Licensed Representative	1
SHARMA Nipun	AUI442	Licensed Representative	4
SHEA Kai Ming	AFR570	Licensed Representative	1, 4
SHEKHAWAT Shilesh	AUE958	Licensed Representative	1, 2, 4, 5
SHEN Xiaoyi	AUJ706	Licensed Representative	1
SHEPPARD Neil Murray	AUC311	Licensed Representative	4
SHI Ruichao	ATH910	Licensed Representative	1, 2
SHINODA Yumi	AUC938	Licensed Representative	1, 2
SHUEN Wesley	AUL626	Licensed Representative	1, 2
SIDDIQ Hassan	AUI681	Licensed Representative	1
SINEGUBKO Boris	AUE781	Licensed Representative	1, 2
SINGH Deepak Kumar	AUJ527	Licensed Representative	9
SINHA Raul	AUI077	Licensed Representative	4
SIU Chun	AUK154	Licensed Representative	1
SO Kwan	AUJ767	Licensed Representative	1, 2

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
SO Wai Sang	AAC858	Licensed Representative	1, 2
SOH David	AEI247	Licensed Representative	1
SOOD Nishant	AUG268	Licensed Representative	1, 4
SRIPUNPORN Roger Ardisorn	AIB741	Licensed Representative	1
STOKELD Craig Charles	AUI378	Licensed Representative	1
SU Tao	AUN077	Licensed Representative	1
SUGIYAMA Hirokazu	AUK111	Licensed Representative	2
SUMMERS Timothy	AUG878	Licensed Representative	9
SUN Miaoling	ATM483	Licensed Representative	1
SUNG Su-jin	AUG578	Licensed Representative	4
SUNG Yuk Yin	APF733	Licensed Representative	1, 4
SZE Pan Pan	AUI039	Licensed Representative	4
SZETO Yat Kong	ANM052	Licensed Representative	4, 9
TAI Kim Chung	AUI053	Licensed Representative	1
TAKEUCHI Katsuya	AUE023	Licensed Representative	4
TAM Kwok Ho, Ronald	AHU748	Licensed Representative	4, 6
TAM Shing Tak	AUI999	Licensed Representative	1, 2
TAN Kim Chong	ANT749	Licensed Representative	4
TAN Sin Shiong	AUG880	Licensed Representative	1, 4
TANAKA Shunsuke	AUE033	Licensed Representative	1, 2
TANG Chi Tat	AIB791	Licensed Representative	4, 9
TANG Sai Keung	AUI997	Licensed Representative	1, 2
TANG Wai Choi	AUD732	Licensed Representative	1, 2
THAM Ngiap Lyn Carolyn	AUD962	Licensed Representative	4
THEPADE Abhishek Ashok	AUA843	Licensed Representative	9
THOMAS Hugh Ian	AUE092	Licensed Representative	1, 6
TING Michael	AUK120	Licensed Representative	1, 2
TLILI Mourad	AUI990	Licensed Representative	1, 2
TOLEDANO Baruk	AUJ510	Licensed Representative	1
TSANG Wai Yin Susanna	AUK454	Licensed Representative	1
TSE Hiu Yu	AUG364	Licensed Representative	1, 4, 6
TSE Ka Mun Yvonne	AHF901	Licensed Representative	1
TSO Hoi Yun, Bettina	AUF148	Licensed Representative	1
TSO Kit Yee	AUC618	Licensed Representative	4, 5, 9
TSOI Ka Wai, Derek	AUP395	Licensed Representative	1
TSUI Luen On	AIB800	Licensed Representative	1
UCHIDA Kikuko	AUG749	Licensed Representative	1
VASANIA Homiyar Dara	AER013	Licensed Representative	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
VERGOTIS Andreas	AUI269	Licensed Representative	1, 4, 9
VIRGONA Thomas Benjamin	AUH268	Licensed Representative	2
VU John Bao	AUJ250	Licensed Representative	1, 2
WAIYANONT Bunlung	AUI977	Licensed Representative	4
WANG Chaoming	ATY691	Licensed Representative	2
WANG Mingjun	AUI083	Licensed Representative	1, 2
WANG Weiyang	AUK275	Licensed Representative	4
WANG Xiaoshen	AUI082	Licensed Representative	1, 2
WANG Yi Li, Ally	AUC869	Licensed Representative	1, 4, 6
WANG Zheng	AUJ375	Licensed Representative	4
WATKINS Bryan	APH491	Licensed Representative	1
WONG Chi Wai	AUI070	Licensed Representative	1
WONG Ching Shan	AUH345	Licensed Representative	4
WONG Cho Wai	AUG836	Licensed Representative	1, 2
WONG Chun Kau, David	ANU274	Licensed Representative	1, 2
WONG How King, Alistair	AOD998	Licensed Representative	1, 4, 9
WONG Ka Yau	AHL492	Licensed Representative	4
WONG Kai Shun	AUP417	Licensed Representative	1
WONG Kin Chung, Kenneth	AER899	Licensed Representative	4
WONG Kin Shing	AUK122	Licensed Representative	1
WONG Kwok San	AUI885	Licensed Representative	1, 2
WONG Ming Chung	AUI989	Licensed Representative	1
WONG Po Ching	AUD880	Licensed Representative	1, 2
WONG Sze Ki	AFP508	Licensed Representative	1, 2
WONG Sze Yuen, Marshal	AUK435	Licensed Representative	1
WONG Wai Chung	AUM633	Licensed Representative	1
WU Chunlei	AUE411	Licensed Representative	1
WU Jie	AUK453	Licensed Representative	4, 9
WU Tsz Kui	AUI946	Licensed Representative	1, 3
WU Yang	ATX173	Licensed Representative	4
XING Ziqiang	ART864	Licensed Representative	1
YAM Andrew Tze Jim	AUH327	Licensed Representative	1, 6
YAMASHITA Alan Kei	AAN846	Licensed Representative	4, 9
YANG Han Hsiang	AUG879	Licensed Representative	1, 4
YANG Peng	AUG860	Licensed Representative	6
YANG Weizi	AOV058	Licensed Representative	1, 4, 6
YANG Yipeng	AUI276	Licensed Representative	1, 4
YAU Ka Ho	AUI151	Licensed Representative	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
YAU Yin Hung	AUI767	Licensed Representative	1, 2
YEUNG Tsui Yan	ANU390	Licensed Representative	1
YEUNG Ying Wai	AMI761	Licensed Representative	9
YI Huan	AMH263	Licensed Representative	9
YIM Chun Wah	AUE950	Licensed Representative	1
YIM Kam Ting	AUL591	Licensed Representative	1
YIP Heng	AUD022	Licensed Representative	1, 4, 6
YIP Ki	AUF153	Licensed Representative	2
YOO Jae Ouk	AEO161	Licensed Representative	1, 4
YOO SIMON	AUC960	Licensed Representative	1, 6
YOUNG Harvey Wade	AUJ768	Licensed Representative	1, 2, 7
YUE Kenneth	ARS558	Licensed Representative	4
YUEN Hu Tone, Leslie	AUJ677	Licensed Representative	1, 6
YUNG Shui Shing	AQY615	Licensed Representative	1, 2
YUNG Wei, Judy	AUJ775	Licensed Representative	1
ZENG Zhujun	ATQ773	Licensed Representative	4
ZHANG Jiaxin	AUI054	Licensed Representative	1
ZHANG Jingqi	AUI466	Licensed Representative	4
ZHANG Jingwei	AUG360	Licensed Representative	1, 4, 6
ZHANG Liqun	ATB974	Licensed Representative	9
ZHANG Miao	ASX296	Licensed Representative	2
ZHANG Weirong	AUH920	Licensed Representative	1, 2
ZHANG Xiao Wei	AUK169	Licensed Representative	1
ZHANG Yelin	AUF147	Licensed Representative	9
ZHOU Qing Yuan	AUJ674	Licensed Representative	4
ZHU Shengchu	AUI034	Licensed Representative	1, 9
ZHUKOV Vladimir	AUE417	Licensed Representative	4
ZOU Qinghong	AUI949	Licensed Representative	4, 9
BARROSO Raul Francisco	ALF573	Licensed Representative - Responsible Officer	4
BERG Paul Nicholas Louis	AJB792	Licensed Representative - Responsible Officer	4, 9
CHATAWAY James Jonathan	AUJ209	Licensed Representative - Responsible Officer	1, 4
CHOONG Han Ching	ADI243	Licensed Representative - Responsible Officer	9
CHOW Chun Leung	ADW654	Licensed Representative - Responsible Officer	4
CHUNILAL Damian Ratilal	AJH327	Licensed Representative - Responsible Officer	9
CLAYTON Andrew Crimmins	ATS621	Licensed Representative - Responsible Officer	4, 6
ELPHICK Henry Richard Francis	ATS624	Licensed Representative - Responsible Officer	6
FONG Milton Sai-kit	ATR556	Licensed Representative - Responsible Officer	4, 9
GRUSS Ralf	ATX204	Licensed Representative - Responsible Officer	4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
HODINA Christoph Raimund	AUK293	Licensed Representative - Responsible Officer	4, 9
KRAMER Richard Alan	ATS890	Licensed Representative - Responsible Officer	4
LA BRANCHE IV George Michel Lucien	AMV255	Licensed Representative - Responsible Officer	1
LAU King Yin	AKO864	Licensed Representative - Responsible Officer	9
LEE Timothy Chuck	AUM732	Licensed Representative - Responsible Officer	4, 9
LIU Qian	ATS617	Licensed Representative - Responsible Officer	1
LLOYD James Cary	AUJ913	Licensed Representative - Responsible Officer	9
MURRAY John Bernard	AOL180	Licensed Representative - Responsible Officer	9
NG Wai Yu	AGJ184	Licensed Representative - Responsible Officer	4, 9
OR Siu Kam	AJD975	Licensed Representative - Responsible Officer	1
QUE Man Hoi	AAW468	Licensed Representative - Responsible Officer	9
SHENG Wei-Ting	AJL418	Licensed Representative - Responsible Officer	1, 4
TOONG Kenneth Ken Kwok	ALN022	Licensed Representative - Responsible Officer	1, 4, 9
WONG Chi Tai	AKX258	Licensed Representative - Responsible Officer	4
XU Weifeng	AUB793	Licensed Representative - Responsible Officer	4
YEUNG Nim Shuk, Yolanda	ACR467	Licensed Representative - Responsible Officer	1, 4, 9
YONG Lennard Peng-Kuang	ASD763	Licensed Representative - Responsible Officer	4, 9
YUAN John Congwei	ATR543	Licensed Representative - Responsible Officer	4, 9
SALKIND Louis Ken	AEJ342	Licensed Representative - Responsible Officer (Temporary Licence)	1
AGARWAL Prasoon	AUN719	Licensed Representative (Provisional Licence)	1
AHN Joong Min	AUJ487	Licensed Representative (Provisional Licence)	1
AN Bin	AUN707	Licensed Representative (Provisional Licence)	1, 6
AN Qi	AUM597	Licensed Representative (Provisional Licence)	1
BACHTIAR Roestam Effendi Bin	AEK135	Licensed Representative (Provisional Licence)	2
BAMBER Richard Mark Anthony	AGM551	Licensed Representative (Provisional Licence)	1
BASQUIN Frederic Pierre Rene	AUK292	Licensed Representative (Provisional Licence)	1, 2
BHATTACHARYA Gopal	AUJ488	Licensed Representative (Provisional Licence)	1
BLANCHETTE Sean David Hardy	AJO166	Licensed Representative (Provisional Licence)	9
BLUME Christopher Edward	AUM978	Licensed Representative (Provisional Licence)	1, 2
BRADLEY Simon Joseph	AUN770	Licensed Representative (Provisional Licence)	1, 2
BRIDOUX Christophe Francois	AUK048	Licensed Representative (Provisional Licence)	1, 2
BUCHINSKI Trevor	AQM553	Licensed Representative (Provisional Licence)	4
CARBONNEL Julien Pierre	AUJ493	Licensed Representative (Provisional Licence)	1
CHAFER Amine	AUN334	Licensed Representative (Provisional Licence)	1, 2
CHAK Hok Ming	AUM696	Licensed Representative (Provisional Licence)	1, 2
CHAN Chun Fai	AUM731	Licensed Representative (Provisional Licence)	1
CHAN Chun Yip	AUO102	Licensed Representative (Provisional Licence)	1, 2, 3
CHAN Edmund Yik Man	AUM705	Licensed Representative (Provisional Licence)	6

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHAN Fai	AUN872	Licensed Representative (Provisional Licence)	1
CHAN Ho Wai Howard	ATJ294	Licensed Representative (Provisional Licence)	1, 2
CHAN Hon Chou, Stanley	AUJ778	Licensed Representative (Provisional Licence)	1
CHAN Ka Ying	AUM979	Licensed Representative (Provisional Licence)	1
CHAN Kam Fung, Jone	AUP407	Licensed Representative (Provisional Licence)	4
CHAN Kin Kwan	AUN432	Licensed Representative (Provisional Licence)	1
CHAN Kit Hang	AUN620	Licensed Representative (Provisional Licence)	1, 6
CHAN Michael Man Tung	AQM110	Licensed Representative (Provisional Licence)	1, 6
CHAN Sau Han	AUM922	Licensed Representative (Provisional Licence)	1, 4
CHAN Sheung Lai	ACE861	Licensed Representative (Provisional Licence)	1, 4, 9
CHAN Shing Jee	AUN761	Licensed Representative (Provisional Licence)	1, 2
CHAN Sonya Wing Kuan	AUQ040	Licensed Representative (Provisional Licence)	6
CHAN Tam Chuen, George	AUN815	Licensed Representative (Provisional Licence)	1
CHAN Wan Yan, Rachel	AUP390	Licensed Representative (Provisional Licence)	1
CHAN Yue Hang, Emerson	AUK171	Licensed Representative (Provisional Licence)	9
CHAN Yuk Ngai	APL733	Licensed Representative (Provisional Licence)	1
CHANG Tianjie	ALZ687	Licensed Representative (Provisional Licence)	9
CHANG Wan-Ling	AUP742	Licensed Representative (Provisional Licence)	1
CHE Ming	AUO122	Licensed Representative (Provisional Licence)	1, 9
CHEN Bing	AUN864	Licensed Representative (Provisional Licence)	1, 4, 6
CHEN Haibo	AUN340	Licensed Representative (Provisional Licence)	1
CHEN Liangyun	ARJ432	Licensed Representative (Provisional Licence)	6
CHEN Shih Chieh	AOV514	Licensed Representative (Provisional Licence)	1
CHEN Tak Yeaw, Collin	AUQ035	Licensed Representative (Provisional Licence)	1
CHEN Xi	AUN143	Licensed Representative (Provisional Licence)	1, 2
CHEN Yinhua	ARW892	Licensed Representative (Provisional Licence)	1, 4
CHEN Yu-Cheng	ATR465	Licensed Representative (Provisional Licence)	4
CHEN Yufei	AUM509	Licensed Representative (Provisional Licence)	1, 6
CHENG Chien-Nan	AUQ044	Licensed Representative (Provisional Licence)	1
CHENG Chun Hei	ANK163	Licensed Representative (Provisional Licence)	4
CHENG Hing	AUM436	Licensed Representative (Provisional Licence)	1, 4, 6
CHENG Jazreel Yeun Yee	AHT093	Licensed Representative (Provisional Licence)	1
CHENG Sai Ching	AUM667	Licensed Representative (Provisional Licence)	1
CHENG Yuen Hong	AUP358	Licensed Representative (Provisional Licence)	4
CHEUNG King Hei	AUP907	Licensed Representative (Provisional Licence)	4
CHEUNG Kwok Ting, Adolf	AAV286	Licensed Representative (Provisional Licence)	1, 2
CHEUNG Sze Chung	AUM379	Licensed Representative (Provisional Licence)	1, 2
CHEUNG Wai Ching, Vancy	AFB036	Licensed Representative (Provisional Licence)	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHEUNG Wai Hung	AUN717	Licensed Representative (Provisional Licence)	6
CHEUNG Wing Lam	AUP820	Licensed Representative (Provisional Licence)	1, 2
CHEUNG Yan To	AUM188	Licensed Representative (Provisional Licence)	1, 6
CHING Pak To	AJE763	Licensed Representative (Provisional Licence)	4, 9
CHIU Kar Son, Kayson	AUL783	Licensed Representative (Provisional Licence)	4
CHO Soo Ah Ran	AUQ203	Licensed Representative (Provisional Licence)	1, 9
CHOI O Hyun	AUM536	Licensed Representative (Provisional Licence)	1, 2
CHOI Tan Yee	AUM132	Licensed Representative (Provisional Licence)	1, 4, 6
CHONG Louis Siu Kei	AUQ039	Licensed Representative (Provisional Licence)	1, 4, 6
CHONG Sze Wai	AFV783	Licensed Representative (Provisional Licence)	1, 2
CHOW Man Yee	AMY313	Licensed Representative (Provisional Licence)	1
CHOW Po Sang	AUQ373	Licensed Representative (Provisional Licence)	1, 2
CHOY Yin Nga	ANU415	Licensed Representative (Provisional Licence)	1
CHUANG Christopher Jin-gee	AUM542	Licensed Representative (Provisional Licence)	1, 2
CHUE Man Ying, Connie	AUP392	Licensed Representative (Provisional Licence)	1, 6
CHUE Soon Seng, Kenneth	AUN087	Licensed Representative (Provisional Licence)	1
CHUI Tsan Kit	AMS324	Licensed Representative (Provisional Licence)	1, 2
CHUNG Yi Tung	AUP364	Licensed Representative (Provisional Licence)	1
COHEN Fabrice, Albert	AUI722	Licensed Representative (Provisional Licence)	1, 2, 7
COHEN Yossi	AUM359	Licensed Representative (Provisional Licence)	1
CREEDON Tom	APL757	Licensed Representative (Provisional Licence)	1
CUNNINGTON Guillaume, Serge, Charles	AUP691	Licensed Representative (Provisional Licence)	1, 2
DAVIES Andrew Michael	AUL682	Licensed Representative (Provisional Licence)	1, 2
DAVIES Kyle Livingston	AUD999	Licensed Representative (Provisional Licence)	1, 2, 7
DAY Donald Kurt	AUN917	Licensed Representative (Provisional Licence)	1
DE SUPERVIELLE-RAGEAU Francois	ANN402	Licensed Representative (Provisional Licence)	1
DE VliegHER Pierre-edouard M.R.G.A.	AUH914	Licensed Representative (Provisional Licence)	2
DESAI Keemesh	AUL786	Licensed Representative (Provisional Licence)	1, 2
DONNE Jonathan Geraint	AUM976	Licensed Representative (Provisional Licence)	1, 2
DOYLE Matthias William	AUP815	Licensed Representative (Provisional Licence)	1, 2, 7
DU Chao	AUM373	Licensed Representative (Provisional Licence)	1, 6
DU Heng	AUJ843	Licensed Representative (Provisional Licence)	1
DU Yiqing	ARJ440	Licensed Representative (Provisional Licence)	6
DUBEY Preeti	AUP812	Licensed Representative (Provisional Licence)	1
EELMAN Robert Garrett	AQA091	Licensed Representative (Provisional Licence)	1
ENG Matthew Hunkee	AOO870	Licensed Representative (Provisional Licence)	1, 4, 6
FANG Liang	ASG438	Licensed Representative (Provisional Licence)	6
FAUCHEUR Sebastien, Noel, Philippe	AUP952	Licensed Representative (Provisional Licence)	1, 2, 7

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
FENG Zhe	AFW435	Licensed Representative (Provisional Licence)	4
FERRIERE Pierre-andre Jacques	AUN705	Licensed Representative (Provisional Licence)	9
FLETCHER Elizabeth Jane	AUN566	Licensed Representative (Provisional Licence)	1, 2
FU Hsin Chang	AUJ844	Licensed Representative (Provisional Licence)	1
FUKUHARA Yuko	AUM369	Licensed Representative (Provisional Licence)	1
FUNG Hin Kit	AUN708	Licensed Representative (Provisional Licence)	1
FUNG Ka Yee	AUL683	Licensed Representative (Provisional Licence)	1, 2, 4, 5
FUNG Kam Yin, Kenneth	AUN817	Licensed Representative (Provisional Licence)	1, 2
GALVIN Donal Joseph	AOK745	Licensed Representative (Provisional Licence)	1, 2, 4, 9
GAO Bin	AUJ829	Licensed Representative (Provisional Licence)	1, 2
GAO Xing	AUH962	Licensed Representative (Provisional Licence)	1, 4, 6
GARG Ketaki	AUM120	Licensed Representative (Provisional Licence)	4
GAUDOIS Nicolas Junel	AUE035	Licensed Representative (Provisional Licence)	4
GODDING Christopher	AJO484	Licensed Representative (Provisional Licence)	1
GONG Yiyang	AUN894	Licensed Representative (Provisional Licence)	4, 9
GRABOWSKI Ernst-gerrit Alexander	AMP319	Licensed Representative (Provisional Licence)	1, 6
GUNN Marcus Charles	AUN364	Licensed Representative (Provisional Licence)	1, 2, 7
GUO Qun	AUK450	Licensed Representative (Provisional Licence)	1
HADDEN Todd William	AUL925	Licensed Representative (Provisional Licence)	1
HAIG Alistair Peter	AUH935	Licensed Representative (Provisional Licence)	4
HAN Hanting	ARQ970	Licensed Representative (Provisional Licence)	1
HE Li	AUL729	Licensed Representative (Provisional Licence)	1, 6
HENTZ Jean-Samuel, Etienne	AUN320	Licensed Representative (Provisional Licence)	1, 2, 7
HO Chin Chung	AUM525	Licensed Representative (Provisional Licence)	1
HO Garrick Sai Man	AUM347	Licensed Representative (Provisional Licence)	1
HO Leslie Sai Kit	AUM348	Licensed Representative (Provisional Licence)	1
HO May Wai, Judy	AUM594	Licensed Representative (Provisional Licence)	1, 4, 9
HO Tin Chu	AUJ705	Licensed Representative (Provisional Licence)	1
HOUGHTON-HARDY Philip James	AUM599	Licensed Representative (Provisional Licence)	1, 2
HOWIE Rochelle Jeanne	AMS322	Licensed Representative (Provisional Licence)	1, 6
HSU Min Chieh	AUQ473	Licensed Representative (Provisional Licence)	1
HU CHAI Yong Wei	AUQ515	Licensed Representative (Provisional Licence)	1, 6
HUANG Ling Kwan	AUQ372	Licensed Representative (Provisional Licence)	1, 2
HUANG Ruohai	AUM544	Licensed Representative (Provisional Licence)	1
HUI Chuen Kei	AUN813	Licensed Representative (Provisional Licence)	1
HUI Daniel Ka Chung	AUP690	Licensed Representative (Provisional Licence)	2
HUI Man Kit	AUN918	Licensed Representative (Provisional Licence)	1, 2
HUNG Brian Lap Hei	ARA631	Licensed Representative (Provisional Licence)	1, 4, 6

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
JESSION Arthur Michael	AUQ043	Licensed Representative (Provisional Licence)	1, 4
JI Yehong	ALU479	Licensed Representative (Provisional Licence)	1, 6
JIANG Hao	AUP713	Licensed Representative (Provisional Licence)	9
JIN Yan	AUN102	Licensed Representative (Provisional Licence)	1
JOTE Vijay C	AKS783	Licensed Representative (Provisional Licence)	1, 2
JOUBERT Pierre Delmar	ATI743	Licensed Representative (Provisional Licence)	1, 6
KAMEYAMA Naoto	AUH907	Licensed Representative (Provisional Licence)	2
KANG Zhaoyang	ARN401	Licensed Representative (Provisional Licence)	6
KANGA Zal Darius	AUN710	Licensed Representative (Provisional Licence)	1, 4
KAWASE Makoto	AUQ289	Licensed Representative (Provisional Licence)	1, 4
KIM Hyung Gyun	AUP709	Licensed Representative (Provisional Licence)	1, 6
KLAINGUTI Andreas Giorgio	ACJ013	Licensed Representative (Provisional Licence)	1, 4
KNIPPER Jonathan Paul	AUN771	Licensed Representative (Provisional Licence)	1, 6
KO Ling Mang	AUP535	Licensed Representative (Provisional Licence)	1
KOENEN JR Austin Voorhees	AQA803	Licensed Representative (Provisional Licence)	1, 6
KONG Jingxian	AUM349	Licensed Representative (Provisional Licence)	1
KONG Ruomeng	AUJ848	Licensed Representative (Provisional Licence)	1
KOU Chin Pang	AUQ156	Licensed Representative (Provisional Licence)	1, 2
KULVANICHPISIT Yuvadee	AUK285	Licensed Representative (Provisional Licence)	1
KUMAR Sanjeev	AUN624	Licensed Representative (Provisional Licence)	1, 6
KUNG Hin Shun	AUL624	Licensed Representative (Provisional Licence)	1
KWAN Chun Kit	AUM545	Licensed Representative (Provisional Licence)	1
KWAN Yuen On	AUL761	Licensed Representative (Provisional Licence)	1
KWOK Ka Man Carmen	AUL688	Licensed Representative (Provisional Licence)	1, 2
KWOK Wing Hei	AUJ773	Licensed Representative (Provisional Licence)	1
KWONG Michael	AQS646	Licensed Representative (Provisional Licence)	4
KWONG Yee Kin, Samuel	APX279	Licensed Representative (Provisional Licence)	4
LAI Hau Ming	AUQ291	Licensed Representative (Provisional Licence)	9
LAI Kam Lam	AUP818	Licensed Representative (Provisional Licence)	1
LAI Wai Ming	AUP361	Licensed Representative (Provisional Licence)	1
LAI Yuen Fong	AMD159	Licensed Representative (Provisional Licence)	1
LAM Chui Wah	AMM393	Licensed Representative (Provisional Licence)	1
LAM Chun Yim	AUO078	Licensed Representative (Provisional Licence)	1
LAM Jane Tak-Jun	AUK183	Licensed Representative (Provisional Licence)	1
LAM Kuen	ANJ657	Licensed Representative (Provisional Licence)	9
LAM Pik Lin	AUM940	Licensed Representative (Provisional Licence)	1, 4, 9
LAM Ting Wai, Anita	AOE462	Licensed Representative (Provisional Licence)	1, 4, 9
LAM Yu Fung, Derek	AUL625	Licensed Representative (Provisional Licence)	1, 2

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
LAM Yuen Yee, Doris	AUM216	Licensed Representative (Provisional Licence)	1
LAOSOMBOON Pramote	AUL681	Licensed Representative (Provisional Licence)	1, 4, 9
LAU Chi Kin	AUN078	Licensed Representative (Provisional Licence)	1, 2
LAU Hei Man	AUK451	Licensed Representative (Provisional Licence)	1
LAU Hoi Man, Mable	AUP378	Licensed Representative (Provisional Licence)	1, 2, 7
LAU Kwan Fai	AOU962	Licensed Representative (Provisional Licence)	1
LAU Tak Wa	AUP819	Licensed Representative (Provisional Licence)	1
LAW Chi Yuen Edmond	AUL788	Licensed Representative (Provisional Licence)	1, 3
LEE Chin Keng	APH298	Licensed Representative (Provisional Licence)	1
LEE Gary	AUP537	Licensed Representative (Provisional Licence)	1
LEE Ho Luen, Derek	AES116	Licensed Representative (Provisional Licence)	1
LEE Hong Yee, Kenneth	AUN369	Licensed Representative (Provisional Licence)	1, 2, 4, 5
LEE SHYU Mei-Lan	AMJ459	Licensed Representative (Provisional Licence)	1
LEONG Gary Douglas	AFF729	Licensed Representative (Provisional Licence)	1
LEUNG Chun Hung	AUP391	Licensed Representative (Provisional Licence)	1, 2
LEUNG Ho Pong, Ronald	AGN975	Licensed Representative (Provisional Licence)	1, 6
LEUNG Ka Wai	AUN113	Licensed Representative (Provisional Licence)	1, 4, 6
LEUNG Kin Ling, Karen	APS510	Licensed Representative (Provisional Licence)	1, 2, 4, 5
LEUNG King Hei	AQE889	Licensed Representative (Provisional Licence)	1
LEUNG Kok Sze	AUJ774	Licensed Representative (Provisional Licence)	1
LEUNG Lisa	APZ443	Licensed Representative (Provisional Licence)	1
LEUNG Mo Ki, Connie	AEU416	Licensed Representative (Provisional Licence)	1
LEUNG Wilson	AUM484	Licensed Representative (Provisional Licence)	1
LI Chi Man	AIR529	Licensed Representative (Provisional Licence)	1, 4
LI Jack C F	AIB172	Licensed Representative (Provisional Licence)	1, 4, 6
LI Kun	AUN392	Licensed Representative (Provisional Licence)	4
LI Man Wai, Jasmine	AMF470	Licensed Representative (Provisional Licence)	1, 4
LI Xianlin	AUN096	Licensed Representative (Provisional Licence)	1
LI Yuan	AUN720	Licensed Representative (Provisional Licence)	1, 9
LIANG Liang	AUM947	Licensed Representative (Provisional Licence)	6
LIM Harvey Man Chuen	AUJ979	Licensed Representative (Provisional Licence)	1, 2
LIM Kian Lee, Bernard	AUM596	Licensed Representative (Provisional Licence)	1, 4, 9
LIM Kwee Tee	AUP360	Licensed Representative (Provisional Licence)	1, 2
LIN Huei-Jen	AUI488	Licensed Representative (Provisional Licence)	1
LING Kim Keung	ACS615	Licensed Representative (Provisional Licence)	1, 2
LING Xinyuan	AUM712	Licensed Representative (Provisional Licence)	4, 9
LIU Charlene Cheuk Lam Racheal	AUO044	Licensed Representative (Provisional Licence)	4
LIU Jing	AUK370	Licensed Representative (Provisional Licence)	1, 4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
LIU Man Lai, Manly	ADI698	Licensed Representative (Provisional Licence)	1
LIU Yin	AUO116	Licensed Representative (Provisional Licence)	1
LIU Zhihong	AEC891	Licensed Representative (Provisional Licence)	9
LO Kai Tung	AGV227	Licensed Representative (Provisional Licence)	6
LO Sze Ying	AUQ205	Licensed Representative (Provisional Licence)	1, 2
LOCK Pik Shan, Ivy	AIU532	Licensed Representative (Provisional Licence)	6
LOU Meng	AUN916	Licensed Representative (Provisional Licence)	1, 2, 7
LU Jessica Zi Jie	AUJ946	Licensed Representative (Provisional Licence)	1, 6
LU Yapeng	AUP546	Licensed Representative (Provisional Licence)	4
LUI Chi Man, Alan	AML882	Licensed Representative (Provisional Licence)	1, 2
LUI Hung Sun	AUQ332	Licensed Representative (Provisional Licence)	3
LUI Man Wah	AQA809	Licensed Representative (Provisional Licence)	1
LUK Wai Tat	AUP822	Licensed Representative (Provisional Licence)	1, 2
LUNDIA Yogesh	APZ525	Licensed Representative (Provisional Licence)	1, 6
LUO Peng	AUJ707	Licensed Representative (Provisional Licence)	1
LUO Wei	AUQ322	Licensed Representative (Provisional Licence)	1
MA Siu Yan	AUL974	Licensed Representative (Provisional Licence)	1, 4
MA Sze Ming	AUO208	Licensed Representative (Provisional Licence)	3
MAH Serene	AUP368	Licensed Representative (Provisional Licence)	1, 2
MAK Chi Wah, Aaron	AUP951	Licensed Representative (Provisional Licence)	1
MAK Yuen Man, Marian	AID159	Licensed Representative (Provisional Licence)	1, 2
MAN Hok Leung	AUN664	Licensed Representative (Provisional Licence)	1
MARTIN Hubert Charles	AUM955	Licensed Representative (Provisional Licence)	2
MC LAUGHLIN Timothy John	AUN327	Licensed Representative (Provisional Licence)	1
MCALINDEN Barry	APF630	Licensed Representative (Provisional Licence)	1, 4
MENG Jincong	AUN915	Licensed Representative (Provisional Licence)	4, 9
MENG Mingyi	AUJ849	Licensed Representative (Provisional Licence)	1, 4, 6
MENG Song	AUP792	Licensed Representative (Provisional Licence)	1, 6
MOK Yu Tung	AUQ336	Licensed Representative (Provisional Licence)	3
MOU Man Kit, Suny	AHX161	Licensed Representative (Provisional Licence)	1, 2, 7
MU Tong	AUQ183	Licensed Representative (Provisional Licence)	1, 2
MUNDIGIAN Vatche Vartan	AUP689	Licensed Representative (Provisional Licence)	1, 7
NG Chun Man	AUM147	Licensed Representative (Provisional Licence)	2
NG Hin Yeung	AEY930	Licensed Representative (Provisional Licence)	1
NG Ka Ying	AFU399	Licensed Representative (Provisional Licence)	1
NG Kit Mo	ALY615	Licensed Representative (Provisional Licence)	1
NG Kwan Shing	ALZ730	Licensed Representative (Provisional Licence)	1
NG Shun, Shara	AUM730	Licensed Representative (Provisional Licence)	1, 4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
NG Sui Wa, Alyssa	AEE670	Licensed Representative (Provisional Licence)	1, 4, 6
NG Yao Loong	AUJ779	Licensed Representative (Provisional Licence)	1, 6
NG Yi Ching Joven	AUQ033	Licensed Representative (Provisional Licence)	1, 2
NGA Shang Jie Dorcas	AUM928	Licensed Representative (Provisional Licence)	1, 2
O'SHEA Matthew Paul	AUL623	Licensed Representative (Provisional Licence)	1, 7
OH Moon-Suk	AUO123	Licensed Representative (Provisional Licence)	1, 4
PAN Bingqing	AUL784	Licensed Representative (Provisional Licence)	4
PANG See Kit, Alwyn	ACJ317	Licensed Representative (Provisional Licence)	4
PARK Sung Wan	ADQ242	Licensed Representative (Provisional Licence)	1
PAROT Matthieu William Christian Henri	AUM827	Licensed Representative (Provisional Licence)	1, 2
PELHAM Miles Christian	APL696	Licensed Representative (Provisional Licence)	1, 2
PETIT-JEAN Guillaume, Christian	AUP738	Licensed Representative (Provisional Licence)	1, 2
PODDAR Prashant Kumar	AUN819	Licensed Representative (Provisional Licence)	9
POON Tsz Yuen	AUM378	Licensed Representative (Provisional Licence)	1, 6
PRICE Thomas Martin	AUN888	Licensed Representative (Provisional Licence)	4
PUN Wai Ying	AOB919	Licensed Representative (Provisional Licence)	1, 4, 7
QIAN Junwei	AUJ847	Licensed Representative (Provisional Licence)	1, 4, 6
QIAO Fei	ATJ228	Licensed Representative (Provisional Licence)	6
QUEK Tzu Chye	AUQ534	Licensed Representative (Provisional Licence)	4
RAUTUREAU Jean-claude Michel	ASL076	Licensed Representative (Provisional Licence)	1
ROBERTS Matthew Vaughan	AUJ980	Licensed Representative (Provisional Licence)	1, 2, 7
SADHWANI Rashmi Ramesh	AUM930	Licensed Representative (Provisional Licence)	1, 2
SAKAI Fumiyoshi	AUO101	Licensed Representative (Provisional Licence)	4
SCHWINGER Andrew	AUM190	Licensed Representative (Provisional Licence)	9
SEARSON Sarah Margaret	AUM920	Licensed Representative (Provisional Licence)	1
SEE Ching, Jennifer	AEQ054	Licensed Representative (Provisional Licence)	1
SEET Eng Khan	AUN897	Licensed Representative (Provisional Licence)	4
SEGAL James Marc Lee	ANM994	Licensed Representative (Provisional Licence)	1, 2
SEVE Mickael Arnaud	AUJ499	Licensed Representative (Provisional Licence)	1
SHANG Xiaoting	AUL942	Licensed Representative (Provisional Licence)	1
SHEN Xiaoyi	AUJ706	Licensed Representative (Provisional Licence)	1
SHEPHERD Daniel Themis	ADX267	Licensed Representative (Provisional Licence)	2, 5
SHIU King On	AUM146	Licensed Representative (Provisional Licence)	4
SHUEN Wesley	AUL626	Licensed Representative (Provisional Licence)	1, 2
SIEW Chen Yei	AUL981	Licensed Representative (Provisional Licence)	1, 4, 6
SIM Emily Shao Hua	AUM601	Licensed Representative (Provisional Licence)	1
SINGH Aditya	AUP889	Licensed Representative (Provisional Licence)	1, 2, 4, 5
SINGH Deepak Kumar	AUJ527	Licensed Representative (Provisional Licence)	9

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
SIT Kin Ho	AUN899	Licensed Representative (Provisional Licence)	1
SIU Shui Lin	AUM189	Licensed Representative (Provisional Licence)	1, 9
SOH David	AEI247	Licensed Representative (Provisional Licence)	1
SRIPUNPORN Roger Ardisorn	AIB741	Licensed Representative (Provisional Licence)	1
SUGIYAMA Hirokazu	AUK111	Licensed Representative (Provisional Licence)	2
SUN Miaoling	ATM483	Licensed Representative (Provisional Licence)	1
SUNG Siu Hang, Sennen	AOR113	Licensed Representative (Provisional Licence)	1, 2
TADELIS Jamie Hal	ASO236	Licensed Representative (Provisional Licence)	1
TAI Sheung Lam	AUN904	Licensed Representative (Provisional Licence)	1, 2
TAM Ces'ario Selwyn	AUN337	Licensed Representative (Provisional Licence)	1, 2
TAM Hing Man	AUL943	Licensed Representative (Provisional Licence)	1
TAM Lai Chung	AUM932	Licensed Representative (Provisional Licence)	1, 9
TAN Teng Yee	AUN079	Licensed Representative (Provisional Licence)	4
TAN Tze Huay	AUL628	Licensed Representative (Provisional Licence)	1
TANG Stephen Man Yiu	AUN660	Licensed Representative (Provisional Licence)	1, 6
TANG Ye	ANQ032	Licensed Representative (Provisional Licence)	1, 6
TAO Feiran	AUN714	Licensed Representative (Provisional Licence)	1, 2
TEO Kwee Theng	AUM015	Licensed Representative (Provisional Licence)	1
TOKUYAMA Tomoaki	AUN114	Licensed Representative (Provisional Licence)	1, 2
TOLEDANO Baruk	AUJ510	Licensed Representative (Provisional Licence)	1
TSAI Meng-chen	AUM660	Licensed Representative (Provisional Licence)	1
TSANG Heng Cheong	AUP884	Licensed Representative (Provisional Licence)	1, 2
TSE Ka Man	AUM718	Licensed Representative (Provisional Licence)	1, 4
TSE Sheung Jit	AUQ508	Licensed Representative (Provisional Licence)	4
TSE Si Wai	AUP890	Licensed Representative (Provisional Licence)	1, 2
TUNG Chai Chor	AUL634	Licensed Representative (Provisional Licence)	1
VERMA Shirish Ramesh	AUL983	Licensed Representative (Provisional Licence)	1, 4, 6
WADHERA Karan Dharam	ANH727	Licensed Representative (Provisional Licence)	1, 2
WAN Ching Pong	APP030	Licensed Representative (Provisional Licence)	1
WANG Benjamin	AUP570	Licensed Representative (Provisional Licence)	4
WANG Qian	AUN076	Licensed Representative (Provisional Licence)	1, 2
WIDDICOMBE Daniel	AAY700	Licensed Representative (Provisional Licence)	1
WISWELL William Fitzgerald	AUK115	Licensed Representative (Provisional Licence)	1
WONG Benson	ACU389	Licensed Representative (Provisional Licence)	1, 6
WONG Chi Lok, Eric	AUJ960	Licensed Representative (Provisional Licence)	1
WONG Chun Wah	AUP359	Licensed Representative (Provisional Licence)	1, 4, 9
WONG Man Fai	AUN668	Licensed Representative (Provisional Licence)	1
WONG Shirley Yee Men	AUM931	Licensed Representative (Provisional Licence)	1, 2

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
WOO Sum Ling	ALQ474	Licensed Representative (Provisional Licence)	1, 2
WOO Ying, Elaine	AFT765	Licensed Representative (Provisional Licence)	1, 2
WOODS Jason Liam Thomas	AUL716	Licensed Representative (Provisional Licence)	1, 2, 7
WOODS John Joseph	AUN839	Licensed Representative (Provisional Licence)	4
WU Pei-wei	AUN391	Licensed Representative (Provisional Licence)	1, 2
XING Ziqiang	ART864	Licensed Representative (Provisional Licence)	1
YAM Ying	ARK577	Licensed Representative (Provisional Licence)	1, 2
YAMAOKU Takahiro	AUM127	Licensed Representative (Provisional Licence)	1, 4, 6
YAN Sin Hang	AUL971	Licensed Representative (Provisional Licence)	6
YANG Ka Shui	AOW796	Licensed Representative (Provisional Licence)	1
YANG Lizhi	AUQ155	Licensed Representative (Provisional Licence)	9
YAU Yuk Kuen	AUM480	Licensed Representative (Provisional Licence)	1
YE Xiao	AUM476	Licensed Representative (Provisional Licence)	1, 6
YEE Suk Ping	AUN579	Licensed Representative (Provisional Licence)	1, 2
YEUNG Hiu Chit	AML649	Licensed Representative (Provisional Licence)	9
YEUNG Wing Yi	AUM518	Licensed Representative (Provisional Licence)	1
YIN Guo Hui	AUN818	Licensed Representative (Provisional Licence)	4
YING Li	AUJ699	Licensed Representative (Provisional Licence)	1, 6
YIP Man Wai	AUM750	Licensed Representative (Provisional Licence)	1
YOSHIDA Gotaro	AUQ202	Licensed Representative (Provisional Licence)	1, 2, 7
YOW Chee Kim	AUN750	Licensed Representative (Provisional Licence)	1, 2, 4, 5, 7
YU Amy Hangshin	AUJ850	Licensed Representative (Provisional Licence)	1, 2
YU Baijing	AUL598	Licensed Representative (Provisional Licence)	1, 4, 6
YU Hiu To	AGM902	Licensed Representative (Provisional Licence)	6
YU Peijun	AUQ324	Licensed Representative (Provisional Licence)	1, 2
YUEN Chi Kwong	ART642	Licensed Representative (Provisional Licence)	1
YUEN Queenie Miu Ling	AUN328	Licensed Representative (Provisional Licence)	1, 2
YUEN Wai Kin	AUL965	Licensed Representative (Provisional Licence)	1, 2
YUNG Munh A, Flora	AGO950	Licensed Representative (Provisional Licence)	1
YUNG Wei, Judy	AUJ775	Licensed Representative (Provisional Licence)	1
ZHANG Disheng	AOY784	Licensed Representative (Provisional Licence)	1
ZHANG Wei	APK769	Licensed Representative (Provisional Licence)	1, 6
ZHANG Ying	AUM577	Licensed Representative (Provisional Licence)	1, 2
ZHAO Huiying	ATX474	Licensed Representative (Provisional Licence)	1
ZHAO Qian	AUQ180	Licensed Representative (Provisional Licence)	1, 2
ZHAO Tian	ANR067	Licensed Representative (Provisional Licence)	1, 6
ZHENG Wen	AUH934	Licensed Representative (Provisional Licence)	1, 2
ZHOU Meng	AUO120	Licensed Representative (Provisional Licence)	1, 4, 6

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
ZHU Anne Rui	AUM639	Licensed Representative (Provisional Licence)	1, 4, 6
ZLOT Andrew Edward	AHK662	Licensed Representative (Provisional Licence)	9
ZONENSHINE Moshe Mark	AUP714	Licensed Representative (Provisional Licence)	9
BALDWIN Tristan James	AUL980	Licensed Representative (Temporary Licence)	1, 4
BECK John William	AUM482	Licensed Representative (Temporary Licence)	1
BOULAY Nicolas Philippe	AQI395	Licensed Representative (Temporary Licence)	1
CRAMER Brahm Stuart	AUP814	Licensed Representative (Temporary Licence)	4
DAVIS Richard James Patrick	AUM733	Licensed Representative (Temporary Licence)	4
DE WECK Philippe Thomas Pierre	AQC660	Licensed Representative (Temporary Licence)	1
GILBERT Alexander Parish	AUP813	Licensed Representative (Temporary Licence)	4
KRISHNAN Ashwin	AUB346	Licensed Representative (Temporary Licence)	1
KUNIMOTO (ALAWDEEN) Reza	AUO037	Licensed Representative (Temporary Licence)	1, 4
LIPPENS Bruno Andre Joseph	ARP187	Licensed Representative (Temporary Licence)	1
MASTALIR Blake Allard	AUP798	Licensed Representative (Temporary Licence)	4
MIKOSHIBA Shiro	ARG492	Licensed Representative (Temporary Licence)	4
MOTOMURA Masaki	AUP543	Licensed Representative (Temporary Licence)	4
NARITA Yasuhiro	ARQ487	Licensed Representative (Temporary Licence)	4
NOMURA Yoshihiro	ACI615	Licensed Representative (Temporary Licence)	4
NYDICK Jay Scott	AFK637	Licensed Representative (Temporary Licence)	4
ODEN John Evans	AOU898	Licensed Representative (Temporary Licence)	4
OKIHIRA Yoshiyasu	AOE022	Licensed Representative (Temporary Licence)	4
PROZESKY Paul Martin	AUK244	Licensed Representative (Temporary Licence)	4
ROHNER Philippe Jean Georges	AUM946	Licensed Representative (Temporary Licence)	1
SALMAN Makarim Adel	ATD287	Licensed Representative (Temporary Licence)	4
SCOTT Ian Christopher	AUO018	Licensed Representative (Temporary Licence)	4
SELQUIST Thomas Day	AUQ294	Licensed Representative (Temporary Licence)	1
SHIGEMURA Kyoichiro	AQT050	Licensed Representative (Temporary Licence)	4
SUZUKI Seiichiro	AUK287	Licensed Representative (Temporary Licence)	4
SWAN Dominic Noel	AUQ036	Licensed Representative (Temporary Licence)	1
TIMBERLAKE Nicholas Richard William	ALZ469	Licensed Representative (Temporary Licence)	1
TRIGO Sergio, Carlos	AUK283	Licensed Representative (Temporary Licence)	4
TSUPROV Vladimir	ARB749	Licensed Representative (Temporary Licence)	4
WHEELER JR Edwin Joseph	AOV152	Licensed Representative (Temporary Licence)	1
WOOD Catherine Duddy	ATT445	Licensed Representative (Temporary Licence)	4
WU Tao Thomas	AUA520	Licensed Representative (Temporary Licence)	4
Bank Sarasin & Cie AG	AHX499	Registered Institution	1, 4
KEB Asia Finance Limited	ATG704	Registered Institution	1, 4, 9