

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
Aegis Capital Limited	ATW274	Licensed Corporation	9
Amias Berman (Hong Kong) Limited	ATM567	Licensed Corporation	1, 4, 6
ASM Advisory Limited	ATS896	Licensed Corporation	6
EAM Investment Advisors Limited	ATN679	Licensed Corporation	9
Emperor Asset Management Limited	ARU623	Licensed Corporation	4, 9
ICBC International Fund Management Limited	ATI575	Licensed Corporation	4, 9
Isometric Investment Advisors Limited	ATX905	Licensed Corporation	9
Janchor Partners Limited	ATS849	Licensed Corporation	9
Kaisen Asset Management Limited	ATO247	Licensed Corporation	9
Tufton Oceanic Far East Limited	ATW645	Licensed Corporation	1, 4, 9
Win Fung Securities Limited	ASK643	Licensed Corporation	1
VTB Capital Plc	ATY899	Licensed Corporation (Temporary Licence)	1, 4, 6
ANWAR Gohir Naseem	ATY467	Licensed Representative	1
AU Wilson Wai Kwan	ATY188	Licensed Representative	4, 5, 9
BADKOUBEI Shahrum	AUA446	Licensed Representative	4
BANG Anil	ASG420	Licensed Representative	9
BARNES IV Edwin Alonzo	ATT837	Licensed Representative	1, 2
BERNEY Christopher Scott	APL602	Licensed Representative	1
BEUREL Damien Jacky	ATY074	Licensed Representative	1, 2, 7
BIRO Sophie Valerie Louba	ALK025	Licensed Representative	4
BLINKIRON Marc	ATX626	Licensed Representative	1, 2, 7
BYRNE Luke William	AUB086	Licensed Representative	1, 4
CAM Austin Cyril	ATX593	Licensed Representative	1
CHALLIS Philip John	AIV508	Licensed Representative	1
CHAN Cheuk Lun, Gordon	ATY328	Licensed Representative	1
CHAN Chi Ki	AUA440	Licensed Representative	1, 2
CHAN Chi Wing	ATX898	Licensed Representative	1, 2
CHAN Chun Kuen	ATX844	Licensed Representative	4
CHAN Hoi Leung	ATX909	Licensed Representative	4
CHAN Hoi Pong	ATW931	Licensed Representative	1
CHAN Ka Hei	AMG892	Licensed Representative	4
CHAN Kam Hung, Katrina	ATX660	Licensed Representative	1
CHAN Kei Yan	ATY283	Licensed Representative	1
CHAN Kwong Fat, George	AFU058	Licensed Representative	1
CHAN Ling Man, Anita	AGH228	Licensed Representative	1
CHAN Lung Sang	AUA794	Licensed Representative	1
CHAN Ma Lai	ATX636	Licensed Representative	1, 2

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHAN Pak Hong	APD688	Licensed Representative	4, 9
CHAN Raymond Siu Lun	ATT484	Licensed Representative	1, 2
CHAN Sheung Hang	ATY769	Licensed Representative	1
CHAN Tak Kwan	AUA443	Licensed Representative	1
CHAN Ting Fung	ATX675	Licensed Representative	1, 2
CHAN Wai Ching Walton	ATX679	Licensed Representative	1, 2
CHAN Wang Kin	ATX638	Licensed Representative	1, 2
CHAN Wing Kok, Christopher	ATW449	Licensed Representative	1, 7
CHAN Wing Kwong	ATX742	Licensed Representative	1
CHAN Wing Yan	AUA943	Licensed Representative	9
CHAN Yee Ting	ATX933	Licensed Representative	1, 2
CHAN Yee Ting	AUA478	Licensed Representative	1, 2
CHAN Yeuk Wan, Agnes	ADQ944	Licensed Representative	4
CHAN Yim Fong	ATX846	Licensed Representative	4
CHAN Yin Chung, Vivien	ATY953	Licensed Representative	4
CHAN Yin Tsung	ATY748	Licensed Representative	1, 6
CHANDRAMOULI Arun	ATY790	Licensed Representative	1, 2, 4, 5
CHAU Wing Sze	ATX682	Licensed Representative	1, 2
CHEN Huanyu	AUA982	Licensed Representative	4
CHEN Ming-chao	AQX499	Licensed Representative	4
CHEN Stanley	APU255	Licensed Representative	4, 9
CHEN Weiwei	ATY791	Licensed Representative	1
CHEN Wenlai James	AUB795	Licensed Representative	1, 2
CHEN Ying	ASX209	Licensed Representative	1
CHEN Ying	ATY273	Licensed Representative	1, 2
CHEN Yuxi	ATX977	Licensed Representative	1, 2
CHENG Chi Yu	AOR101	Licensed Representative	1, 2, 4, 5
CHENG Hung Tat	AUA676	Licensed Representative	1
CHENG Kong Sen	APU888	Licensed Representative	1, 4
CHENG Pei-huai	ATT841	Licensed Representative	1, 2
CHENG Shun Man	ATY390	Licensed Representative	1, 2
CHENG Wing Tat	AUB321	Licensed Representative	1
CHEUNG Chi Hung	AEY847	Licensed Representative	1, 4
CHEUNG Chi Shing	ATY586	Licensed Representative	1
CHEUNG Chun Ho	ATW460	Licensed Representative	1, 4, 9
CHEUNG Clarice Bonita	ATT086	Licensed Representative	1
CHEUNG Jonathan	ATW579	Licensed Representative	4, 9

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHEUNG Lai Yee	ATY571	Licensed Representative	1, 4
CHI Christa	AUA253	Licensed Representative	1, 2, 7
CHIANG Chun Kit	ATX672	Licensed Representative	1, 2
CHIEW Bee Geok Alina	ALA864	Licensed Representative	1, 9
CHIN Pui Yee	ATX833	Licensed Representative	4
CHING Tsun Lung	AUA954	Licensed Representative	1
CHO Chee Ming	ARP181	Licensed Representative	1
CHOI Jennifer	ATX210	Licensed Representative	1, 4, 6
CHOI Shun Tim	ATX627	Licensed Representative	1, 2
CHOI Siu Hang	ATX594	Licensed Representative	1
CHOI Wai Kit	ATX506	Licensed Representative	1, 2
CHONG Ka Man	ARA354	Licensed Representative	1
CHOW Choi Lin, Elina	AFJ902	Licensed Representative	1
CHOW Kai Kei	ATY743	Licensed Representative	1, 2
CHOW Yu Hin	AMF444	Licensed Representative	9
CHOWDHURY Azad Nasrullah	ATX508	Licensed Representative	1, 6
CHOY Louisa	ABS283	Licensed Representative	1, 2
CHU Cheuk Ho, Andrew	ATX915	Licensed Representative	1, 2
CHU Kuen Ming	AQE680	Licensed Representative	1, 2
CHU Siu Bun	ATX629	Licensed Representative	1
CHUI Lai Ting	AUA965	Licensed Representative	1
CHUI Shuk Yee	AJI244	Licensed Representative	4
CHUNG Lap Kei, Ken	AUB216	Licensed Representative	1
CHUNG Sang Won	AIP442	Licensed Representative	9
CONWAY Allan Brian	AMS702	Licensed Representative	1
DAI Ling	ATC265	Licensed Representative	9
DENG Lisa Li	ATX277	Licensed Representative	4
DENG Zheng	ATY590	Licensed Representative	9
DING Edward An Hua	AUB456	Licensed Representative	4
DJAJADININGRAT Arif Medianto	ATT849	Licensed Representative	4, 6
DOCTOR Rohan Nadir	ATY606	Licensed Representative	1
DONG Liang	ATS187	Licensed Representative	1, 2, 7
D'SOUZA Dexter Augustus	ATX280	Licensed Representative	1, 2
FAN Chi Wai Simon	AGB716	Licensed Representative	1, 2, 4
FAN Ching Yee	AHR797	Licensed Representative	1, 4, 6
FAN Haiyang	ARO765	Licensed Representative	1, 6
FANG Fei	ATX896	Licensed Representative	1, 6

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CE Name	CE No.	Licence Type	Types of Regulated Activity
FERNS Stewart Kenneth	AQP587	Licensed Representative	4, 5, 9
FISHER David Eli	ATS863	Licensed Representative	9
FONG Kam Cheung, Patrick	AMQ876	Licensed Representative	1, 2
FONG Wei Sin	ASD550	Licensed Representative	1
FOO Chee King, John	AGC136	Licensed Representative	9
FUNG Chung Chi	AJE965	Licensed Representative	1, 2
FUNG Hei Shun, Gary	ATX827	Licensed Representative	1
FUNG Ka Ho, Eric	AUA455	Licensed Representative	1, 2
FUNG Nim Yan	ATY784	Licensed Representative	4
GALLAGHER Casey Haran	AQE600	Licensed Representative	1
GALVAO Caio Napoli	ATY363	Licensed Representative	1
GAN Weiyang, Samuel	ATT473	Licensed Representative	1, 4, 6
GANDHI Harmeet Singh	ATY488	Licensed Representative	1, 2
GAO Xin	AUC236	Licensed Representative	4, 9
GARDNER David Leslie	ATX829	Licensed Representative	4
GODRIDGE Benjamin John	ATS628	Licensed Representative	1, 4, 9
GOEL Kshitij	AQM623	Licensed Representative	1
GONG Min	ATX842	Licensed Representative	4
GOTETY Venkata Narasimha Apparaya Kishore	ATT094	Licensed Representative	1, 4, 9
GUPTA Oindrilla	AUA970	Licensed Representative	1, 9
HALL Adam Peter	ATX841	Licensed Representative	1, 2, 7
HAN Eugene Kim	AUA466	Licensed Representative	1, 4, 6
HANSEN Patrick Dwight	AST134	Licensed Representative	4
HE Yinliang	AUA263	Licensed Representative	1, 4
HO Andrew Patrick Siu Choong	AOG481	Licensed Representative	1, 4, 5, 9
HO Chi-pin	ANM677	Licensed Representative	1
HO Hsueh-mei	ATX642	Licensed Representative	4, 5, 9
HO Ka Lee Carrie	AUA763	Licensed Representative	1
HO Kwong Yan	ATY797	Licensed Representative	1, 2
HO Shung Wai	ATY617	Licensed Representative	1
HO Yoon Onn	AUA259	Licensed Representative	1
HO Yuk Wah	ANA760	Licensed Representative	1, 2
HONG Colin Chor Lok	ANQ007	Licensed Representative	1, 4
HONG Kam Kit, Eddie	ATX920	Licensed Representative	9
HOWIE Geoffrey Raymond	AME455	Licensed Representative	2
HTUT Zeyar Sein	ARS770	Licensed Representative	4
HU Yang	ATX835	Licensed Representative	1, 2

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CE Name	CE No.	Licence Type	Types of Regulated Activity
HUANG Jaw-yang	ARG744	Licensed Representative	1
HUI Mei Ya	ALC105	Licensed Representative	1
HUI Tak Tsun	AOD424	Licensed Representative	1
HUNG Hing Wu	AGT903	Licensed Representative	1, 4
HUNG Kei Fung	ATX630	Licensed Representative	1, 2
HUREWITZ Joel Allan	AIN756	Licensed Representative	1, 4, 7
HWANG Shiang-ling, Helen	AMI512	Licensed Representative	1, 2
JIANG Tian	ATX995	Licensed Representative	1, 4, 9
JIM Yuk Tong	ATT579	Licensed Representative	1, 2
JIN Lu	ATX994	Licensed Representative	6
KAM Cheong Ming	AUA247	Licensed Representative	1
KANG Gyong Hee	AIK892	Licensed Representative	1
KANSAL Mohit	ATX900	Licensed Representative	1, 2
KARP Erika Michele	ATY607	Licensed Representative	4
KASHYAP Ravi	ATY166	Licensed Representative	1, 2, 7
KESEBI Sukru	ATT835	Licensed Representative	1, 2
KIM In-Geun	AUA681	Licensed Representative	1
KIM Kwang Joon	ATX443	Licensed Representative	1
KIM Samuel, Nicolas	ATX996	Licensed Representative	1, 2, 7
KIMURA Kuniomi	ATY075	Licensed Representative	1, 2
KIRK Bruce Stephen James	ASZ619	Licensed Representative	1, 2
KOH Columbia	ATY202	Licensed Representative	4
KONDO Kei	ATX611	Licensed Representative	1, 2, 7
KONG Zuming	ATX317	Licensed Representative	2
KORNBERG Benjamin Mikael	ATM599	Licensed Representative	1
KWAN Hoi Wai	ATV559	Licensed Representative	1, 2
KWAN Yuk Yee	ATW994	Licensed Representative	1
KWOK Siu Fung	ATW960	Licensed Representative	1
KWOK Tun Wai	ALB797	Licensed Representative	1, 4
KWONG Oi Ting	AGE086	Licensed Representative	1
LAGERLOW Aaron William	ATC868	Licensed Representative	1
LAI Man Wah	ATX935	Licensed Representative	1, 4, 9
LAKHANPAL Ranjit	AFT173	Licensed Representative	1, 4, 6
LAM Bonita	ATX998	Licensed Representative	1
LAM Hau Ling	ATX836	Licensed Representative	1
LAM Jason Kit Keong	ATT386	Licensed Representative	1
LAM Shiu Cheuk	ATY271	Licensed Representative	1

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CE Name	CE No.	Licence Type	Types of Regulated Activity
LAM Wai Cheong	AUC060	Licensed Representative	1
LAM Wing Tai	ATW882	Licensed Representative	1
LANG Zhen	ATY003	Licensed Representative	1
LARBIER Patrick	ABY856	Licensed Representative	2
LAU Chau Wah	ATY767	Licensed Representative	1
LAU Cheuk Ki	ATX970	Licensed Representative	1, 2
LAU Ka Ming	AGP191	Licensed Representative	1
LAU Kin To, Philip	AUB584	Licensed Representative	1, 4
LAU Muk Keung	AHD597	Licensed Representative	1
LAU Wan Sze	ATY768	Licensed Representative	1, 7
LAU Yin Ling	ATY263	Licensed Representative	4
LAW Lai Oi	ATX744	Licensed Representative	1
LAW Wei Kee, Philip	ATT955	Licensed Representative	1, 2
LEE Ching Man	ATY001	Licensed Representative	4, 9
LEE Joon Ho	ATX670	Licensed Representative	1
LEE Kam Lun	ATY264	Licensed Representative	4
LEE Kok Hung, Morse	ATW710	Licensed Representative	1
LEE Kwan Kit	AHX656	Licensed Representative	4, 9
LEE Man Wui, Jeff	AUA461	Licensed Representative	1, 2
LEE Man Yiu, Paul	ADV329	Licensed Representative	1
LEE Pui Ki	AUA442	Licensed Representative	1
LEE Shek Wing, Paul	ACM457	Licensed Representative	4, 5, 9
LEE Siu Hung	AEY316	Licensed Representative	1
LEE Sze Man, Ellen	APH709	Licensed Representative	1, 2
LEE Tak Choi	AMZ925	Licensed Representative	1, 2
LEE Tse Yun	AUA508	Licensed Representative	1
LEE Tsz Yan	ATX934	Licensed Representative	1, 2
LEE Yiu San	ATT577	Licensed Representative	1
LEI Ho Chun	ATY002	Licensed Representative	1, 2
LEPSOE Robert Christopher	AFJ245	Licensed Representative	1
LEUNG Chak Wing	ATY265	Licensed Representative	4
LEUNG Chak Yan	ATO522	Licensed Representative	3
LEUNG Chun John	ATY710	Licensed Representative	1, 2
LEUNG Ho Fun	ATY587	Licensed Representative	1
LEUNG Ho Ping, Paul	ATW947	Licensed Representative	1, 2
LEUNG Ho Yan, Ryan	ATW711	Licensed Representative	4
LEUNG Ho Yin	ATY751	Licensed Representative	2

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
LEUNG Hoi Lam	ATW750	Licensed Representative	1, 4
LEUNG Hong Lin	AUB540	Licensed Representative	1
LEUNG Ka Man, Carman	ATX910	Licensed Representative	4
LEUNG Kin Fan Robert	ATX603	Licensed Representative	4, 9
LEUNG Lok Yan	ATX315	Licensed Representative	4
LEUNG Man Shan	AUA953	Licensed Representative	1
LEUNG Pik Har, Venus	AQS667	Licensed Representative	4
LEUNG Pui Yin	AIO017	Licensed Representative	1
LEUNG Shook Ying	ACL423	Licensed Representative	3
LEUNG Shuk Yi	ATY813	Licensed Representative	4
LEUNG Tai Wai	ABF062	Licensed Representative	1
LEUNG Yuen Yee, Cherry	AHS598	Licensed Representative	1
LI Bo	ATY688	Licensed Representative	4
LI Chih Chiang	ATW743	Licensed Representative	1, 4
LI Hing Wah	ATY468	Licensed Representative	1, 2
LI Hui	ATX931	Licensed Representative	1, 6
LI Jacqueline Hsuanying	ATT459	Licensed Representative	1, 4, 6
LI Kar Wai	AUA283	Licensed Representative	1
LI Lei	AUA255	Licensed Representative	1, 6
LI Qing	ATY325	Licensed Representative	4, 9
LI Wing See	AMJ728	Licensed Representative	4
LI Ye	ATX274	Licensed Representative	1, 6
LI Yee Shuen	AUA984	Licensed Representative	1, 2
LI Yinan	ATY746	Licensed Representative	9
LIAN Fai	AQS186	Licensed Representative	4
LIANG Guoqiang	ATX306	Licensed Representative	4, 9
LIANG Lili	ATT866	Licensed Representative	1
LIE Thresiana	ATX921	Licensed Representative	9
LIN Alexander Lanson	ADY651	Licensed Representative	4, 5, 9
LIN David Ping	AOT744	Licensed Representative	1
LIN Lin	AUA267	Licensed Representative	1, 2
LING Chi Chuen	AQQ128	Licensed Representative	1
LIU Chui Ping	ATX837	Licensed Representative	1
LIU Hongyi	ATO886	Licensed Representative	6
LIU Kam Lung	AGO532	Licensed Representative	1
LIU Qiwen	ATT804	Licensed Representative	4
LIU Youhua	ATW985	Licensed Representative	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
LO Kai Fung	ATX632	Licensed Representative	1, 2
LO King Keung, Joe	ATX834	Licensed Representative	4
LODHA Amit	ATT580	Licensed Representative	1, 9
LONGE Kehinde Phillip Oladotun	ANT775	Licensed Representative	1, 2
LUI Thomas Ting Ching	AJL908	Licensed Representative	1, 4
LY Laurent Huai Eng	ATW215	Licensed Representative	1, 4, 6
MA Chi Ming	ACS639	Licensed Representative	1
MA Kwok Ming	AQC165	Licensed Representative	1, 2
MA Yuk Fung	ATX838	Licensed Representative	1
MAEDA Jun	ARI687	Licensed Representative	1, 2, 7
MAK Ka Chung, Steven	ATY276	Licensed Representative	9
MAK Kwong On	ATW321	Licensed Representative	1
MAN Yuk Fai	ATY462	Licensed Representative	4
MESSERSCHMITT Frederic Pierre Paul	ATY938	Licensed Representative	1, 6
MICHEL Celine Marie Fanny	AUA949	Licensed Representative	1, 2
MOK Lai Fun Florence	ANJ599	Licensed Representative	1, 6
MOLLER Andrew Peter	ATV175	Licensed Representative	1
MORVAN Christophe	AUB794	Licensed Representative	1, 2
MURPHY David James	AFG800	Licensed Representative	1, 2, 4, 5
NG Chi Wai	ATY004	Licensed Representative	1
NG Kam Fai	AUA229	Licensed Representative	1
NG Kwok Kei	AUB320	Licensed Representative	1, 2
NG Lee Fang	ATT934	Licensed Representative	4
NG Wing Fung	ATX903	Licensed Representative	4
NG Wing Sze	ATY324	Licensed Representative	1, 2
NG Yu Hin John	ATW740	Licensed Representative	1
NGAI Tsz Yau	ATX907	Licensed Representative	4
NGUYEN Nguyen Thanh	AOO555	Licensed Representative	1, 2, 4
NING Richard	AUA444	Licensed Representative	1, 2
OEN Daniel Thian Liong	ATS911	Licensed Representative	1
ONG Marilyn Yap	ATT778	Licensed Representative	1, 2
OYO Hiroshi	AUA698	Licensed Representative	1, 2
PAN Peng	AFP014	Licensed Representative	1
PANG Man King	ATX974	Licensed Representative	1, 2
PARMAR Bhavin Pravin	AUA256	Licensed Representative	1, 2
PENG Yu Yu	ATV436	Licensed Representative	4, 6
PITHER YEUNG Wai Ming	AQC736	Licensed Representative	1

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CE Name	CE No.	Licence Type	Types of Regulated Activity
POON Kin Hei	ATV568	Licensed Representative	1
POON Lai Man	AUA680	Licensed Representative	1
POON Tik Wan	AEO641	Licensed Representative	1
POON Tina	ATX908	Licensed Representative	4
POULTON Charles Francis Campbell	AMK227	Licensed Representative	1, 7
QI Xuan	ATW424	Licensed Representative	1, 4
QIU Zhengwei	ASZ607	Licensed Representative	1, 2
RA Hong Bin	ATY482	Licensed Representative	1, 4
RAJARAMAN Raghavendran	ATT020	Licensed Representative	1, 2
RATHI Shashank	ATW910	Licensed Representative	1, 2
ROU Lei	ATX914	Licensed Representative	1
SALZGEBER Olivier	AUA248	Licensed Representative	1, 4, 6
SAMTER Mark Graham	ATW081	Licensed Representative	4
SELLEN David Paul	ATX502	Licensed Representative	1, 2
SEOK Joon	ATX989	Licensed Representative	1
SHAHAPURKAR Nilesh	ATX901	Licensed Representative	1
SHANG Wei	ATV553	Licensed Representative	1, 2
SHE Chiu Yin, Duncan	AAJ218	Licensed Representative	4, 5, 9
SHEK Po Wan, Winnie	ADY724	Licensed Representative	1, 4
SHU Shan	ATY750	Licensed Representative	1, 2
SHUM Ki Ho	ATX634	Licensed Representative	1
SHUNG Kwok Yin	AFF211	Licensed Representative	1, 2
SIN Chi Wai	AUA766	Licensed Representative	1, 2
SIN Yee Wing, Fiona	AUA467	Licensed Representative	1
SIU Chi Chiu	ATX811	Licensed Representative	1
SIU Chi Pang	ATY476	Licensed Representative	1
SO Shin Yuk	AJG154	Licensed Representative	1, 2
SOHN Charles Chongho	AUA852	Licensed Representative	1
SONG Won Sang	ATY600	Licensed Representative	1
SONG Zhenru	ATX916	Licensed Representative	1, 6
SONI Manoj	AUA250	Licensed Representative	1, 4
SOPP Stuart Martin	ATS771	Licensed Representative	1, 2
STARR Tea	AUA701	Licensed Representative	1
STASSEN Christian Eriksen	AUA254	Licensed Representative	1, 2
STEPHENS John David	ATX325	Licensed Representative	1, 2
STILLE Guy Michael	AAE672	Licensed Representative	1, 2, 4
SUN Xiaodong	ATY657	Licensed Representative	4, 9

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CE Name	CE No.	Licence Type	Types of Regulated Activity
SUN Yiqian	ATV809	Licensed Representative	1, 2
SUOR Jehanne	ATW753	Licensed Representative	1, 4
SURANUDPRED A Vuthi	AUA470	Licensed Representative	3
SZE Ching Man	AUA960	Licensed Representative	1, 2
TAM Ka Wai, Clara	AQS480	Licensed Representative	1
TAM Sau Yin	AFC202	Licensed Representative	1
TAM Seen Mann, Estefania	ATY905	Licensed Representative	1, 7
TAM Ting Chi	ATX440	Licensed Representative	1
TAM Tsz Chung	ATX450	Licensed Representative	1, 2
TAM Wai Man	ATY686	Licensed Representative	1
TAM Yuen Lam, Angela	AUA445	Licensed Representative	6
TAM Yun Sang	ATQ937	Licensed Representative	1
TAN Fang Li, Vera	ATX839	Licensed Representative	1
TAN Wan Yuan	AMK263	Licensed Representative	1, 2
TANG Sai Hung	AUC184	Licensed Representative	1
TANG Siu Lai, Stanley	AFQ893	Licensed Representative	1, 6
TEH Chou Yuen	ATY066	Licensed Representative	1
THAKORE Hemal	AED178	Licensed Representative	1
THIBAULT Emmanuel, Marie, Philippe, Daniel	ATW114	Licensed Representative	1, 2
TONG Alex Chi Kai	ATX897	Licensed Representative	1, 4
TONG Jun Yan, Martin	ATY749	Licensed Representative	1
TONG Tsun Yat	ATW485	Licensed Representative	1, 2
TSAI Hsueh-Ping	ATS056	Licensed Representative	1
TSAI Yuen Ning	ATX780	Licensed Representative	9
TSANG Ching Wan	ATY958	Licensed Representative	4
TSANG Kun Seong	ACK083	Licensed Representative	3
TSE Chun Ming, Raymond	ATX774	Licensed Representative	4
TSE Ka Tsuen	ATY068	Licensed Representative	1, 2
TSE Ka Wai	ATT121	Licensed Representative	1, 2
TSE Kin Wai	ATY812	Licensed Representative	1
TSE Nga Man	ATX507	Licensed Representative	1
TSUI Chi Ping, Ken	ATY811	Licensed Representative	1, 4
TUNG Mathew Ka Wang	AUA456	Licensed Representative	1, 2
VAN DEURSEN Reinout Henric Laurens	ASH973	Licensed Representative	1, 2
VARGHESE Dennis George	ATY739	Licensed Representative	1
VERNEAU James Christopher	ATY073	Licensed Representative	4, 9
VERSTRAETE Jeroen Jerome Denise	ATX640	Licensed Representative	9

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
WAI Justin	ANU188	Licensed Representative	1, 4
WAN Chun Man	ATY752	Licensed Representative	1, 2
WANG Cong	ATW842	Licensed Representative	4
WANG Nan	ATY806	Licensed Representative	1, 4, 9
WANG Po Yuk	ATW993	Licensed Representative	1
WANG Richard Jen-Hwa	AUA264	Licensed Representative	1, 4
WANG Xi	ATS191	Licensed Representative	4
WANG Yang	ATY067	Licensed Representative	1, 6
WEI Zhenghui	ATY167	Licensed Representative	4
WEN Danielle	ATS171	Licensed Representative	1, 4, 6
WONG Chun Chung	ATX845	Licensed Representative	4
WONG Hok Ko, Gordon	ADT261	Licensed Representative	4
WONG Hok Yuen	AUA731	Licensed Representative	1, 4, 5, 9
WONG Mei Fan	ATX911	Licensed Representative	4
WONG Mei Sze	ATY711	Licensed Representative	1, 2
WONG Pun Lung, Rockey	ATG997	Licensed Representative	1, 2
WONG Thomas Chung Hau	ANU194	Licensed Representative	4, 9
WONG Wing Shing	ATY477	Licensed Representative	1
WONG Yee Kae	ATV562	Licensed Representative	1, 2
WOOD Malcolm Ross John	ALT902	Licensed Representative	9
WOODHULL Anshumann	ATY160	Licensed Representative	9
WU Lap Yan	AUB549	Licensed Representative	1, 2
WU Sui Hin	ARO400	Licensed Representative	1, 7
XIE Rong	ATT939	Licensed Representative	1
XIONG Guangyu	ATT122	Licensed Representative	1
XU Pengbiao	ATW741	Licensed Representative	1, 2
XU Shihuan	AUA983	Licensed Representative	4
XU Sixiao	AUA948	Licensed Representative	1, 4
XUE Yan	ATX492	Licensed Representative	4, 9
YANG Bing	ATX912	Licensed Representative	1, 6
YANG Yang	ATY685	Licensed Representative	1, 2
YAU Chi Wai	AUA441	Licensed Representative	1, 4, 6
YEUNG On Lit	AQE939	Licensed Representative	1, 2
YEUNG Pui Shan	ATY822	Licensed Representative	1, 2
YEUNG Shuen	ATX840	Licensed Representative	1
YEUNG Siu Wing	ATX323	Licensed Representative	1
YEUNG Wing Shing	AUD237	Licensed Representative	4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
YIP Lai Chuen	ATX917	Licensed Representative	1, 4, 9
YOSHIDA Hinako	AUB347	Licensed Representative	1, 2
YU Peng	ATY475	Licensed Representative	6
YU Wai Ka	ATX641	Licensed Representative	1
YU Wai Kwan, Tina	AMJ508	Licensed Representative	4, 9
YUE Kin Wan	AAE881	Licensed Representative	1, 2
YUEN Kit Hing	ATX899	Licensed Representative	1
YUEN Robin	AQD400	Licensed Representative	1
YUEN Shu Chi Alvin	ATX895	Licensed Representative	1, 4
ZHANG Chuandong	ATS050	Licensed Representative	1, 4
ZHANG Jincheng	ATT807	Licensed Representative	4
ZHANG Meng	AOB546	Licensed Representative	1, 2, 4, 5
ZHOU Bei	ASZ105	Licensed Representative	9
ZHOU Yu	AGO880	Licensed Representative	9
ZHOU Zhong	ATW216	Licensed Representative	4
ZHU Kun	ATT128	Licensed Representative	4
AMIAS Jeremy Adrian	AHK973	Licensed Representative - Responsible Officer	1, 4, 6
BANNO Katsukuni	ATR464	Licensed Representative - Responsible Officer	1, 4
BHATIA Sanjiv	ADG304	Licensed Representative - Responsible Officer	9
BO Shuk Chee	ACN969	Licensed Representative - Responsible Officer	4
BRAHDE Alf Cato	ATX051	Licensed Representative - Responsible Officer	1, 4, 9
CHAN Shing Yan	AGE665	Licensed Representative - Responsible Officer	1, 4, 9
CHANG Yu-Yu	ANL939	Licensed Representative - Responsible Officer	9
CHEN Geoffrey Pau Hsiu	AQN001	Licensed Representative - Responsible Officer	9
CHOI Wai King	ACL677	Licensed Representative - Responsible Officer	4, 9
CHUANG Kun-Jung	AHC333	Licensed Representative - Responsible Officer	1, 6
GOOD Nicholas Michael Whateley	AQD144	Licensed Representative - Responsible Officer	4, 6, 9
HUANG Kuang-Cheng	ATY329	Licensed Representative - Responsible Officer	1
HUANG Pei-Ting	AUB174	Licensed Representative - Responsible Officer	9
JIANG Christopher	ATI411	Licensed Representative - Responsible Officer	9
LEE Kwong Shing, Eugene	ABV538	Licensed Representative - Responsible Officer	1, 2
LESKO Glenn Eric	ADE247	Licensed Representative - Responsible Officer	1, 4, 7
LIANG Yum Shing, Howard	ADN983	Licensed Representative - Responsible Officer	1
LIN Su-Yuan	ARA550	Licensed Representative - Responsible Officer	1
LU Yanxiang	AQX954	Licensed Representative - Responsible Officer	9
MAGUIRE Raymond	ANZ631	Licensed Representative - Responsible Officer	1, 4, 9
MEEK Richard Gordon	ATS483	Licensed Representative - Responsible Officer	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
NG Siu Fai, Stephen	ATX477	Licensed Representative - Responsible Officer	4
SARTHOU Ramon Jose Trillo	ATR803	Licensed Representative - Responsible Officer	4, 9
SIMPSON Robert Roy Charles	ALS066	Licensed Representative - Responsible Officer	1
STAPLETON Michael David	ATW713	Licensed Representative - Responsible Officer	1, 4, 9
YANG Xiaohua	AMF826	Licensed Representative - Responsible Officer	9
YU Chenjie	AQA798	Licensed Representative - Responsible Officer	9
YU Randolph Albert	ATW318	Licensed Representative - Responsible Officer	9
ADOLF .	AUE375	Licensed Representative (Provisional Licence)	1, 2
BAN Sui Lyn, Lena	AUE036	Licensed Representative (Provisional Licence)	1, 6
BANGHART III James Munger	AUE953	Licensed Representative (Provisional Licence)	1, 4
BECKETT David	AUC303	Licensed Representative (Provisional Licence)	1
BRAITSCH Joseph Lawrence	AUC177	Licensed Representative (Provisional Licence)	1, 2
BUSUTTIL Mark	AUC502	Licensed Representative (Provisional Licence)	4
BUTLER Marshall James	AUC432	Licensed Representative (Provisional Licence)	4
CARIASO Reginaldo Balibay	AGO290	Licensed Representative (Provisional Licence)	1, 4, 6
CHAN Chun Ming	ATS761	Licensed Representative (Provisional Licence)	1
CHAN Chun Yue	AUB763	Licensed Representative (Provisional Licence)	1, 6
CHAN Hiu Yi	AUG801	Licensed Representative (Provisional Licence)	1
CHAN Hoi Kay, Cynthia	AUB274	Licensed Representative (Provisional Licence)	1
CHAN Ka Keung	ATY954	Licensed Representative (Provisional Licence)	1
CHAN Kai Lin	AUD562	Licensed Representative (Provisional Licence)	1, 4
CHAN Kelvin Ho Lau	AUC804	Licensed Representative (Provisional Licence)	1, 2
CHAN Kwok Kuen	AUC309	Licensed Representative (Provisional Licence)	1
CHAN Ping Lam, Winson	AUG225	Licensed Representative (Provisional Licence)	1
CHAN Tai Yin	AUE376	Licensed Representative (Provisional Licence)	1
CHAN Vince Wing-chee	AUE373	Licensed Representative (Provisional Licence)	4
CHAN Wai Ho	AUD980	Licensed Representative (Provisional Licence)	1, 2
CHAN Wai Kit	AUB414	Licensed Representative (Provisional Licence)	1
CHAN Wai Ling	ABS687	Licensed Representative (Provisional Licence)	1
CHAN Ying Wai	AUC919	Licensed Representative (Provisional Licence)	1, 4, 6, 9
CHAN Yue Yan	AGH925	Licensed Representative (Provisional Licence)	4, 5, 9
CHAN Yuen Ting, Sharon	AUC490	Licensed Representative (Provisional Licence)	1
CHANG Kai-Wei	AUB770	Licensed Representative (Provisional Licence)	4
CHAO Chen-Ping	AUB317	Licensed Representative (Provisional Licence)	1
CHEN Jui-Fen	AUB995	Licensed Representative (Provisional Licence)	1
CHEN Shu-Lin	AUD565	Licensed Representative (Provisional Licence)	4
CHEN Wenlai James	AUB795	Licensed Representative (Provisional Licence)	1, 2

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHEN Yayuan	AUC865	Licensed Representative (Provisional Licence)	4
CHEN Yin-Rio	AUG874	Licensed Representative (Provisional Licence)	1, 4
CHENG Kai Tak	AGD666	Licensed Representative (Provisional Licence)	1, 4
CHENG Stanley Hsing-i	AUE093	Licensed Representative (Provisional Licence)	1, 7
CHENG Wan Nok	AUC827	Licensed Representative (Provisional Licence)	4
CHENG Wing Tat	AUB321	Licensed Representative (Provisional Licence)	1
CHENG Yan Ting	AUC961	Licensed Representative (Provisional Licence)	1, 4
CHENG Yau Shing	AUD507	Licensed Representative (Provisional Licence)	2
CHEUNG Amanda Sin Man	AUC319	Licensed Representative (Provisional Licence)	1
CHEUNG Fuk Shing Chris	AUA486	Licensed Representative (Provisional Licence)	1
CHEUNG Ming Tak	AGP486	Licensed Representative (Provisional Licence)	1, 2
CHEUNG Yuk Lam	AUE967	Licensed Representative (Provisional Licence)	1
CHIN Lok Ki	AIG213	Licensed Representative (Provisional Licence)	1, 4
CHO Jihyong	AUD274	Licensed Representative (Provisional Licence)	1
CHOO Chye Hong, Elaine	AUC991	Licensed Representative (Provisional Licence)	1
CHOONG Wai Kee	AUB435	Licensed Representative (Provisional Licence)	4
CHOW Hin Lun, Kevin	AUD696	Licensed Representative (Provisional Licence)	1
CHOW Kon Fai, Brandon	AUD355	Licensed Representative (Provisional Licence)	1, 2
CHOW Yuk Chun	AUD239	Licensed Representative (Provisional Licence)	1, 2
CHOY Chi Hai, Calvin	AUA252	Licensed Representative (Provisional Licence)	4, 9
CHU Cheuk Hin, Henry	AUC315	Licensed Representative (Provisional Licence)	1, 2
CHU Christopher	AQD399	Licensed Representative (Provisional Licence)	4
CHU Jeng Yeu	ANU812	Licensed Representative (Provisional Licence)	1
CHUA Julian Kok Keong	AUB438	Licensed Representative (Provisional Licence)	4
CHUI Chi Yip	AUD694	Licensed Representative (Provisional Licence)	1
CHUNG Kai Shing, Raymond	ADO794	Licensed Representative (Provisional Licence)	1, 4, 5, 9
CHUNG Man Wai, David	AOU630	Licensed Representative (Provisional Licence)	4
CHUNG Michael	AUC505	Licensed Representative (Provisional Licence)	1
CHUNILAL Damian Ratilal	AJH327	Licensed Representative (Provisional Licence)	9
CLARK Kelly Kent	ARK432	Licensed Representative (Provisional Licence)	1
COLL Christine Lee	AUE427	Licensed Representative (Provisional Licence)	1, 2, 4, 5
COLLETT Michael James	AUB134	Licensed Representative (Provisional Licence)	1
CONRAN Graham Brian	AUB111	Licensed Representative (Provisional Licence)	1, 4, 6
CUNNINGHAM Jeremy James Warren	AQS229	Licensed Representative (Provisional Licence)	1
CURRAN Ross Niall	AUC499	Licensed Representative (Provisional Licence)	4
DADABHOY Imran Sooleman	AJH414	Licensed Representative (Provisional Licence)	1, 2
DAVISON Nathan Luke	AUD693	Licensed Representative (Provisional Licence)	1, 2, 4, 5

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
DEL ROSARIO Annabelle Zayco	AUB119	Licensed Representative (Provisional Licence)	1, 2
DESAI Dhaval Pravinkumar	AUG328	Licensed Representative (Provisional Licence)	1, 2
DING Yong	APP054	Licensed Representative (Provisional Licence)	9
FAN Ching Yee	AHR797	Licensed Representative (Provisional Licence)	1, 4, 6
FAN Lin	AUD641	Licensed Representative (Provisional Licence)	1
FANG Hong	ALY689	Licensed Representative (Provisional Licence)	1, 4
FANG Peter	AUD627	Licensed Representative (Provisional Licence)	1, 4, 6
FARRELL Douglas John	AUD727	Licensed Representative (Provisional Licence)	1, 4, 6
FRANCOIS Antoine, Albert, Gunefort, Marie, Joseph	AUD883	Licensed Representative (Provisional Licence)	1, 2, 7
FU Chong	AUD159	Licensed Representative (Provisional Licence)	1, 4, 6
FUNG Ka Wo Stephen	AUC494	Licensed Representative (Provisional Licence)	1, 4
FURUSHO Takaaki	AJK610	Licensed Representative (Provisional Licence)	1
GAO Caiyun	AUD011	Licensed Representative (Provisional Licence)	1
GEOERGE Anthony	AUC974	Licensed Representative (Provisional Licence)	1
GOEL Kshitij	AQM623	Licensed Representative (Provisional Licence)	1
GONZALEZ VILLAVECCHIA Manuel	AUC314	Licensed Representative (Provisional Licence)	1, 2
GRAHAM Oliver Frederick	ATY567	Licensed Representative (Provisional Licence)	1, 2
GUO Jung Rong	AHN977	Licensed Representative (Provisional Licence)	1, 4
GUO Shiling	AUE007	Licensed Representative (Provisional Licence)	4
GUPTA Oindrilla	AUA970	Licensed Representative (Provisional Licence)	1, 9
GVOZDEN Alexander Robin	ADR449	Licensed Representative (Provisional Licence)	4
HAN Sangkyoon	ARJ172	Licensed Representative (Provisional Licence)	4, 9
HAYASE Takahiro	AUE611	Licensed Representative (Provisional Licence)	1, 2
HEADY Robert Christopher	AUD083	Licensed Representative (Provisional Licence)	1, 4
HO Kei Him, Calvin	ATF046	Licensed Representative (Provisional Licence)	1, 4
HO Lai Ming	AUF129	Licensed Representative (Provisional Licence)	1, 4
HO Tai Wai	AGA308	Licensed Representative (Provisional Licence)	1, 2
Ho Wing Yee	ATW454	Licensed Representative (Provisional Licence)	1
HO Yuet Yu	AUD235	Licensed Representative (Provisional Licence)	1, 9
HORSLEY-HEATHER Nicholas John	ASZ379	Licensed Representative (Provisional Licence)	1, 2
HSU She-Hung Danny	AUC935	Licensed Representative (Provisional Licence)	1, 4
HU Jiguang	AUC306	Licensed Representative (Provisional Licence)	1, 6
HUNG Chun	ARO135	Licensed Representative (Provisional Licence)	1, 6
IN Weiyee	AUD689	Licensed Representative (Provisional Licence)	4
IP Hin Fung	AUC867	Licensed Representative (Provisional Licence)	1
JACOBSEN Russell James	AOG291	Licensed Representative (Provisional Licence)	1, 4
JACOBSON John Brennan	ACV752	Licensed Representative (Provisional Licence)	1, 2

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
JAYARAMAN Sreenivas	AUG804	Licensed Representative (Provisional Licence)	1
JEON Ryan Taylor	AUE101	Licensed Representative (Provisional Licence)	1, 4
JIN Jun	AUG273	Licensed Representative (Provisional Licence)	1, 4
KAMAL WONG Ken Arieff Wong Bin	AUB436	Licensed Representative (Provisional Licence)	4
KAPOOR Vishal	AUC312	Licensed Representative (Provisional Licence)	1, 6
KARP Erika Michele	ATY607	Licensed Representative (Provisional Licence)	4
KATO Takashi	AUD160	Licensed Representative (Provisional Licence)	1, 4
KESEBI Sukru	ATT835	Licensed Representative (Provisional Licence)	1, 2
KIM Ji Young	AUE802	Licensed Representative (Provisional Licence)	1
KO Chi Chiu	AUB463	Licensed Representative (Provisional Licence)	1
KOHL Mario	AUE808	Licensed Representative (Provisional Licence)	2
KOK Sen Kan	AUC483	Licensed Representative (Provisional Licence)	1
KOLOTIY Dmitry	AUE810	Licensed Representative (Provisional Licence)	1, 2
KOT Richard	AUB975	Licensed Representative (Provisional Licence)	1, 2, 7
KUO Che-Jung	ALT954	Licensed Representative (Provisional Licence)	1, 4
KWAN Pik Lin	AUE413	Licensed Representative (Provisional Licence)	1
KWONG Kwok Shing	AUG602	Licensed Representative (Provisional Licence)	1
LAGERLOW Aaron William	ATC868	Licensed Representative (Provisional Licence)	1
LAI Lai Shuen	AMF491	Licensed Representative (Provisional Licence)	1, 2
LAI Wai Chung, Vincent	AUB940	Licensed Representative (Provisional Licence)	1
LAM Tsz Man	AUG805	Licensed Representative (Provisional Licence)	9
LAM Tze Lok	AUC924	Licensed Representative (Provisional Licence)	1, 2
LAM Wai Cheong	AUC060	Licensed Representative (Provisional Licence)	1
LAM Yin Ki	AUC923	Licensed Representative (Provisional Licence)	1
LAU Chung Kit	AUE965	Licensed Representative (Provisional Licence)	1, 2
LAU Jacky Chun Ho	AUG743	Licensed Representative (Provisional Licence)	1, 2
LAU Ka On, David	AOE652	Licensed Representative (Provisional Licence)	4
LAU Tat Fai	AUD253	Licensed Representative (Provisional Licence)	1, 2
LAU Yeung Wah, Eva	AUC237	Licensed Representative (Provisional Licence)	4, 9
LAWRENCE Andrew John	AEC577	Licensed Representative (Provisional Licence)	4
LEE Chun Ming	AME417	Licensed Representative (Provisional Licence)	1
LEE Eugene Keng Yew	AUC307	Licensed Representative (Provisional Licence)	1, 6
LEE Ka Ho, Ronald	ATX677	Licensed Representative (Provisional Licence)	4, 9
LEE Kwan Kin	ARQ982	Licensed Representative (Provisional Licence)	1, 2
LEE Sangwoo Scott	AUC498	Licensed Representative (Provisional Licence)	4
LEE Steven Wai	ADW512	Licensed Representative (Provisional Licence)	1
LEE Su Jin	ARD670	Licensed Representative (Provisional Licence)	1, 2, 4, 5

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
LEE Tse Yun	AUA508	Licensed Representative (Provisional Licence)	1
LEE Wai Hung, Isaac	AUD171	Licensed Representative (Provisional Licence)	1, 2
LEE Yee Nam	AUC313	Licensed Representative (Provisional Licence)	4, 9
LEE Yiu Wai	AUE952	Licensed Representative (Provisional Licence)	1
LEFEVRE John James Reginald	ALG130	Licensed Representative (Provisional Licence)	1, 4, 6
LEUNG Chun Pui	AUC491	Licensed Representative (Provisional Licence)	1, 2
LEUNG Ho Yan, Ryan	ATW711	Licensed Representative (Provisional Licence)	4
LEUNG Hung Sing	AUC949	Licensed Representative (Provisional Licence)	6
LEUNG Man Shan	AUA953	Licensed Representative (Provisional Licence)	1
LEUNG Wah Pun	AOG839	Licensed Representative (Provisional Licence)	4
LI Angela Lai Yeung	AUG267	Licensed Representative (Provisional Licence)	4
LI Ka Yiu	AUC295	Licensed Representative (Provisional Licence)	1
LI Ken Ning	AUE960	Licensed Representative (Provisional Licence)	1
LI Yim Ling, Alice	AUE414	Licensed Representative (Provisional Licence)	4, 5, 9
LIANG Lili	ATT866	Licensed Representative (Provisional Licence)	1
LIM Siu Liang, Shaune	AUB441	Licensed Representative (Provisional Licence)	1, 2, 7
LIN Chin-fen	AUC654	Licensed Representative (Provisional Licence)	4, 9
LIU Lili	AUE545	Licensed Representative (Provisional Licence)	4
LIU Xi	AUG468	Licensed Representative (Provisional Licence)	4
LIU Zhiyi	AUE099	Licensed Representative (Provisional Licence)	4
LO Cheuk Chung	AUD648	Licensed Representative (Provisional Licence)	1
LO Wai Kwok Belinda	AUC170	Licensed Representative (Provisional Licence)	1, 2
LOONG Yuen Tung, Cara	AUB981	Licensed Representative (Provisional Licence)	1, 2
LOYER Leonard Benoit Julien Emile	AUD564	Licensed Representative (Provisional Licence)	1, 2
LUK Tsun Kiu, Julian	AUG331	Licensed Representative (Provisional Licence)	1, 2
LUPOLI Christopher	AUD573	Licensed Representative (Provisional Licence)	4
MA Lai Suet	AUE660	Licensed Representative (Provisional Licence)	1
MA Tak Wah	AUD467	Licensed Representative (Provisional Licence)	1
MAISONNEUVE Virginie Monique	ANA059	Licensed Representative (Provisional Licence)	1
MAK Man Lee	AUC508	Licensed Representative (Provisional Licence)	1
MCCORMICK Neil John	ATX904	Licensed Representative (Provisional Licence)	1, 2
MEDEARIS Matthew Holmes	AOB305	Licensed Representative (Provisional Licence)	4, 9
MICHELFEIT Franziska	AUE863	Licensed Representative (Provisional Licence)	2
MINARIA Steffie	AUB433	Licensed Representative (Provisional Licence)	1, 4, 6
MOK Gunda	AUC825	Licensed Representative (Provisional Licence)	4
MOK Lai Fun Florence	ANJ599	Licensed Representative (Provisional Licence)	1, 6
MORVAN Christophe	AUB794	Licensed Representative (Provisional Licence)	1, 2

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
MOSHKOV Maxim	AUE711	Licensed Representative (Provisional Licence)	4
MUN Jongchul	AUG126	Licensed Representative (Provisional Licence)	1
MURPHY Laura Claire	AUC921	Licensed Representative (Provisional Licence)	1
NAGARAJAN Diviya	AUC175	Licensed Representative (Provisional Licence)	4
NAIR Manjith Raghavan	AUE012	Licensed Representative (Provisional Licence)	4
NAKAMURA Ryoko	AUD563	Licensed Representative (Provisional Licence)	4
NG Chau	AUE403	Licensed Representative (Provisional Licence)	1
NG Kin Sang	ARB853	Licensed Representative (Provisional Licence)	1
NG Pang Chak	AUE239	Licensed Representative (Provisional Licence)	1, 2
NG Yuen Ling	AUE236	Licensed Representative (Provisional Licence)	4, 9
NGAI Yue Yan, Ian	AUC912	Licensed Representative (Provisional Licence)	1, 4, 6
ONG Cheng Choo, Cilicia	ALF737	Licensed Representative (Provisional Licence)	1, 4
ONG Peck Har, Shirley	AOL527	Licensed Representative (Provisional Licence)	2
ONO Jumpei	AUC930	Licensed Representative (Provisional Licence)	1, 4
PALMETTO Erik Thomas	AND634	Licensed Representative (Provisional Licence)	1, 4
PANAECH Aman Jeet Singh	AUE107	Licensed Representative (Provisional Licence)	1, 4, 6
PANG Man Wai	ARD488	Licensed Representative (Provisional Licence)	4, 9
PANG Suk Yee, Fiona	AUC416	Licensed Representative (Provisional Licence)	1
PANG Tsi Him, Clayton	AUD240	Licensed Representative (Provisional Licence)	1, 2
PATEL Vijaykumar Thakorbbhai	AUE790	Licensed Representative (Provisional Licence)	2
PENG Vivian R	AUF131	Licensed Representative (Provisional Licence)	1
POON Wai Lun Alan	AUC492	Licensed Representative (Provisional Licence)	6
POON Wing Leung	AUC296	Licensed Representative (Provisional Licence)	1
RADZKI Michael	AUE954	Licensed Representative (Provisional Licence)	1, 4
RAMINENI Anvesh	AUE198	Licensed Representative (Provisional Licence)	1, 6
RASHEED Jibraan Ali	AUD064	Licensed Representative (Provisional Licence)	1, 2
REN Shanshan	AUC485	Licensed Representative (Provisional Licence)	9
RIBEIRO Mauricio Ferreira Meira	AUC957	Licensed Representative (Provisional Licence)	1, 4
ROYAL Carol	AUB786	Licensed Representative (Provisional Licence)	4
SCHRAGE Rebecca Mak Karen	AUE422	Licensed Representative (Provisional Licence)	1, 4
SCHWARZ Rami Lempert	AUE955	Licensed Representative (Provisional Licence)	1, 4
SCONYERS Melissa Beth	AUD887	Licensed Representative (Provisional Licence)	1
SHAO Jin	APS743	Licensed Representative (Provisional Licence)	1
SHEKHAWAT Shilesh	AUE958	Licensed Representative (Provisional Licence)	1, 2, 4, 5
SHEPPARD Neil Murray	AUC311	Licensed Representative (Provisional Licence)	4
SHI Ruichao	ATH910	Licensed Representative (Provisional Licence)	1, 2
SHINODA Yumi	AUC938	Licensed Representative (Provisional Licence)	1, 2

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
SIN Yee Wing, Fiona	AUA467	Licensed Representative (Provisional Licence)	1
SINEGUBKO Boris	AUE781	Licensed Representative (Provisional Licence)	1, 2
SIQUEIRA Marcos Luiz Vertovsek Mariano	AUC252	Licensed Representative (Provisional Licence)	1
SMITH Nicholas James	AUE009	Licensed Representative (Provisional Licence)	1
SOOD Nishant	AUG268	Licensed Representative (Provisional Licence)	1, 4
STARR Tea	AUA701	Licensed Representative (Provisional Licence)	1
STEEL Murray Joseph	AUA735	Licensed Representative (Provisional Licence)	1, 2
STILLE Guy Michael	AAE672	Licensed Representative (Provisional Licence)	1, 2, 4
STOKES Nicholas Peter	AUE005	Licensed Representative (Provisional Licence)	1
SU Hou-ho	AUB386	Licensed Representative (Provisional Licence)	1
SUEN Chak Yeung	AUB978	Licensed Representative (Provisional Licence)	1
SUGIMOTO Chiaki	AUD991	Licensed Representative (Provisional Licence)	3
SUN You Ning	AUB924	Licensed Representative (Provisional Licence)	1, 4
SURRENCY Richard Charles	AUC988	Licensed Representative (Provisional Licence)	1
SUZUKI Takenori	ADD571	Licensed Representative (Provisional Licence)	1
SZNAJDER Samuel	AUD249	Licensed Representative (Provisional Licence)	1
TAKAGI Atsushi	ALU038	Licensed Representative (Provisional Licence)	1
TAM Lok Ming	AUC058	Licensed Representative (Provisional Licence)	1
TAN Meng Teik	AST781	Licensed Representative (Provisional Licence)	1
TAN Siew Hoon	ATX509	Licensed Representative (Provisional Licence)	1, 2
TAN Sin Shiong	AUG880	Licensed Representative (Provisional Licence)	1, 4
TANAKA Shunsuke	AUE033	Licensed Representative (Provisional Licence)	1, 2
TANG Annie On Yee	AUC316	Licensed Representative (Provisional Licence)	1, 2
TANG Kin Man	APS886	Licensed Representative (Provisional Licence)	1
TANG Wai Choi	AUD732	Licensed Representative (Provisional Licence)	1, 2
TANG Wai Yin	AUD893	Licensed Representative (Provisional Licence)	1, 2
TAO Shi	AGS762	Licensed Representative (Provisional Licence)	4, 9
THAKORE Hemal	AED178	Licensed Representative (Provisional Licence)	1
THAM Ngiap Lyn Carolyn	AUD962	Licensed Representative (Provisional Licence)	4
TOMPKINS John G	ANK430	Licensed Representative (Provisional Licence)	1, 7
TREMAINE Katharine Hall	AUC799	Licensed Representative (Provisional Licence)	1
TROPPER Giselle Natalia	AUA249	Licensed Representative (Provisional Licence)	1, 2
TSAI Yi-Tang	AUB319	Licensed Representative (Provisional Licence)	1
TSANG Hung Fai	AUD149	Licensed Representative (Provisional Licence)	1
TSE Chak Lam, Calvin	ADF969	Licensed Representative (Provisional Licence)	4, 5, 9
TSE Hiu Yu	AUG364	Licensed Representative (Provisional Licence)	1, 4, 6
TSE Tsz Kit	AUD977	Licensed Representative (Provisional Licence)	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
TSO Kit Yee	AUC618	Licensed Representative (Provisional Licence)	4, 5, 9
TSOI Chin Pang	AUB775	Licensed Representative (Provisional Licence)	1, 2, 3
TSUI Ursula Yee Har	AUB434	Licensed Representative (Provisional Licence)	4, 5, 9
VASANIA Homiyar Dara	AER013	Licensed Representative (Provisional Licence)	1
WANG Lei	ATV187	Licensed Representative (Provisional Licence)	1, 4, 6
WANG Xiaodan	AUG226	Licensed Representative (Provisional Licence)	6
WANG Xu	AUB753	Licensed Representative (Provisional Licence)	1, 4, 6
WANG Xueying	AUB987	Licensed Representative (Provisional Licence)	4
WANG Yi Li, Ally	AUC869	Licensed Representative (Provisional Licence)	1, 4, 6
WEI Xuyue	AUD628	Licensed Representative (Provisional Licence)	1, 4, 6
WERNERT Jeremy David	AEN823	Licensed Representative (Provisional Licence)	1
WILSON David Andrew	AFS219	Licensed Representative (Provisional Licence)	4
WONG Chiu Wa	AUC397	Licensed Representative (Provisional Licence)	1
WONG Fai Yue, Edward	AUB971	Licensed Representative (Provisional Licence)	4, 5, 9
WONG Man Kin	AUE241	Licensed Representative (Provisional Licence)	1, 2
WONG Man Kin	AUG882	Licensed Representative (Provisional Licence)	1, 2
WONG Po Ching	AUD880	Licensed Representative (Provisional Licence)	1, 2
WONG Po Kwan	AUC497	Licensed Representative (Provisional Licence)	1
WONG Pui Yew, Florence	AQP585	Licensed Representative (Provisional Licence)	1
WONG Sze Ki	AFP508	Licensed Representative (Provisional Licence)	1, 2
WOO May Kay, Angela	AUC926	Licensed Representative (Provisional Licence)	1
WU Chunlei	AUE411	Licensed Representative (Provisional Licence)	1
WU Yi-Ning	AUB993	Licensed Representative (Provisional Licence)	1
WU Zhenhao	AUG747	Licensed Representative (Provisional Licence)	1
XING Maosheng	AKJ354	Licensed Representative (Provisional Licence)	1, 2
XU Qing	AUC278	Licensed Representative (Provisional Licence)	1, 6
YANG Han Hsiang	AUG879	Licensed Representative (Provisional Licence)	1, 4
YANG Hsien-Yu	AUC293	Licensed Representative (Provisional Licence)	1
YANG Jun	AUC305	Licensed Representative (Provisional Licence)	1
YAO Jiang	AUD162	Licensed Representative (Provisional Licence)	1, 2
YAO Lingling	AUB188	Licensed Representative (Provisional Licence)	1
YAU Chi Wai	AUA441	Licensed Representative (Provisional Licence)	1, 4, 6
YAU Kwun Fung	AUG224	Licensed Representative (Provisional Licence)	1
YAU Song, Christine	AUD238	Licensed Representative (Provisional Licence)	1, 4
YE Mingyuan	AMJ300	Licensed Representative (Provisional Licence)	1
YEUNG Chak Nam	AUC990	Licensed Representative (Provisional Licence)	1
YEUNG Pui Yi, Annie	AMJ191	Licensed Representative (Provisional Licence)	1, 2

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
YEUNG Ting Wai	AUD258	Licensed Representative (Provisional Licence)	1, 2, 3
YEUNG Yuk Chow, Dennis	APZ521	Licensed Representative (Provisional Licence)	1
YIM Chun Wah	AUE950	Licensed Representative (Provisional Licence)	1
YIP Heng	AUD022	Licensed Representative (Provisional Licence)	1, 4, 6
YIU Yu Cheung	AUD251	Licensed Representative (Provisional Licence)	1, 2
YOO Jae Ouk	AEO161	Licensed Representative (Provisional Licence)	1, 4
YOO SIMON	AUC960	Licensed Representative (Provisional Licence)	1, 6
YOSHIDA Hinako	AUB347	Licensed Representative (Provisional Licence)	1, 2
YU Qiaowei	AUB986	Licensed Representative (Provisional Licence)	4
YUAN Hao	AUD136	Licensed Representative (Provisional Licence)	1, 6
YUAN Quan	AUG278	Licensed Representative (Provisional Licence)	1, 4
YUE Kenneth	ARS558	Licensed Representative (Provisional Licence)	4
YUE Kin Hang	AUD246	Licensed Representative (Provisional Licence)	4
YUNG Muk Tsz	AUB778	Licensed Representative (Provisional Licence)	4
ZHANG Jingwei	AUG360	Licensed Representative (Provisional Licence)	1, 4, 6
ZHANG Liqun	ATB974	Licensed Representative (Provisional Licence)	9
ZHANG Wei	AUG506	Licensed Representative (Provisional Licence)	4
ZHAO Yuhong	AGO215	Licensed Representative (Provisional Licence)	4, 6
ZHOU Cheng	AUC405	Licensed Representative (Provisional Licence)	4
ZHOU Nan	AUC948	Licensed Representative (Provisional Licence)	1, 4, 6
ZHOU Tingting	AUG803	Licensed Representative (Provisional Licence)	1, 4, 9
ZHOU Xiao Tong	AUD078	Licensed Representative (Provisional Licence)	1, 4
ZHU Li	AUC251	Licensed Representative (Provisional Licence)	1
ZHUKOV Vladimir	AUE417	Licensed Representative (Provisional Licence)	4
ZIELEMAN Tara Jessica	AUE399	Licensed Representative (Provisional Licence)	1
ZWEMER Margit Pavlath	AUC318	Licensed Representative (Provisional Licence)	1, 2, 7
ANTONELLI Christopher George	AQJ320	Licensed Representative (Temporary Licence)	1
ANTONELLI Christopher George	AQJ320	Licensed Representative (Temporary Licence)	1
BOULAY Nicolas Philippe	AQI395	Licensed Representative (Temporary Licence)	1
CABOUAT Nicolas, Claude, Carlo	ATY076	Licensed Representative (Temporary Licence)	1, 2
CAMACHO RIERA Luis Francisco	AQR573	Licensed Representative (Temporary Licence)	4
CAMPICHE Nicolas Thierry	ATY955	Licensed Representative (Temporary Licence)	1
CARON James Arthur	ASU362	Licensed Representative (Temporary Licence)	1
CHIN Szu Yi	ASE564	Licensed Representative (Temporary Licence)	1
CINTAVEY Christopher Albert	ASZ371	Licensed Representative (Temporary Licence)	4
CORNELL James Campbell	ART873	Licensed Representative (Temporary Licence)	1
COYLE John	AUB182	Licensed Representative (Temporary Licence)	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
DIYACHKINA Polina	APH589	Licensed Representative (Temporary Licence)	4
EDWARDS Kevin Maurice	AUE088	Licensed Representative (Temporary Licence)	1
EE Daryl Hock Heng	ARR388	Licensed Representative (Temporary Licence)	1, 4
FINEMAN Daniel Mark	AEP441	Licensed Representative (Temporary Licence)	4
FLATLEY Robert Leo	ARJ068	Licensed Representative (Temporary Licence)	1
GINGRICH James Andrew	AUA282	Licensed Representative (Temporary Licence)	4
HAGEMEIER Jan Patric	AUB442	Licensed Representative (Temporary Licence)	4
HAYNIE James Phillip	AUB942	Licensed Representative (Temporary Licence)	4
HEDTKE Nathan Harrington	ARG770	Licensed Representative (Temporary Licence)	1
HENKEL David Carl	ARO112	Licensed Representative (Temporary Licence)	4
HENRY Brian Andrew	AUB312	Licensed Representative (Temporary Licence)	1
ILARDI Francesco Saverio	ATY957	Licensed Representative (Temporary Licence)	1
KANG Wonsuk	AUB444	Licensed Representative (Temporary Licence)	1, 4, 6
KHISAMOVA Elena	ATY947	Licensed Representative (Temporary Licence)	1, 4, 6
LE Cheng-chiang	AUC989	Licensed Representative (Temporary Licence)	1
LEGUAY Frederic Hubert Francois	AUE059	Licensed Representative (Temporary Licence)	1
MASTERS Seth	ALH777	Licensed Representative (Temporary Licence)	4
MC VEY Henry Hanna	AUC987	Licensed Representative (Temporary Licence)	1
MCGUIGAN Paul Martin	AUD697	Licensed Representative (Temporary Licence)	1
MEANY Peter James	AUA480	Licensed Representative (Temporary Licence)	4
MEEKER Mary Grace	ANJ830	Licensed Representative (Temporary Licence)	1
MERCIER Julien, Simon	AUG478	Licensed Representative (Temporary Licence)	1, 2
METHERELL Alexander John Harding	AUD146	Licensed Representative (Temporary Licence)	1, 4, 6
MIKAMI Jiro	AQS872	Licensed Representative (Temporary Licence)	1
NIEDRINGHAUS IV George Walter	ATY941	Licensed Representative (Temporary Licence)	1, 4, 6
NOGUCHI Masayasu	AUD731	Licensed Representative (Temporary Licence)	4
NORRIS Paul Gregory	AUC402	Licensed Representative (Temporary Licence)	1, 4, 6
PRASAD Simple	AUA964	Licensed Representative (Temporary Licence)	1
PULIDO Oscar Daniel	AUB275	Licensed Representative (Temporary Licence)	1, 4
RADCLYFFE Benjamin James	AUD569	Licensed Representative (Temporary Licence)	1
RICHARDS Melissa	AUC009	Licensed Representative (Temporary Licence)	1
RICHARDSON Peter George Lister	AUD567	Licensed Representative (Temporary Licence)	1
ROEDER Sabine Monika	ATN822	Licensed Representative (Temporary Licence)	1, 6
ROSS James Mcconville	AUC310	Licensed Representative (Temporary Licence)	4
SECKER Graham Ronald	AUD568	Licensed Representative (Temporary Licence)	1
SHERIDAN Richard Leo	AUE091	Licensed Representative (Temporary Licence)	1
SHODA Masafumi	ANE306	Licensed Representative (Temporary Licence)	4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
STANTON Benjamin	AUB177	Licensed Representative (Temporary Licence)	1
STOPFORD Patrick John Richard	AQE998	Licensed Representative (Temporary Licence)	4
STREET Lee Alexander	AUE090	Licensed Representative (Temporary Licence)	1
THONG Wai Meng Damian	ANC081	Licensed Representative (Temporary Licence)	4
TIGNARD Laurent Charles	AUE037	Licensed Representative (Temporary Licence)	1
TOTH Gina Marie	ARV876	Licensed Representative (Temporary Licence)	4
TOTH Gina Marie	ARV876	Licensed Representative (Temporary Licence)	4
VALENTINE ANDREWS Anne Louise	AUC011	Licensed Representative (Temporary Licence)	1
VAN BRUGGE Robert Pieter	AUA340	Licensed Representative (Temporary Licence)	4
VOSPER Paul Andrew	ARU913	Licensed Representative (Temporary Licence)	1
WEST Daniel Craig	AUE988	Licensed Representative (Temporary Licence)	1
WRIGHT Thomas Rowe	AUA323	Licensed Representative (Temporary Licence)	4
WU Tao Thomas	AUA520	Licensed Representative (Temporary Licence)	4
YANAGISAWA Masakazu	ASL355	Licensed Representative (Temporary Licence)	1
East West Bank	AOE791	Registered Institution	1, 4