

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2010

| CE Name | CE No. | Licence Type | Types of Regulated Activity |
|--|---------------|----------------------------------|------------------------------------|
| Altis Partners (Asia) Limited | AVS586 | Licensed Corporation | 9 |
| Bosheng Capital (HK) Limited | AVS274 | Licensed Corporation | 9 |
| China Investment Securities Limited | AVI905 | Licensed Corporation | 1 |
| East Park Investment Management Co Limited | AVO785 | Licensed Corporation | 9 |
| Essence Futures (Hong Kong) Limited | AVM812 | Licensed Corporation | 2, 5 |
| Guotai Junan FX Limited | AUZ981 | Licensed Corporation | 3 |
| HFT Investment Management (HK) Limited | AVT614 | Licensed Corporation | 4, 9 |
| JT Capital Management Limited | AVS144 | Licensed Corporation | 9 |
| Japaninvest (Hong Kong) Limited | AVM449 | Licensed Corporation | 4 |
| Kai Yuan Securities Limited | AVO470 | Licensed Corporation | 1, 4 |
| Pacific Advantage Capital Limited | AVC128 | Licensed Corporation | 4, 9 |
| Pinpoint Asset Management Limited | AVI120 | Licensed Corporation | 9 |
| Titan Capital Services Limited | AVI870 | Licensed Corporation | 9 |
| Trinity Finance Investment Limited | AVN412 | Licensed Corporation | 1 |
| Upbest Assets Management Limited | AFF398 | Licensed Corporation (Migration) | 4, 6, 9 |
| Upbest Commodities Company Limited | AEY503 | Licensed Corporation (Migration) | 2, 5 |
| Upbest Investment Company Limited | ACR645 | Licensed Corporation (Migration) | 8 |
| Upbest Securities Company Limited | ACR387 | Licensed Corporation (Migration) | 1, 4, 6, 9 |
| ABBOTT Giles David Cameron | AVQ399 | Licensed Representative | 1, 4 |
| AHMAD Ciro Jalal | AEY339 | Licensed Representative | 1, 4, 9 |
| AI Xihong | AVW302 | Licensed Representative | 6 |
| ALBANESE II Louis Francais | AUC929 | Licensed Representative | 1, 4, 6 |
| ALLAN Geoffrey Dallinger | AVX704 | Licensed Representative | 1, 2, 4, 7 |
| AN Tae Jin | AHK971 | Licensed Representative | 1 |
| AU Chi Lam | AVY115 | Licensed Representative | 1 |
| AU Wing Suen | AVT462 | Licensed Representative | 9 |
| AU Wing Tung | AVX940 | Licensed Representative | 9 |
| BAARS Andrew Paul | APW807 | Licensed Representative | 1 |
| BAIK Saeyoon | ARJ096 | Licensed Representative | 1, 4, 6 |
| BARG Steven Kass | ARH482 | Licensed Representative | 1 |
| BEN NATHAN Orr | AVI631 | Licensed Representative | 1, 7 |
| BHAMMER Vishal Mahendra Kumar | AHF765 | Licensed Representative | 1, 4 |
| BHUNDIA Ashok Jayantilal | AVX029 | Licensed Representative | 1, 2, 4 |
| BIN Bin | AVY492 | Licensed Representative | 1, 6 |
| BLANQUET Ludovic, Marcel, Michel | AVV559 | Licensed Representative | 1 |
| BLOM Andries Cornelis | AVV334 | Licensed Representative | 1, 2 |

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|-----------------------------------|---------------|-------------------------|------------------------------------|
| BLOOM Jason John | AVV765 | Licensed Representative | 4 |
| BUCKS Tobias James | AVZ694 | Licensed Representative | 4 |
| BUGIA Nina Frances Therese Viajar | AVY764 | Licensed Representative | 4 |
| BURANAKUL Pakorn | AVT095 | Licensed Representative | 1 |
| CABBABE Raif | ATE586 | Licensed Representative | 1, 2 |
| CAI Xiaoxiang | AVX210 | Licensed Representative | 1, 4, 6 |
| CHAN Adam Brian | AVZ113 | Licensed Representative | 4 |
| CHAN Ching On, Rico | AVW193 | Licensed Representative | 4 |
| CHAN Choon Wei Clarence | AVW223 | Licensed Representative | 1, 4, 9 |
| CHAN Dennis Pai Lun | AVS591 | Licensed Representative | 1, 2 |
| CHAN Ka Lun | AVY125 | Licensed Representative | 1 |
| CHAN Kar Yue, Mark | ABB625 | Licensed Representative | 4, 9 |
| CHAN Kin Tak | AVY050 | Licensed Representative | 1 |
| CHAN King Ip | AVY609 | Licensed Representative | 1 |
| CHAN Ko Cheung | AVW065 | Licensed Representative | 1 |
| CHAN Kwok Nam | AUM425 | Licensed Representative | 1, 4, 9 |
| CHAN Man Loon | AVU789 | Licensed Representative | 1 |
| CHAN Ming Queenie | AVV075 | Licensed Representative | 1 |
| CHAN Po Yi | AVV835 | Licensed Representative | 1 |
| CHAN Shing Ho | AVX420 | Licensed Representative | 1, 2 |
| CHAN So Yim, Cindy | AVW004 | Licensed Representative | 1 |
| CHAN Sze Ting | AVW227 | Licensed Representative | 1, 4 |
| CHAN Tsui Shing, Brian | AVW722 | Licensed Representative | 1, 4, 9 |
| CHAN Tze King | AVR185 | Licensed Representative | 1, 4 |
| CHAN Wai Chi Esmond | AVY495 | Licensed Representative | 1 |
| CHAN Wing Yan | AVS581 | Licensed Representative | 1, 2 |
| CHAN Yau Hin | AVY759 | Licensed Representative | 1, 6 |
| CHAN Yee Tak | AVT458 | Licensed Representative | 1, 2, 4, 7 |
| CHAN Yu Chung | AVY023 | Licensed Representative | 1 |
| CHANG Dong Liang | AVW551 | Licensed Representative | 4 |
| CHAO Jeffrey Min-Je | AVX417 | Licensed Representative | 1 |
| CHAU Wa | APJ881 | Licensed Representative | 1, 6 |
| CHAUDHRY Rajah | AVW307 | Licensed Representative | 1, 4 |
| CHEN Chen | AVZ038 | Licensed Representative | 4 |
| CHEN Cheng-Kai | AVV704 | Licensed Representative | 1 |
| CHEN Chien-Yao | AEO696 | Licensed Representative | 1, 2 |

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|-----------------------------|---------------|-------------------------|------------------------------------|
| CHEN Hui-ming | ALW538 | Licensed Representative | 4 |
| CHEN Kun-Yang | AVW003 | Licensed Representative | 1 |
| CHEN Long | AVT720 | Licensed Representative | 1, 4 |
| CHEN Shifeng | AVR903 | Licensed Representative | 1, 2 |
| CHEN Tzung-Chi | AVV547 | Licensed Representative | 1 |
| CHEN Xiaoling | AVW059 | Licensed Representative | 1, 4, 6 |
| CHEN Xiaoyan | AVY039 | Licensed Representative | 4 |
| CHENG Cheuk Fung Clinton | AVX206 | Licensed Representative | 1, 2 |
| CHENG Chun Fai, Hudson | AVX842 | Licensed Representative | 6 |
| CHENG Ka Ki | AVX422 | Licensed Representative | 1 |
| CHENG Tung Lung | AVT078 | Licensed Representative | 1, 2 |
| CHENG Victor Shing Chung | AVY498 | Licensed Representative | 1, 2, 7 |
| CHEUNG Hing Ying Jessica | AVV774 | Licensed Representative | 4, 9 |
| CHEUNG Ka Wai | AVX730 | Licensed Representative | 6 |
| CHEUNG Kam Chau, Patrick | AVY587 | Licensed Representative | 1 |
| CHEUNG Kam Hong | AVT081 | Licensed Representative | 6 |
| CHEUNG Kwong Yan | AVY400 | Licensed Representative | 1 |
| CHEUNG Man Yee | AVY583 | Licensed Representative | 1 |
| CHEUNG Tsz Bun, Edwin | ASX478 | Licensed Representative | 2 |
| CHEUNG Yee Yan Elaine | AVV775 | Licensed Representative | 4, 5, 9 |
| CHILEWICZ Rodolphe Francois | AVY610 | Licensed Representative | 1, 2 |
| CHIU Lon, Ronald | AVY720 | Licensed Representative | 4, 6, 9 |
| CHIU Wing Lam | AVY558 | Licensed Representative | 1 |
| CHO Kunho | AVZ037 | Licensed Representative | 9 |
| CHOI Hok Sum | ATQ936 | Licensed Representative | 1 |
| CHOI Oi Yee, Iris | ANI875 | Licensed Representative | 1 |
| CHOI Raymond Yat-hong | AVY109 | Licensed Representative | 4 |
| CHOI Woo Sung | AVY699 | Licensed Representative | 1, 2 |
| CHONG Karen Kam-Yee | AVY701 | Licensed Representative | 1, 6 |
| CHONG Susie Suen Sien | AFJ411 | Licensed Representative | 1, 4, 9 |
| CHOUDHURY Avijit | AVT529 | Licensed Representative | 1 |
| CHOW Chun Kit | ALI715 | Licensed Representative | 9 |
| CHOW Man Ho | AVY758 | Licensed Representative | 1 |
| CHOW Suk Ching, Irene | ANJ244 | Licensed Representative | 1, 4 |
| CHOW Wing Hong | AVY338 | Licensed Representative | 1, 2 |
| CHOY Wing Fai | AVS172 | Licensed Representative | 1, 2 |

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|-----------------------------|---------------|-------------------------|------------------------------------|
| CHU Gang | AVM425 | Licensed Representative | 1, 4 |
| CHU Ka Lai | AQJ027 | Licensed Representative | 1, 4 |
| CHU Michael | AVV245 | Licensed Representative | 1, 2 |
| CHU Ming Chih | AVW089 | Licensed Representative | 1 |
| CHU Ming Ki | AVU654 | Licensed Representative | 1, 2 |
| CHU Nihong | AVL926 | Licensed Representative | 1, 4, 6 |
| CHU Tat Chee | AMI346 | Licensed Representative | 1, 4, 6 |
| CHU Tianli | AVY302 | Licensed Representative | 1, 2 |
| CHU Wing Him, Simon | AVX942 | Licensed Representative | 1, 4, 9 |
| CHUA Kim Leng | AND877 | Licensed Representative | 1 |
| CHUA Mingxun | AVX859 | Licensed Representative | 9 |
| CHUA Su Tye | AUW974 | Licensed Representative | 4 |
| CHUNG Chak Wah | AVY114 | Licensed Representative | 1 |
| CHUNG Sung-min | AVS891 | Licensed Representative | 1, 4, 6 |
| CHUNG Yi-Ling | AVV549 | Licensed Representative | 4 |
| CLYNE Christopher Courtenay | AVU801 | Licensed Representative | 1 |
| COLON Sylvain Xavier | AVW304 | Licensed Representative | 1, 2 |
| CONDE Ma. Cristina Menez | AVV761 | Licensed Representative | 1 |
| COOPER Aaron Michael | AVY422 | Licensed Representative | 1 |
| COOPER Richard David | AVU997 | Licensed Representative | 1 |
| DAI Ying | AVV320 | Licensed Representative | 4, 6 |
| DE BONT Sebastiaan | AVW433 | Licensed Representative | 9 |
| DIVEKAR Raghavendra Rajiv | AVV683 | Licensed Representative | 4 |
| DIYACHKINA Polina | APH589 | Licensed Representative | 4 |
| DO Albert | AVY415 | Licensed Representative | 1, 2 |
| DOBSON Jason David | AVV850 | Licensed Representative | 2 |
| DYMOND Nicholas James | AVV851 | Licensed Representative | 1 |
| ENG Shu Ling Amanda | AVW617 | Licensed Representative | 4 |
| ETCHEVERRY Iker | AVY674 | Licensed Representative | 1, 2 |
| FAN Chin Cheung | AVS362 | Licensed Representative | 1, 2 |
| FENG Anna Hua | AVX426 | Licensed Representative | 1 |
| FISCHER Simon John | AVW178 | Licensed Representative | 1 |
| FOXALL Christopher Michael | AVW184 | Licensed Representative | 1 |
| FRASIER Hamilton Reid | AQJ467 | Licensed Representative | 1, 4 |
| FU Nga Chui | AVW069 | Licensed Representative | 1 |
| FUNG Chi Wai, Victor | APK975 | Licensed Representative | 4 |

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|-----------------------------|---------------|-------------------------|------------------------------------|
| FUNG Chun Ho | AVV720 | Licensed Representative | 1, 2 |
| FUNG Long Chuen, Ronny | AVT463 | Licensed Representative | 2 |
| FUNG Man Yee, Joyce | AHR789 | Licensed Representative | 1 |
| FURST Dominik Bernhard | AVU713 | Licensed Representative | 1, 4, 9 |
| GAO Jie | AVT494 | Licensed Representative | 1 |
| GARDINER Wade Patrick | AVV241 | Licensed Representative | 4 |
| GARG Amit | AVV363 | Licensed Representative | 4 |
| GARG Vinod | AVV846 | Licensed Representative | 1, 2 |
| GIAN Kim Wen | AVZ279 | Licensed Representative | 1, 2 |
| GIERHAKE Ortwin | AVT234 | Licensed Representative | 1, 4 |
| GOH Chee Liong | AAF242 | Licensed Representative | 1 |
| GRADY Timothy Joseph | AJC076 | Licensed Representative | 9 |
| GRAHAM William James Angus | ALA252 | Licensed Representative | 4 |
| GREEN Lachlan John | AUD675 | Licensed Representative | 3 |
| GU Xinyu | AVW548 | Licensed Representative | 4 |
| GUINARD Thierry Aymard Paul | AMS072 | Licensed Representative | 1, 4 |
| GUO Jie | AVW222 | Licensed Representative | 1, 2 |
| GUO Rongjun | ASW836 | Licensed Representative | 1, 4, 9 |
| GUO Ying | AOW923 | Licensed Representative | 4 |
| GUPTA Manish | AVU992 | Licensed Representative | 1 |
| HA Ho Yin, Wilson | AVT247 | Licensed Representative | 1 |
| HA Sat Sha, Summer | ALN150 | Licensed Representative | 1, 2 |
| HA Tae Il | AVW319 | Licensed Representative | 1, 6 |
| HAGE Julien Gerald | AVV903 | Licensed Representative | 1, 2, 7 |
| HAN Guannan | AVV239 | Licensed Representative | 4 |
| HAO Wenli Williams | AVX211 | Licensed Representative | 1, 4, 9 |
| HARA Hidetaka | AVY025 | Licensed Representative | 1, 4, 6 |
| HE Ning | AVW434 | Licensed Representative | 1, 4 |
| HENGEVELD Emily Carlotta | AVY271 | Licensed Representative | 1 |
| HO George Chenghua | ANM619 | Licensed Representative | 4, 9 |
| HO Ka Ming | AVY420 | Licensed Representative | 1 |
| HO Kam Hing | ACP720 | Licensed Representative | 3 |
| HO Mavis | AVZ224 | Licensed Representative | 1, 6 |
| HO Pui Yan | AVY956 | Licensed Representative | 1 |
| HO Purdy Pin Pin | ASI353 | Licensed Representative | 1 |
| HO Shuk Man, Gale | AGB356 | Licensed Representative | 1, 4 |

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|--------------------------------|---------------|-------------------------|------------------------------------|
| HO Wing Bong, Benjamin | AVX918 | Licensed Representative | 1, 6 |
| HO Yu, Stephanie | AVW495 | Licensed Representative | 1, 4, 9 |
| HOLDGATE Murray Edward James | AVJ112 | Licensed Representative | 1, 2 |
| HOSANGADY Ranjit Rammohan | AVW682 | Licensed Representative | 1 |
| HOU David Jun Ping | AVU718 | Licensed Representative | 1 |
| HOYAU Eric Jean-Pierre Maurice | AVW218 | Licensed Representative | 1 |
| HOYAU Yann Daniel Leon-Pierre | AVJ409 | Licensed Representative | 1 |
| HOYER David | AVY068 | Licensed Representative | 1, 4, 6 |
| HSIANG Jeffrey Chih | AVW685 | Licensed Representative | 1, 4 |
| HUANG Yan | AVT473 | Licensed Representative | 6 |
| HUANG Yifeng | AVW001 | Licensed Representative | 1, 6 |
| HUANG Yuqiao | AVY579 | Licensed Representative | 1, 4 |
| HUI Kiu Tat | AVX024 | Licensed Representative | 1, 4, 9 |
| HUI Lap Yin | AVW181 | Licensed Representative | 4 |
| HUI Nga Man | AFQ048 | Licensed Representative | 1, 4 |
| HUI Roy | ATE232 | Licensed Representative | 1 |
| HUI Wai Man | AVV838 | Licensed Representative | 1, 4 |
| HUI Wang Leung | AVY698 | Licensed Representative | 1, 4 |
| HULKUNTE NAGARAJ Ayush | AVV794 | Licensed Representative | 1, 4 |
| HUNG Shun Ching | AVV535 | Licensed Representative | 1 |
| HWANG Min Shik | AVY056 | Licensed Representative | 4, 9 |
| IMAZU Nanako | AVU642 | Licensed Representative | 4 |
| ISHII Yuki | AVS729 | Licensed Representative | 1 |
| JAIN Abhishek Shantilal | AVR370 | Licensed Representative | 9 |
| JAMES Todd Howard | AVX425 | Licensed Representative | 1, 4 |
| JI Wei | AVT475 | Licensed Representative | 6 |
| JIA Chelsea Yue | AVX461 | Licensed Representative | 1, 7 |
| JIA Xiaofang | AVY494 | Licensed Representative | 1, 6 |
| JIA YuanLing | AVY038 | Licensed Representative | 1 |
| JIN Zhong | AVT110 | Licensed Representative | 6 |
| JONES Edward Harry James | AVV550 | Licensed Representative | 1, 2 |
| KAM Ka Ka | AVY419 | Licensed Representative | 1, 6 |
| KAM Wai Kit | APY927 | Licensed Representative | 1, 3 |
| KAN Pui Chi | AMS234 | Licensed Representative | 1 |
| KANEKO Satsuki | ANT209 | Licensed Representative | 1 |
| KANG Minja | AGJ645 | Licensed Representative | 1 |

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|-------------------------------|---------------|-------------------------|------------------------------------|
| KANG Zhe | AVZ707 | Licensed Representative | 1, 4 |
| KANNA Ninus | AVW489 | Licensed Representative | 4 |
| KHANNA Rushil | AVX381 | Licensed Representative | 4 |
| KIANG Yat Cheong Joseph | AVJ092 | Licensed Representative | 1, 2 |
| KIM Dongsup | AVW692 | Licensed Representative | 4 |
| KIM Irene Yang | AUG652 | Licensed Representative | 4 |
| KIM So Youn | AVY431 | Licensed Representative | 1 |
| KONG Yin Ling | AVX956 | Licensed Representative | 6 |
| KONG Ying Er May | AVX015 | Licensed Representative | 1, 2 |
| KORACH Philipp Patrick | AVZ290 | Licensed Representative | 4 |
| KOTEWALL Neville Charles | AQM591 | Licensed Representative | 1 |
| KUNZRU Sagari | AVS698 | Licensed Representative | 4, 9 |
| KWAN David King Tong | ADU222 | Licensed Representative | 1, 4 |
| KWAN Ka Wai | AVV610 | Licensed Representative | 1 |
| KWAN Sau Mui, Rachel | AAE183 | Licensed Representative | 1 |
| KWOK Ka Wing | AVV836 | Licensed Representative | 1 |
| KWOK Sin Hung | AFS186 | Licensed Representative | 4 |
| KWONG Chi Lun | AVV844 | Licensed Representative | 1 |
| LAI Jerry Chi Yuen | AVX291 | Licensed Representative | 1, 4, 6 |
| LAI Kam Chiu | AQD798 | Licensed Representative | 1 |
| LAI Min-Min | AVV545 | Licensed Representative | 4 |
| LAI Tung Ming | AVW547 | Licensed Representative | 1, 6 |
| LAI Voon San | ACQ503 | Licensed Representative | 4 |
| LAI Wayne | AVW626 | Licensed Representative | 1 |
| LAM Ching Ping, Blanche | AVW306 | Licensed Representative | 1, 4 |
| LAM Chun Hung, Cassidy | APD463 | Licensed Representative | 4, 9 |
| LAM Hok Leung | AVV717 | Licensed Representative | 1, 4 |
| LAM King Yuen | AVY421 | Licensed Representative | 1 |
| LAM Sau Wai, Sabrina | ACS240 | Licensed Representative | 1, 4 |
| LAM Siu Ting | AVT290 | Licensed Representative | 1 |
| LAM Tun Lan | AVY031 | Licensed Representative | 1 |
| LAM Wai Ho | AVY645 | Licensed Representative | 1 |
| LAM Wai Yin | APZ464 | Licensed Representative | 1, 2 |
| LASCAR-TRONQUOIS Julien David | AVW496 | Licensed Representative | 1 |
| LAU Chi Kan | AVY337 | Licensed Representative | 1, 2 |
| LAU Fu Keung | AVW356 | Licensed Representative | 1, 6 |

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|------------------------|---------------|-------------------------|------------------------------------|
| LAU Man Chor | AVR361 | Licensed Representative | 1, 2 |
| LAU Pak Kin | AVV322 | Licensed Representative | 1 |
| LAU Pei Man Hidy | AVZ457 | Licensed Representative | 1, 4, 9 |
| LAU Xin Yu, Cynthia | AVW689 | Licensed Representative | 4 |
| LAW Chor Soon | AVV570 | Licensed Representative | 1 |
| LAW Hiu Ying | AVY395 | Licensed Representative | 1 |
| LAW Wai Tik | AVY763 | Licensed Representative | 1 |
| LAW Ying Tsz | AVV920 | Licensed Representative | 1 |
| LEAN Chun Chung | AVT075 | Licensed Representative | 1, 2 |
| LEE Beom Jun | AVV713 | Licensed Representative | 1 |
| LEE Calvin Wai Kien | AVV099 | Licensed Representative | 1, 6 |
| LEE Chi Hwa, Joshua | AGL509 | Licensed Representative | 6 |
| LEE Hyun-Jae | AHN694 | Licensed Representative | 1, 2 |
| LEE Man Lok | AVX919 | Licensed Representative | 1, 6 |
| LEE May Lin | AVT527 | Licensed Representative | 1 |
| LEE Melisa Gaik Lin | AGT677 | Licensed Representative | 1, 2 |
| LEE Wan Kin | AGG670 | Licensed Representative | 1, 4 |
| LEE Yick Wa | AGH671 | Licensed Representative | 1 |
| LEE Yin Wai Eudora | AVX470 | Licensed Representative | 1 |
| LEE Ying Kei | AER770 | Licensed Representative | 1, 2 |
| LEE Yuna | AVV760 | Licensed Representative | 1 |
| LEEMING Marsali Mary | AVU842 | Licensed Representative | 1 |
| LEI Lai Lai | AVW067 | Licensed Representative | 1, 4 |
| LEM Elliot Justin | AVW511 | Licensed Representative | 1 |
| LESMINA Sarina | AOU971 | Licensed Representative | 4 |
| LEUNG Chik Yin, Jeremy | AVX367 | Licensed Representative | 1, 4 |
| LEUNG Chung Fai | AVV345 | Licensed Representative | 1, 2 |
| LEUNG Kam Por, Ken | AVV909 | Licensed Representative | 1 |
| LEUNG Leslie Yau Chak | AVY112 | Licensed Representative | 4, 6 |
| LEUNG Man Wai, Matthew | ALQ771 | Licensed Representative | 1, 2, 3 |
| LEUNG Ngai Ho, Kelvin | APJ702 | Licensed Representative | 1 |
| LEUNG Siu Pong, James | AVT468 | Licensed Representative | 1, 2 |
| LEUNG Tsz Shan, Monica | AVX105 | Licensed Representative | 2 |
| LEUNG Wai Yeung | AQV396 | Licensed Representative | 1, 4 |
| LEUNG Yee Tak | AVY560 | Licensed Representative | 1, 2 |
| LEWIS Janet Barbara | ASL090 | Licensed Representative | 4 |

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|------------------------|---------------|-------------------------|------------------------------------|
| LI Angel | AVX038 | Licensed Representative | 1, 4 |
| LI Dan | AVT112 | Licensed Representative | 6 |
| LI Ji | AVW854 | Licensed Representative | 1, 6 |
| LI Jun Qiao, Kelman | ASL017 | Licensed Representative | 1, 6 |
| LI Ke | AVW618 | Licensed Representative | 1, 4 |
| LI Mei Hing | ALP487 | Licensed Representative | 1 |
| LI Shuo | AVT310 | Licensed Representative | 1, 4, 6 |
| LI Sze Hang | AVY336 | Licensed Representative | 1, 2 |
| LI Wai Han | AVX424 | Licensed Representative | 1, 4 |
| LI Wenlong | AVV138 | Licensed Representative | 1, 4, 9 |
| LI Wing Chung | AVV403 | Licensed Representative | 1 |
| LI Xiaoting | AVS858 | Licensed Representative | 1, 6 |
| LI Yang | AVY584 | Licensed Representative | 1 |
| LI Yongxi | AVN266 | Licensed Representative | 1, 4 |
| LI Zhiyong | AVR401 | Licensed Representative | 1, 4 |
| LIM Ren Hui, Kevin | AVM353 | Licensed Representative | 1, 6 |
| LIN Haoxiang | AVT525 | Licensed Representative | 4 |
| LIN Huayong | AVR191 | Licensed Representative | 9 |
| LIN Junjie | AVU628 | Licensed Representative | 1, 4, 6 |
| LIN Wan Man, Vivian | AGP566 | Licensed Representative | 1 |
| LIN Zhixuan | AVU633 | Licensed Representative | 4 |
| LING Kar Yu | AVZ278 | Licensed Representative | 4 |
| LISAHAPANYA Narongpand | AVU843 | Licensed Representative | 4 |
| LIU Gang | AVH867 | Licensed Representative | 4 |
| LIU Lan-Shin | AVS373 | Licensed Representative | 1 |
| LIU Man Tai Andy | AVZ225 | Licensed Representative | 1, 6 |
| LIU Marcus Chun Hao | AVY718 | Licensed Representative | 4 |
| LIU Mei Yu, Dorothy | AVY123 | Licensed Representative | 1, 4 |
| LIU Wai Ping | AGC459 | Licensed Representative | 1, 4 |
| LIU Yang | AVY424 | Licensed Representative | 1, 6 |
| LIU Yawen | AVY117 | Licensed Representative | 4, 9 |
| LO Chi Hang | ARU729 | Licensed Representative | 1, 4 |
| LO Pui Shan, Edith | AFY299 | Licensed Representative | 1, 4 |
| LO Wai Tak, Michael | AFT404 | Licensed Representative | 1, 4 |
| LOR Victor | AVV112 | Licensed Representative | 4, 9 |
| LOU Ying | AVV243 | Licensed Representative | 4 |

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| LOUSTALOT Henri Louis Rene Andre | AVU845 | Licensed Representative | 1, 2 |
| LU Junhua | AVX214 | Licensed Representative | 1, 4, 9 |
| LU Song | AVV703 | Licensed Representative | 1, 4 |
| LU Tom Jin | AVV404 | Licensed Representative | 1 |
| LU Wei | AVT107 | Licensed Representative | 6 |
| LUO Xia | AVV941 | Licensed Representative | 1, 4, 9 |
| LUONG Sieu Quang | AVW501 | Licensed Representative | 1, 2, 7 |
| MA Jie | AQQ414 | Licensed Representative | 9 |
| MA Shiu Ming | AVU619 | Licensed Representative | 1 |
| MACDONALD Peter Bremner | AMM281 | Licensed Representative | 1, 2, 4, 6, 7 |
| MAJCHER William Robert | APO638 | Licensed Representative | 1 |
| MAK Kam Ling | ADJ395 | Licensed Representative | 1 |
| MAK Shu Fan | AVT651 | Licensed Representative | 1 |
| MAK Wai Lun | AVY964 | Licensed Representative | 9 |
| MAK Wing Lun | AVV976 | Licensed Representative | 4 |
| MAN Yick Yeung | AVX727 | Licensed Representative | 1, 2 |
| MATSUDA Akiko | AVY029 | Licensed Representative | 1, 2 |
| MAYO Herbert James Seton | AVY291 | Licensed Representative | 4, 5, 9 |
| MCDONALD Anthony Delano | AVV776 | Licensed Representative | 1 |
| MEI Jingping | AVV764 | Licensed Representative | 4 |
| MENG Hailing | AVT460 | Licensed Representative | 4 |
| MIN Sang Won | AEB935 | Licensed Representative | 1 |
| MITCHELL Rupert Douglas Alexander | AFE722 | Licensed Representative | 1, 6 |
| MOK Ka Ho | AVY704 | Licensed Representative | 1 |
| MOK Kai Yuen | AVX957 | Licensed Representative | 1 |
| MOK Pui Mun, Betty | ANT402 | Licensed Representative | 1 |
| MOK Wai Yip | AFB437 | Licensed Representative | 2 |
| MOORE Baden James | AVX128 | Licensed Representative | 4 |
| MUELLERS Sean Christopher | AVW699 | Licensed Representative | 1, 4 |
| MUI Kin Wai | AVY719 | Licensed Representative | 4 |
| MUKSCH Roland | AVV662 | Licensed Representative | 1 |
| NADIG Preetham Dharmarao | AVR736 | Licensed Representative | 1, 2 |
| NAKAUCHI Kozue | AVY319 | Licensed Representative | 1 |
| NAN Xiaobin | AVY094 | Licensed Representative | 1, 4, 6 |
| NANWANI Sanjiv Manohar | AVV405 | Licensed Representative | 1, 2 |
| NEUKIRCH Bruno Emmanuel Alexandre | AVY572 | Licensed Representative | 1 |

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| NG Chun Man, Michael | AQQ196 | Licensed Representative | 1, 4, 6, 9 |
| NG Kai Chong | AVV236 | Licensed Representative | 1 |
| NG Kai Him | AVY121 | Licensed Representative | 1, 4, 6 |
| NG Kit Yan | AVX695 | Licensed Representative | 1 |
| NG Ming Lai | AVV115 | Licensed Representative | 1 |
| NG Pan | AVV145 | Licensed Representative | 1, 2 |
| NG Shu Ching | AFU728 | Licensed Representative | 1 |
| NG Siu Lun | AVV940 | Licensed Representative | 1 |
| NG Sui Mui | AVY611 | Licensed Representative | 1 |
| NG Wai Kit | AVT524 | Licensed Representative | 1, 2 |
| NG Wing Sang | AVT530 | Licensed Representative | 1, 6 |
| NG Yiu Chung | AVW170 | Licensed Representative | 1, 2 |
| NGAI Chun Man, Edward | AVV324 | Licensed Representative | 1 |
| NGAI Hoi Fung | AVY612 | Licensed Representative | 1 |
| NGAI Ka Pui | AVY430 | Licensed Representative | 6 |
| NGAN Kelvin Shing Wai | AVY760 | Licensed Representative | 1 |
| NHAN Ngoc Le | AVY677 | Licensed Representative | 1 |
| NI David Kang-Wen | AVW544 | Licensed Representative | 1, 6 |
| NIE Wei | AVT477 | Licensed Representative | 6 |
| NING Jingbian | AVT719 | Licensed Representative | 1, 4 |
| O'HARE Susan Julia | AVV685 | Licensed Representative | 1, 4, 6 |
| ONG Kim Boon, Patrick Lawrence | AVZ226 | Licensed Representative | 1, 4 |
| ONG Wee Gin | ALI345 | Licensed Representative | 9 |
| OVINGTON Derek Ramsay | AVV998 | Licensed Representative | 4 |
| PAK Sze Chai, Stephen | AEL321 | Licensed Representative | 1 |
| PANG Wing Shan | AVT491 | Licensed Representative | 1 |
| PANGALI Pawandeep | AVU841 | Licensed Representative | 1 |
| PARK Eun Young | AVT464 | Licensed Representative | 1 |
| PARK Joonho | AVY091 | Licensed Representative | 4 |
| PARK Millo | AHL738 | Licensed Representative | 1 |
| PARMET Andrew Charles | ABY125 | Licensed Representative | 9 |
| PEACH Nicholas Xavier Aidan | AVV327 | Licensed Representative | 1, 2 |
| PERRY Michael David | AVW688 | Licensed Representative | 1, 6 |
| PHILLIPS Duncan Edward | AVN547 | Licensed Representative | 1, 6 |
| PLOOSTER Jeroen Poul | ARR905 | Licensed Representative | 1, 2 |
| PON Wai Han Betsy | AVS454 | Licensed Representative | 1, 6 |

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2010

| CE Name | CE No. | Licence Type | Types of Regulated Activity |
|----------------------------------|---------------|-------------------------|------------------------------------|
| POON Wai Lun | ARA287 | Licensed Representative | 4 |
| POTLURI Lakshmi Naga Jyothi | AVY119 | Licensed Representative | 1 |
| POTTER Alexander Eugene | AVV904 | Licensed Representative | 4 |
| POWERS Timothy Mitchel | AVV561 | Licensed Representative | 4 |
| PUN Tsz Sang | AVM927 | Licensed Representative | 2 |
| QIAN Keyang | AVY845 | Licensed Representative | 1, 2 |
| QIU Wangshu | AVW563 | Licensed Representative | 1, 4 |
| RAINA Nikhil | AVT528 | Licensed Representative | 1 |
| RAJU Ahna Dewan | AIB403 | Licensed Representative | 4, 9 |
| RASTOGI Gaurav | AVW436 | Licensed Representative | 1, 2, 4, 5 |
| REDBOURN James Robert | AVV777 | Licensed Representative | 1 |
| REID Jonathan Paul | AVU983 | Licensed Representative | 1 |
| RIGOUX Charles-Edouard Paul Guy | AVW305 | Licensed Representative | 6 |
| RITCHIE Christine Lenore | AVW557 | Licensed Representative | 1, 2 |
| SANKETH Ashwin Kumar Kumaraswamy | APA409 | Licensed Representative | 4 |
| SAU Miu Cheung | AVV612 | Licensed Representative | 1 |
| SCHMID Michael | AVY685 | Licensed Representative | 1, 4 |
| SCHMIDT Michael Noel | AVW661 | Licensed Representative | 9 |
| SEYBERT Audrey Francis | AVV139 | Licensed Representative | 1, 4, 9 |
| SHAH Purvesh Pankaj | AVT526 | Licensed Representative | 1 |
| SHAM Sharon Cylong | AVV406 | Licensed Representative | 1, 2 |
| SHAN Weijian | AEF366 | Licensed Representative | 9 |
| SHEA Man Kwan | AVZ313 | Licensed Representative | 1 |
| SHEN Xiaojing | AVX684 | Licensed Representative | 4, 9 |
| SHIH Ping Yu | AVY507 | Licensed Representative | 9 |
| SIDDIQUI Nameer Ahmad | AVY120 | Licensed Representative | 1, 6 |
| SIN Wing Ngor | AVW560 | Licensed Representative | 1, 2 |
| SINHA Anjali | AVV577 | Licensed Representative | 1 |
| SIU Cheuk Hung | AVX952 | Licensed Representative | 1, 4 |
| SIU Chun Shing | AVS179 | Licensed Representative | 1, 2 |
| SIU Jason | AVV237 | Licensed Representative | 4 |
| SMITH Paul Savile | AVN296 | Licensed Representative | 1, 4, 7 |
| SMITHIE Nicholas Dearden | AVY578 | Licensed Representative | 4 |
| SO Nga Ting, Bernadette | AVY580 | Licensed Representative | 1 |
| SUCHARITKUL Arddanai Marco | AVY225 | Licensed Representative | 1, 4 |
| SUEN Ka Po | AVY432 | Licensed Representative | 1, 2 |

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2010

| CE Name | CE No. | Licence Type | Types of Regulated Activity |
|------------------------------|---------------|-------------------------|------------------------------------|
| SUNG Yin Ling | AVY585 | Licensed Representative | 1 |
| SUZUKI Takayuki | AVR826 | Licensed Representative | 1, 2 |
| SWEIJS Marcel | AVW224 | Licensed Representative | 1, 2, 7 |
| SZE Loi Yan | ATI831 | Licensed Representative | 1 |
| SZETO Tung, Danny | ALL188 | Licensed Representative | 1, 2 |
| TAI Ann | APW662 | Licensed Representative | 1 |
| TAI Ka Lai | AVX905 | Licensed Representative | 1 |
| TAKAO Kentaro | AVW704 | Licensed Representative | 1 |
| TAKIKAWA Shoji | AVW681 | Licensed Representative | 1, 2 |
| TAM Kwong Lau, Larry | AAC093 | Licensed Representative | 1 |
| TAM Owen | AAF773 | Licensed Representative | 1 |
| TAM Pak Ho | AVX958 | Licensed Representative | 1 |
| TAM Ronald Hon Sum | AVV845 | Licensed Representative | 1 |
| TANEDO Corrince Hazel Gan | AVV718 | Licensed Representative | 4 |
| TANG Ching Chi | AVY032 | Licensed Representative | 1 |
| TANG Chun Man | AVX572 | Licensed Representative | 1 |
| TANG Him, John | ALU515 | Licensed Representative | 4 |
| TANG Sau Wah | AVV150 | Licensed Representative | 1 |
| TANG Suet Yi | AVZ610 | Licensed Representative | 4, 9 |
| TANG Wing Chung | AVU664 | Licensed Representative | 1, 2 |
| TARLEVE Samuel Jose | AVW217 | Licensed Representative | 1 |
| TAY Chien Thuan, Francis | APB099 | Licensed Representative | 1, 4 |
| TEE Charles Nicholas | AVZ559 | Licensed Representative | 1 |
| TEW Yue Ying | AVW179 | Licensed Representative | 1, 4, 9 |
| THOMSON Stuart Douglas Peter | AUZ195 | Licensed Representative | 1 |
| TINGA Dante Jr. Rodriguez | APG027 | Licensed Representative | 4 |
| TO Tsz Yan Jacqueline | AVZ455 | Licensed Representative | 1 |
| TONG Lai Kuan | AVV554 | Licensed Representative | 4, 6 |
| TORRES Juan Miguel | AVM102 | Licensed Representative | 1 |
| TOUMI Pawel Nadim | AVS731 | Licensed Representative | 1, 2, 7 |
| TRENT James Lee | AVV613 | Licensed Representative | 1, 2, 7 |
| TSANG Hing Kwan | AVV917 | Licensed Representative | 1 |
| TSANG Tat Kong | AVW359 | Licensed Representative | 1 |
| TSANG Wing Ming, Tony | ADQ064 | Licensed Representative | 4 |
| TSANG Yat Ming | AVT454 | Licensed Representative | 1 |
| TSE Ka Chun, Terry | AVY562 | Licensed Representative | 1 |

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2010

| CE Name | CE No. | Licence Type | Types of Regulated Activity |
|-------------------------------|---------------|-------------------------|------------------------------------|
| TSE Shek Lun, Alan | AFS797 | Licensed Representative | 1, 2 |
| TSE Wai Man | AJL009 | Licensed Representative | 4, 9 |
| TSE Yu Lung | AVU827 | Licensed Representative | 1, 2 |
| TSOI Chi Ming | AVX934 | Licensed Representative | 1 |
| TSUCHIYA Michiko | AVY293 | Licensed Representative | 1 |
| TSUI Kin Ling | AVY267 | Licensed Representative | 1, 2 |
| TSUI Yat Yin | AVQ975 | Licensed Representative | 1 |
| VALLABHANENI Navin Roy | AVV583 | Licensed Representative | 1 |
| VAN VEEN Arjan Francis | AUX492 | Licensed Representative | 4 |
| VESPERINI Jean-Jacques | AMB585 | Licensed Representative | 1, 2 |
| WAINWRIGHT Lee Spencer | AVU977 | Licensed Representative | 1 |
| WALKER William | AVX195 | Licensed Representative | 1, 6 |
| WANG Chun-kai | AVY700 | Licensed Representative | 1, 4 |
| WANG Cynthia Naijing | AVT096 | Licensed Representative | 6 |
| WANG Fei | AVW545 | Licensed Representative | 1 |
| WANG Hsiang-Chih | AOY182 | Licensed Representative | 6 |
| WANG Jin | AVY040 | Licensed Representative | 4 |
| WANG Min-hsiang | AVU583 | Licensed Representative | 1 |
| WANG Xun Christopher | AIL178 | Licensed Representative | 1, 6 |
| WANG Yan | AVY251 | Licensed Representative | 1, 6 |
| WANG Yinxiao | AVL554 | Licensed Representative | 1, 9 |
| WATERHOUSE Julian Brian | ALB052 | Licensed Representative | 4 |
| WEEHUIZEN Maarten Pieter | AVU622 | Licensed Representative | 1, 6 |
| WESTON Simon Michael | AVU839 | Licensed Representative | 4, 9 |
| WHISKER Timothy James Robin | AVP794 | Licensed Representative | 1, 2 |
| WHITE Toby Felix Peter Harvey | AVZ350 | Licensed Representative | 1, 2 |
| WHITECROSS Stuart James | AVX037 | Licensed Representative | 9 |
| WILSON Edward Paul | AVV362 | Licensed Representative | 1 |
| WONG Arthur Siu On | AFP365 | Licensed Representative | 4 |
| WONG Chao Keng | AVU790 | Licensed Representative | 1 |
| WONG Cheuk Luen, Jeffrey | AVW167 | Licensed Representative | 1 |
| WONG Chi Hang | AVW142 | Licensed Representative | 1 |
| WONG Chi Sing, Anthony | AVN040 | Licensed Representative | 1 |
| WONG Chi Wai | AVW855 | Licensed Representative | 1, 2 |
| WONG Ching Yee | AVP181 | Licensed Representative | 1, 2 |
| WONG Ching Yee | AVW456 | Licensed Representative | 9 |

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2010

| CE Name | CE No. | Licence Type | Types of Regulated Activity |
|------------------------|---------------|-------------------------|------------------------------------|
| WONG Chor Sang | AUX300 | Licensed Representative | 1 |
| WONG Chung Yan, Joanna | AVW322 | Licensed Representative | 9 |
| WONG Edwin Man Hoe | AVY118 | Licensed Representative | 1 |
| WONG Hin Fung, Michael | AVU581 | Licensed Representative | 4, 9 |
| WONG Hiu Man | AVX213 | Licensed Representative | 1 |
| WONG Hoi Lam | AVZ280 | Licensed Representative | 1 |
| WONG Jie Lun Gerald | AVZ291 | Licensed Representative | 4 |
| WONG Jovi Chi Wing | AEF778 | Licensed Representative | 6 |
| WONG Kim Kiu | ARE702 | Licensed Representative | 1 |
| WONG Kin Yi | AVX933 | Licensed Representative | 1 |
| WONG Kit Yee | ADF731 | Licensed Representative | 1, 4 |
| WONG Lok Shan | AVV333 | Licensed Representative | 1, 2 |
| WONG Man Tak | AVY339 | Licensed Representative | 1, 2 |
| WONG Ming Yeung | AVY052 | Licensed Representative | 1 |
| WONG Pui Man, Keith | AVW856 | Licensed Representative | 1 |
| WONG Sheung Hung | AVV325 | Licensed Representative | 1 |
| WONG Shu Ling | AVW442 | Licensed Representative | 1 |
| WONG Sze Ming, Simon | ABQ531 | Licensed Representative | 4, 9 |
| WONG Sze Yan | AFO839 | Licensed Representative | 1, 2 |
| WONG Ting Pong | AVV939 | Licensed Representative | 1, 6 |
| WONG Tony Tin Wing | ALZ369 | Licensed Representative | 1, 4 |
| WONG Tsz Yan | AVW360 | Licensed Representative | 6 |
| WONG WAI LUN | ALQ942 | Licensed Representative | 1 |
| WONG Wai Ho | AVV366 | Licensed Representative | 4, 9 |
| WONG Wan To | AVX499 | Licensed Representative | 1 |
| WONG Wang Yum | AQU980 | Licensed Representative | 1, 4 |
| WONG Ying Keung | AVT453 | Licensed Representative | 1 |
| WONG Yuet Ming, Elaine | AVV611 | Licensed Representative | 1, 4 |
| WOO Yun Shing, Vincent | AQA799 | Licensed Representative | 4, 9 |
| WOOD Robert Michael | AVS462 | Licensed Representative | 1, 4 |
| WU Bin | AVM881 | Licensed Representative | 4 |
| WU Bun Lerd Bernard | APL242 | Licensed Representative | 1, 2 |
| WU Jie | AVV121 | Licensed Representative | 1, 4, 6 |
| WU Ka Ho, Stanley | ALQ855 | Licensed Representative | 1, 4 |
| WUN Yiu Wa | AVY334 | Licensed Representative | 1 |
| Wong Yu Lung | ARG279 | Licensed Representative | 1 |

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2010

| CE Name | CE No. | Licence Type | Types of Regulated Activity |
|------------------------|---------------|-------------------------|------------------------------------|
| XIA Tian | AVT108 | Licensed Representative | 6 |
| XIA Ziyang | AVU587 | Licensed Representative | 4 |
| XIE Lizhi | AVW448 | Licensed Representative | 9 |
| XING Ke | AVT476 | Licensed Representative | 6 |
| XU Nuo | APJ126 | Licensed Representative | 1, 6 |
| XU Sheng | AVL544 | Licensed Representative | 1, 4, 6 |
| XUE Yuxing | AVY702 | Licensed Representative | 1, 2 |
| YAM Yim Ling, Camila | ATH214 | Licensed Representative | 1 |
| YAN Hao | AVV975 | Licensed Representative | 1, 4, 6 |
| YAN Yuk Tung | AVY963 | Licensed Representative | 1 |
| YANG Bei | AVV546 | Licensed Representative | 1, 6 |
| YANG Feng | AVP528 | Licensed Representative | 9 |
| YANG Yingqiu | AKI594 | Licensed Representative | 1, 2 |
| YAO Wei | AVW558 | Licensed Representative | 4 |
| YAU Ming Shan | AWC508 | Licensed Representative | 1, 4 |
| YAU Vincent Wing Tsuen | AVV901 | Licensed Representative | 1, 2, 7 |
| YAU Yu Ho | AVY024 | Licensed Representative | 1 |
| YAU Yuk Lai | AVU828 | Licensed Representative | 1, 2 |
| YE Lin | AVT190 | Licensed Representative | 1, 6 |
| YEUNG Chung Chiu | AVX303 | Licensed Representative | 1, 2, 4 |
| YEUNG King Fai | ASX278 | Licensed Representative | 1 |
| YEUNG Kwun Po | AVW215 | Licensed Representative | 1, 4 |
| YEUNG Man Kuen | AVY433 | Licensed Representative | 6 |
| YEUNG Mun Kin | AVY247 | Licensed Representative | 1 |
| YEUNG Tung Leong | AMH962 | Licensed Representative | 3 |
| YEUNG Wai Man | AVV140 | Licensed Representative | 1, 4, 9 |
| YEUNG Wing Sim | AVW463 | Licensed Representative | 1 |
| YEUNG Yi Ting, Eunice | AVX421 | Licensed Representative | 1 |
| YEUNG Yiu Hong | AVY335 | Licensed Representative | 4 |
| YIN Li | AVU623 | Licensed Representative | 1, 4, 6 |
| YING Kok Fu, Dennis | AVW561 | Licensed Representative | 1 |
| YIONG Hoi San | AGT132 | Licensed Representative | 4, 5, 9 |
| YIP Chi Wa, Leo | AQE479 | Licensed Representative | 1 |
| YIP Chong Shing | AVZ597 | Licensed Representative | 1 |
| YIP Hin Chiu | AVY582 | Licensed Representative | 1 |
| YIP Lai Chu | AVV103 | Licensed Representative | 1 |

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2010

| CE Name | CE No. | Licence Type | Types of Regulated Activity |
|----------------------------|---------------|-------------------------|------------------------------------|
| YIP Man Ching | AVX198 | Licensed Representative | 1, 4 |
| YIU Ka Hing | AVW705 | Licensed Representative | 6 |
| YOU Qian | AVY468 | Licensed Representative | 1, 4, 6, 9 |
| YOUK Won Seok | AVV762 | Licensed Representative | 1 |
| YU Huiling | AVL564 | Licensed Representative | 1, 4, 6 |
| YU Shanhu | AVW213 | Licensed Representative | 4 |
| YU Shing Tak | AVT466 | Licensed Representative | 1 |
| YU So Man | AFG723 | Licensed Representative | 1, 2 |
| YU Wong Ho | AST697 | Licensed Representative | 1 |
| YU Yue | AVW185 | Licensed Representative | 1, 4, 6 |
| YUE Xiaowei | AVZ069 | Licensed Representative | 1, 4, 6 |
| YUEN King Fai | AVU716 | Licensed Representative | 1 |
| YUEN Nathan Tin-Long | AVW177 | Licensed Representative | 1 |
| YUEN SUEN Ip Lan, Monita | AVY570 | Licensed Representative | 1 |
| YUNG Ka Mun, Karen | AVW500 | Licensed Representative | 1, 2 |
| YUNG Man Ho, Alfred | AVH937 | Licensed Representative | 4, 9 |
| YUSUI (BOURLET) Edward Kai | AVV364 | Licensed Representative | 4 |
| ZAU Chwan Yeu, Stanley | AEO870 | Licensed Representative | 9 |
| ZENG Yu | AVY463 | Licensed Representative | 1, 6 |
| ZHANG Lin | AWA216 | Licensed Representative | 4, 6 |
| ZHANG Lu | AWA213 | Licensed Representative | 4, 6 |
| ZHANG Lucy Xiyuan | AVW644 | Licensed Representative | 1, 6 |
| ZHANG Tian | AVX132 | Licensed Representative | 1, 6 |
| ZHANG Yin | AVS035 | Licensed Representative | 4 |
| ZHANG Yini | AVT726 | Licensed Representative | 1 |
| ZHANG Yu | AVL084 | Licensed Representative | 1, 4 |
| ZHANG Zhen | AVV329 | Licensed Representative | 1 |
| ZHANG Zhi Hua | AVD057 | Licensed Representative | 1 |
| ZHAO Chen | AVF629 | Licensed Representative | 1 |
| ZHAO Lunyu | AVX108 | Licensed Representative | 1, 6 |
| ZHAO Yanlin | AVY037 | Licensed Representative | 4 |
| ZHENG Weida | ARI971 | Licensed Representative | 3 |
| ZHENG Yiwu | AVV326 | Licensed Representative | 1, 2 |
| ZHOU Kai | AVT474 | Licensed Representative | 6 |
| ZHOU Tian | AVZ801 | Licensed Representative | 1, 6 |
| ZHOU Xiaoyin | ALK243 | Licensed Representative | 1, 4 |

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2010

| CE Name | CE No. | Licence Type | Types of Regulated Activity |
|----------------------------|---------------|---|------------------------------------|
| ZHU Jia | AVX806 | Licensed Representative | 4 |
| ZOLKIEWICZ Kevin John | AVX106 | Licensed Representative | 1, 2 |
| BAKER Kurt Alexander | AAK471 | Licensed Representative - Responsible Officer | 9 |
| BURN Shane Irving | AVJ698 | Licensed Representative - Responsible Officer | 9 |
| CHAU Chi Kin | AIS462 | Licensed Representative - Responsible Officer | 4, 9 |
| CHEN Xiaojian | AVV977 | Licensed Representative - Responsible Officer | 1, 4 |
| CHUANG Kyle Kai-Feng | AVJ697 | Licensed Representative - Responsible Officer | 9 |
| DESAI Chandan Santosh | AVK968 | Licensed Representative - Responsible Officer | 1 |
| DRAPER Joseph Thomas | AFD295 | Licensed Representative - Responsible Officer | 4, 9 |
| FANG Cheng | AKP392 | Licensed Representative - Responsible Officer | 6 |
| GAUDIO Julius Ralph | APY690 | Licensed Representative - Responsible Officer | 1, 9 |
| HINTERHAEUSER Gerhard Hans | AGS415 | Licensed Representative - Responsible Officer | 4, 9 |
| HO Yuen Yee, Helen | ABS186 | Licensed Representative - Responsible Officer | 6 |
| HUANG Guang | AVS141 | Licensed Representative - Responsible Officer | 9 |
| HUNG Nien-Chun | AVW108 | Licensed Representative - Responsible Officer | 9 |
| KING John Moncure | AEO786 | Licensed Representative - Responsible Officer | 9 |
| LAM On Ming | AMK436 | Licensed Representative - Responsible Officer | 1 |
| LAU Hing Bun | AGW616 | Licensed Representative - Responsible Officer | 6 |
| LAU Wing Han Vivian | AUZ802 | Licensed Representative - Responsible Officer | 9 |
| LIU Yu | AVS280 | Licensed Representative - Responsible Officer | 9 |
| LIU Yuanmo | ARJ807 | Licensed Representative - Responsible Officer | 4 |
| NAKANO Toru | ADK641 | Licensed Representative - Responsible Officer | 4, 9 |
| NG Kwok Keung | AFH168 | Licensed Representative - Responsible Officer | 1, 4 |
| OZAWA Katsunosuke | AGV995 | Licensed Representative - Responsible Officer | 4, 9 |
| PADHYE Suchet Pandurang | AUM316 | Licensed Representative - Responsible Officer | 1, 2, 4, 5, 9 |
| POON Mung Yu | AFP040 | Licensed Representative - Responsible Officer | 1, 4, 9 |
| SAPPERN Adam Brian | AVS579 | Licensed Representative - Responsible Officer | 9 |
| SEHGAL Anuj | AHA901 | Licensed Representative - Responsible Officer | 1 |
| SMITH Aaron Lee | AVE568 | Licensed Representative - Responsible Officer | 1, 4 |
| TANG Wai Ling, Ada | AVL310 | Licensed Representative - Responsible Officer | 1 |
| TAY Chin Hian | AVQ192 | Licensed Representative - Responsible Officer | 1 |
| TORNBERG Martin | AFE172 | Licensed Representative - Responsible Officer | 4, 9 |
| WANG Yeqing | AHF673 | Licensed Representative - Responsible Officer | 9 |
| WU Min | AVS276 | Licensed Representative - Responsible Officer | 9 |
| YIP Kar Hang, Raymond | AGY622 | Licensed Representative - Responsible Officer | 1, 4 |
| YU Tong | AVT629 | Licensed Representative - Responsible Officer | 4 |

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2010

| CE Name | CE No. | Licence Type | Types of Regulated Activity |
|-----------------------------------|---------------|---|------------------------------------|
| ZHANG Larry Yiqing | AVS140 | Licensed Representative - Responsible Officer | 9 |
| - Navita | AWA227 | Licensed Representative (Provisional Licence) | 1, 2 |
| ABENDSCHEIN Lauren Beth | AWC654 | Licensed Representative (Provisional Licence) | 1 |
| AHMAD Ciro Jalal | AEY339 | Licensed Representative (Provisional Licence) | 1, 4, 9 |
| ALEXANDER Ean Malcolm | AWC494 | Licensed Representative (Provisional Licence) | 1, 6 |
| ANO Kenjiro | AWE081 | Licensed Representative (Provisional Licence) | 1, 6 |
| ANSON Glenn William Frank | AWC706 | Licensed Representative (Provisional Licence) | 1 |
| AU Hei Ching | AWC465 | Licensed Representative (Provisional Licence) | 1, 2 |
| AUGIAS Cedric Alain Nicolas Marie | AFS898 | Licensed Representative (Provisional Licence) | 1, 2 |
| BAI Dongming | AWA166 | Licensed Representative (Provisional Licence) | 4 |
| BAO Danny Q | ANR606 | Licensed Representative (Provisional Licence) | 4 |
| BAYLEY Luke | AWD072 | Licensed Representative (Provisional Licence) | 1, 6 |
| BEN SADOON Didier | AWA584 | Licensed Representative (Provisional Licence) | 1, 2 |
| BLACK Robin | APS488 | Licensed Representative (Provisional Licence) | 1 |
| BOLLIER Stefan Gregor | AWC139 | Licensed Representative (Provisional Licence) | 1, 6 |
| BUCKS Tobias James | AVZ694 | Licensed Representative (Provisional Licence) | 4 |
| BUCKWORTH Piers Edward Grainger | AUT718 | Licensed Representative (Provisional Licence) | 1, 4 |
| BURNS Bridget Elizabeth | AWD490 | Licensed Representative (Provisional Licence) | 1 |
| BUSTA James Michael | AWC450 | Licensed Representative (Provisional Licence) | 1 |
| CABANEL Sebastien Nicolas Romain | AWC701 | Licensed Representative (Provisional Licence) | 1, 4, 9 |
| CALINOFF Jordan Adam | AWC350 | Licensed Representative (Provisional Licence) | 1, 4, 9 |
| CAMMARATA Michael | AWC346 | Licensed Representative (Provisional Licence) | 1, 2, 7 |
| CASTLE Jarrod | AWA482 | Licensed Representative (Provisional Licence) | 4 |
| CHAIWATANATORN Krit | AWA324 | Licensed Representative (Provisional Licence) | 1, 6 |
| CHAN Chun Wah | APD545 | Licensed Representative (Provisional Licence) | 4, 9 |
| CHAN Henry | AVZ599 | Licensed Representative (Provisional Licence) | 1, 2 |
| CHAN King Lun | AWC183 | Licensed Representative (Provisional Licence) | 1, 6 |
| CHAN Kwun Ho | AWE467 | Licensed Representative (Provisional Licence) | 1 |
| CHAN Lai Yan | AWC176 | Licensed Representative (Provisional Licence) | 4, 5, 9 |
| CHAN Pui Sing | AWC635 | Licensed Representative (Provisional Licence) | 1 |
| CHAN Tsz Lok | AWC488 | Licensed Representative (Provisional Licence) | 1 |
| CHAN Wai Chung | AWB684 | Licensed Representative (Provisional Licence) | 1 |
| CHAN Wing Man | AWC299 | Licensed Representative (Provisional Licence) | 1 |
| CHANG Weijun | AOV859 | Licensed Representative (Provisional Licence) | 1, 6 |
| CHAO Patrick Shih Pan | AVZ600 | Licensed Representative (Provisional Licence) | 6 |
| CHAU Ho Man | AWC329 | Licensed Representative (Provisional Licence) | 1, 2 |

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2010

| CE Name | CE No. | Licence Type | Types of Regulated Activity |
|-----------------------------|---------------|---|------------------------------------|
| CHAU Thomas | AWB783 | Licensed Representative (Provisional Licence) | 1, 4, 6 |
| CHAU Wai Man, Beverly | AWE779 | Licensed Representative (Provisional Licence) | 1, 4, 6 |
| CHAUDHURI Dyutish | AMX664 | Licensed Representative (Provisional Licence) | 1, 4, 6 |
| CHEN Agnes | AWB693 | Licensed Representative (Provisional Licence) | 1 |
| CHEN Bun | AFX303 | Licensed Representative (Provisional Licence) | 1, 6 |
| CHEN Jiachun | AWE776 | Licensed Representative (Provisional Licence) | 1 |
| CHEN Lijuan | AWC882 | Licensed Representative (Provisional Licence) | 4 |
| CHEN Naiqing | AWA138 | Licensed Representative (Provisional Licence) | 6 |
| CHEN Tianming | AWC087 | Licensed Representative (Provisional Licence) | 1, 6 |
| CHEN Yi-Lin | AWC188 | Licensed Representative (Provisional Licence) | 4 |
| CHEN Ying | AVZ685 | Licensed Representative (Provisional Licence) | 1 |
| CHEN Yiqing | AWE362 | Licensed Representative (Provisional Licence) | 1, 6 |
| CHEN Yung-hao | AWC264 | Licensed Representative (Provisional Licence) | 4 |
| CHENG Chi Ho | AWC625 | Licensed Representative (Provisional Licence) | 1, 2 |
| CHENG Hao | AVZ084 | Licensed Representative (Provisional Licence) | 4 |
| CHENG Ngan Chau | AWD953 | Licensed Representative (Provisional Licence) | 1 |
| CHENG Sim Kuen | APP900 | Licensed Representative (Provisional Licence) | 1 |
| CHENG Yu Nga | AVW474 | Licensed Representative (Provisional Licence) | 1 |
| CHEONG Patrick Ming Hey | AWA646 | Licensed Representative (Provisional Licence) | 1, 4, 6 |
| CHETKA Katarzyna | AWA566 | Licensed Representative (Provisional Licence) | 1 |
| CHEUNG Chi Hang | AWC633 | Licensed Representative (Provisional Licence) | 1, 2 |
| CHEUNG Chi Lok | AWC705 | Licensed Representative (Provisional Licence) | 9 |
| CHEUNG Ho Hin, Arnold | AWC065 | Licensed Representative (Provisional Licence) | 1 |
| CHEUNG Ka Ming Wilson | AWD974 | Licensed Representative (Provisional Licence) | 3 |
| CHEUNG Kam Chau, Patrick | AVY587 | Licensed Representative (Provisional Licence) | 1 |
| CHEUNG Kar Yan, Karina | AWD210 | Licensed Representative (Provisional Licence) | 1 |
| CHEUNG Tsun Ting, Roman | AWA045 | Licensed Representative (Provisional Licence) | 6 |
| CHEUNG Wan Wah | AWA346 | Licensed Representative (Provisional Licence) | 1 |
| CHILEWICZ Rodolphe Francois | AVY610 | Licensed Representative (Provisional Licence) | 1, 2 |
| CHIMAN Roger Mirchandani | AWC462 | Licensed Representative (Provisional Licence) | 1 |
| CHINSKY Kim M | AWB687 | Licensed Representative (Provisional Licence) | 9 |
| CHIU Lon, Ronald | AVY720 | Licensed Representative (Provisional Licence) | 4, 6, 9 |
| CHO Wai Kit | AWC123 | Licensed Representative (Provisional Licence) | 1 |
| CHO Young Suk | AWE411 | Licensed Representative (Provisional Licence) | 1 |
| CHOI Pui Yue, Jessica | AWA139 | Licensed Representative (Provisional Licence) | 1, 4 |
| CHOI Woo Sung | AVY699 | Licensed Representative (Provisional Licence) | 1, 2 |

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2010

| CE Name | CE No. | Licence Type | Types of Regulated Activity |
|-------------------------------|---------------|---|------------------------------------|
| CHOI Yu Soo | AWC050 | Licensed Representative (Provisional Licence) | 1, 6 |
| CHONG Chi Kin | AWD496 | Licensed Representative (Provisional Licence) | 1, 2, 3 |
| CHONG Chun Ho | AWC258 | Licensed Representative (Provisional Licence) | 1, 2, 3 |
| CHONG Kam Lung | AWA413 | Licensed Representative (Provisional Licence) | 2 |
| CHONG Karen Kam-Yee | AVY701 | Licensed Representative (Provisional Licence) | 1, 6 |
| CHONG Pui Yee | AOB170 | Licensed Representative (Provisional Licence) | 1, 2 |
| CHOW Ting Ho | AWA162 | Licensed Representative (Provisional Licence) | 1 |
| CHOW Yuk Hin | AWA215 | Licensed Representative (Provisional Licence) | 2 |
| CHU Xi | AWA375 | Licensed Representative (Provisional Licence) | 1, 6 |
| CHU Yuk Man | AWA560 | Licensed Representative (Provisional Licence) | 1, 9 |
| CHUA Kah Meng, Adrian | AWD992 | Licensed Representative (Provisional Licence) | 4 |
| CHUNG Heung Tung | AWE461 | Licensed Representative (Provisional Licence) | 3 |
| CHUNG Ka Po | ANN404 | Licensed Representative (Provisional Licence) | 1, 4 |
| CHUNG Man Lee | AWD941 | Licensed Representative (Provisional Licence) | 1, 2 |
| CHUNG Yin Fong, Idy | AWA163 | Licensed Representative (Provisional Licence) | 1 |
| COGHILL James Arthur Lawrence | AWC079 | Licensed Representative (Provisional Licence) | 4 |
| COOMBS Jonathan Lee | ATE957 | Licensed Representative (Provisional Licence) | 1 |
| CUI Huizi | AWA583 | Licensed Representative (Provisional Licence) | 1 |
| DAVID Raman | AWA562 | Licensed Representative (Provisional Licence) | 4 |
| DE BONT Sebastiaan | AVW433 | Licensed Representative (Provisional Licence) | 9 |
| DEATS Warren Edmund | AWD931 | Licensed Representative (Provisional Licence) | 1, 2 |
| DOH Seung Han | AVJ096 | Licensed Representative (Provisional Licence) | 1, 2 |
| DONG Feng | AWE410 | Licensed Representative (Provisional Licence) | 9 |
| DONG Wayne | AWC672 | Licensed Representative (Provisional Licence) | 4 |
| DUAN Yang | AMG019 | Licensed Representative (Provisional Licence) | 1, 4 |
| EDRIDGE Dominic Andrei | AWA561 | Licensed Representative (Provisional Licence) | 4 |
| ETCHEVERRY Iker | AVY674 | Licensed Representative (Provisional Licence) | 1, 2 |
| EVANS Michael John | AWA046 | Licensed Representative (Provisional Licence) | 4 |
| FAN Lok Sang | AWA514 | Licensed Representative (Provisional Licence) | 1 |
| FANG Yuan | APB792 | Licensed Representative (Provisional Licence) | 1, 6 |
| FENG Yue | AWD853 | Licensed Representative (Provisional Licence) | 1, 6 |
| FONG Chi Wang | AWD664 | Licensed Representative (Provisional Licence) | 1 |
| FRASER JENKINS Inigo Lewis | AVZ834 | Licensed Representative (Provisional Licence) | 4 |
| FUNG Mei Man | AVY423 | Licensed Representative (Provisional Licence) | 9 |
| FUNG Shuk Ching, Rita | AWC275 | Licensed Representative (Provisional Licence) | 1 |
| FUNG Sum Yi | AWB832 | Licensed Representative (Provisional Licence) | 1, 2 |

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2010

| CE Name | CE No. | Licence Type | Types of Regulated Activity |
|--------------------------------|---------------|---|------------------------------------|
| GAO Fei | AWD994 | Licensed Representative (Provisional Licence) | 1, 6 |
| GENG Geng | APX231 | Licensed Representative (Provisional Licence) | 1, 6 |
| GOH Chee Liong | AAF242 | Licensed Representative (Provisional Licence) | 1 |
| GORNY Wolfgang Georg | AWD943 | Licensed Representative (Provisional Licence) | 4 |
| GUO Yun | AWD211 | Licensed Representative (Provisional Licence) | 6 |
| GUPTA Rajeev | AEY382 | Licensed Representative (Provisional Licence) | 1 |
| HAO Tong | AWD076 | Licensed Representative (Provisional Licence) | 1 |
| HAPARNAS Tal | AWA426 | Licensed Representative (Provisional Licence) | 1, 4 |
| HEDIGAN John Edward | AWA378 | Licensed Representative (Provisional Licence) | 1, 4 |
| HO Kin To | AWC093 | Licensed Representative (Provisional Licence) | 1 |
| HO Man Kit | AWA582 | Licensed Representative (Provisional Licence) | 1, 2 |
| HO Mavis | AVZ224 | Licensed Representative (Provisional Licence) | 1, 6 |
| HO Pui Yan | AVY956 | Licensed Representative (Provisional Licence) | 1 |
| HO Tsz Kin Dominic | AVZ607 | Licensed Representative (Provisional Licence) | 1, 4, 6 |
| HOLM Chad Christopher | AVZ806 | Licensed Representative (Provisional Licence) | 1, 4, 6 |
| HOLMES II Albert Dudley | AWD589 | Licensed Representative (Provisional Licence) | 1, 2 |
| HONG Won Myong | AWD856 | Licensed Representative (Provisional Licence) | 1, 6 |
| HOROWITZ Barry Alan | AWC497 | Licensed Representative (Provisional Licence) | 1 |
| HORSFIELD Christopher William | AWA043 | Licensed Representative (Provisional Licence) | 4 |
| HOU Hongyan | ARR885 | Licensed Representative (Provisional Licence) | 1, 2, 4 |
| HOU Yingxuan | AWA022 | Licensed Representative (Provisional Licence) | 1, 6 |
| HU Linghan | AVZ070 | Licensed Representative (Provisional Licence) | 1, 6 |
| HUANG Bo-Kai | AKY607 | Licensed Representative (Provisional Licence) | 1 |
| HUANG Julie Yu Hsin | ARV795 | Licensed Representative (Provisional Licence) | 1, 2 |
| HUANG Ngon Ping | ARW297 | Licensed Representative (Provisional Licence) | 1, 2 |
| HUANG Wei | AVZ311 | Licensed Representative (Provisional Licence) | 2 |
| HUANG Zheng-xian | AWD608 | Licensed Representative (Provisional Licence) | 4 |
| HUI Roy | ATE232 | Licensed Representative (Provisional Licence) | 1 |
| ILDERTON Howard Graydon Rodney | AVZ288 | Licensed Representative (Provisional Licence) | 1 |
| ISHIZU Momoe | AWA212 | Licensed Representative (Provisional Licence) | 1 |
| ISKANDAR Isnaputra | AWD602 | Licensed Representative (Provisional Licence) | 4 |
| ISOBE Mahito | AVZ835 | Licensed Representative (Provisional Licence) | 1 |
| JIANG Bo | AWD081 | Licensed Representative (Provisional Licence) | 1 |
| JIANG Minming | AQG749 | Licensed Representative (Provisional Licence) | 1, 4, 6 |
| JIANG Sini | AWC257 | Licensed Representative (Provisional Licence) | 1, 6 |
| JIANG Wenqian | AWE172 | Licensed Representative (Provisional Licence) | 1, 4, 6 |

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2010

| CE Name | CE No. | Licence Type | Types of Regulated Activity |
|---|---------------|---|------------------------------------|
| JIN Bing | AWA168 | Licensed Representative (Provisional Licence) | 1, 6 |
| JOHNSTON Andrew Ian | AVY765 | Licensed Representative (Provisional Licence) | 4 |
| JONADET Antoine Georges Philippe Ernest Jacques | AWC448 | Licensed Representative (Provisional Licence) | 1, 2 |
| JUE Stephen Tukqun | AIQ688 | Licensed Representative (Provisional Licence) | 4, 9 |
| KALIA Naveen K | AWC351 | Licensed Representative (Provisional Licence) | 9 |
| KANG Zhe | AVZ707 | Licensed Representative (Provisional Licence) | 1, 4 |
| KAPADIA Sunil Vijay | AWB792 | Licensed Representative (Provisional Licence) | 4 |
| KIM Nam Hee | AWD590 | Licensed Representative (Provisional Licence) | 1, 6 |
| KITAYAMA Haruki | AWE082 | Licensed Representative (Provisional Licence) | 1, 6 |
| KOH Soo Jin | AWC107 | Licensed Representative (Provisional Licence) | 1, 6 |
| KOO Yuk Shing | AWA385 | Licensed Representative (Provisional Licence) | 1 |
| KORACH Philipp Patrick | AVZ290 | Licensed Representative (Provisional Licence) | 4 |
| KOSUGA Osamu | AWA259 | Licensed Representative (Provisional Licence) | 1 |
| KRISMER Peter Markus | AWD489 | Licensed Representative (Provisional Licence) | 1, 4 |
| KUMAR Lalit | AWB683 | Licensed Representative (Provisional Licence) | 4 |
| KUNG Pei Hsuan | AVW189 | Licensed Representative (Provisional Licence) | 1, 2 |
| KWAN Chun Chung | AWA516 | Licensed Representative (Provisional Licence) | 1, 2 |
| KWAN Tsun Man | AWA326 | Licensed Representative (Provisional Licence) | 2 |
| KWOK Ka Man | AVY051 | Licensed Representative (Provisional Licence) | 1 |
| LABIDOIRE Yves | AWC072 | Licensed Representative (Provisional Licence) | 1, 2, 7 |
| LAI Wa Hing | AWD940 | Licensed Representative (Provisional Licence) | 1, 2 |
| LAM Kwun Wai | AWB780 | Licensed Representative (Provisional Licence) | 1, 6 |
| LAM Tat Yan | AWA223 | Licensed Representative (Provisional Licence) | 1 |
| LAN Wan-Ting | AVZ117 | Licensed Representative (Provisional Licence) | 1, 2 |
| LANGNER Gilbert Fred | ADK592 | Licensed Representative (Provisional Licence) | 1, 2 |
| LAU Chun Hung | AWB786 | Licensed Representative (Provisional Licence) | 1 |
| LAU Hiu Fung | AWD942 | Licensed Representative (Provisional Licence) | 1, 2 |
| LAU Hui Ping, Patrick | AWA606 | Licensed Representative (Provisional Licence) | 1, 6 |
| LAU Ka Chun | AWD948 | Licensed Representative (Provisional Licence) | 1, 2 |
| LAU Kin Lam | AWC628 | Licensed Representative (Provisional Licence) | 1, 3 |
| LAU Pei Man Hidy | AVZ457 | Licensed Representative (Provisional Licence) | 1, 4, 9 |
| LAU Wang Yip | AVY122 | Licensed Representative (Provisional Licence) | 1 |
| LAU Yuen Chi | AWC458 | Licensed Representative (Provisional Licence) | 1, 2 |
| LAW Chun Lok | AVY116 | Licensed Representative (Provisional Licence) | 1 |
| LAW Kevin Kwok Ching | AJA308 | Licensed Representative (Provisional Licence) | 1 |
| LAWSON Ryan John | ATQ939 | Licensed Representative (Provisional Licence) | 1, 4 |

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2010

| CE Name | CE No. | Licence Type | Types of Regulated Activity |
|------------------------|---------------|---|------------------------------------|
| LEAHY Timothy James | AWB788 | Licensed Representative (Provisional Licence) | 1 |
| LEE Andrew Chun Ning | AWA649 | Licensed Representative (Provisional Licence) | 1 |
| LEE Bertha | AWB702 | Licensed Representative (Provisional Licence) | 1, 2 |
| LEE Gar Chung, Jason | AWC884 | Licensed Representative (Provisional Licence) | 1, 4, 9 |
| LEE Jackie Kai Yat | AWD626 | Licensed Representative (Provisional Licence) | 4 |
| LEE Jae Jun | AWB625 | Licensed Representative (Provisional Licence) | 1 |
| LEE Nicholas Kong Tze | ANG864 | Licensed Representative (Provisional Licence) | 1, 2 |
| LEE Pui Chi | AWC182 | Licensed Representative (Provisional Licence) | 1, 2 |
| LEE Shiu Ki | AWC496 | Licensed Representative (Provisional Licence) | 1 |
| LEE Siu San, Rocky | AWC885 | Licensed Representative (Provisional Licence) | 1, 4, 6 |
| LEE Wai Man | AWC512 | Licensed Representative (Provisional Licence) | 1 |
| LEE Yan Tung | AWA515 | Licensed Representative (Provisional Licence) | 1 |
| LEUNG Chun Chuen | AVJ100 | Licensed Representative (Provisional Licence) | 1, 2 |
| LEUNG Chun Wah | AWD533 | Licensed Representative (Provisional Licence) | 1 |
| LEUNG Hung Kin | AVM343 | Licensed Representative (Provisional Licence) | 1, 4 |
| LEUNG Kai Cheung | AWD952 | Licensed Representative (Provisional Licence) | 1 |
| LEUNG Lok Kin | AWD227 | Licensed Representative (Provisional Licence) | 1 |
| LEUNG Man See | AWA336 | Licensed Representative (Provisional Licence) | 1 |
| LEUNG Miranda Chun Mui | AGB782 | Licensed Representative (Provisional Licence) | 1, 4 |
| LEUNG Pui Yin | AIO017 | Licensed Representative (Provisional Licence) | 1, 4 |
| LEUNG Shuk Ching | AWB865 | Licensed Representative (Provisional Licence) | 1 |
| LEUNG Wai Lok | AQA795 | Licensed Representative (Provisional Licence) | 4, 9 |
| LEUNG Wai Ming | AWD524 | Licensed Representative (Provisional Licence) | 1 |
| LEUNG Wing Man | AWA354 | Licensed Representative (Provisional Licence) | 1 |
| LEUNG Yuk Hei, Thomas | AWD636 | Licensed Representative (Provisional Licence) | 1, 6 |
| LI Hongxing | AWA019 | Licensed Representative (Provisional Licence) | 1, 4, 6 |
| LI Kar Chun, Eric | AWA219 | Licensed Representative (Provisional Licence) | 1 |
| LI Kwan Fu Christopher | AWD982 | Licensed Representative (Provisional Licence) | 1, 4 |
| LI Lei | AWA255 | Licensed Representative (Provisional Licence) | 1, 6 |
| LI Pui Yan | AVZ605 | Licensed Representative (Provisional Licence) | 1 |
| LI Quan | AVZ137 | Licensed Representative (Provisional Licence) | 1, 6 |
| LIAO Ya Tzu | ALN825 | Licensed Representative (Provisional Licence) | 1 |
| LIM Cheng Kiat Eugene | ADI136 | Licensed Representative (Provisional Licence) | 1 |
| LIM Weijern | AWA189 | Licensed Representative (Provisional Licence) | 1, 6 |
| LIN Chien Huei | ATR860 | Licensed Representative (Provisional Licence) | 1 |
| LIN Tun | AWE515 | Licensed Representative (Provisional Licence) | 1, 4 |

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2010

| CE Name | CE No. | Licence Type | Types of Regulated Activity |
|-----------------------------------|---------------|---|------------------------------------|
| LIU Bin | AWD208 | Licensed Representative (Provisional Licence) | 1 |
| LIU Chengqi | AWC881 | Licensed Representative (Provisional Licence) | 1, 2 |
| LIU Feizhi | AWD212 | Licensed Representative (Provisional Licence) | 6 |
| LIU Hang Yu | AWC324 | Licensed Representative (Provisional Licence) | 6 |
| LIU Man Tai Andy | AVZ225 | Licensed Representative (Provisional Licence) | 1, 6 |
| LIU Mei Yu, Dorothy | AVY123 | Licensed Representative (Provisional Licence) | 1, 4 |
| LIU Wai Ho | AWA607 | Licensed Representative (Provisional Licence) | 9 |
| LIU Yang | AVY424 | Licensed Representative (Provisional Licence) | 1, 6 |
| LIU Yecheng | AWA518 | Licensed Representative (Provisional Licence) | 1 |
| LO Lap Kin, Frederick | AWA581 | Licensed Representative (Provisional Licence) | 1, 2 |
| LO Long Pak Rambo | AWA647 | Licensed Representative (Provisional Licence) | 1 |
| LO Siu Kit | AOA396 | Licensed Representative (Provisional Licence) | 1, 4, 6 |
| LU Chia-lin | AWB680 | Licensed Representative (Provisional Licence) | 4 |
| LU Han | AWD213 | Licensed Representative (Provisional Licence) | 6 |
| LU Liqin | AMJ802 | Licensed Representative (Provisional Licence) | 1, 6 |
| LUA Sheng Join | AWD622 | Licensed Representative (Provisional Licence) | 1, 6 |
| LUI Chun Man | AFE996 | Licensed Representative (Provisional Licence) | 1, 2 |
| LUI Wai Yin | AWE459 | Licensed Representative (Provisional Licence) | 1 |
| LUK Kuo Sheng, James | AWA383 | Licensed Representative (Provisional Licence) | 1, 4, 9 |
| LUK Wing Cheong | AWD990 | Licensed Representative (Provisional Licence) | 1 |
| LURIE Mattan Hillel | ANB366 | Licensed Representative (Provisional Licence) | 1 |
| LUTZ Marcel Anton | AWE444 | Licensed Representative (Provisional Licence) | 1 |
| MA Jun | AVZ152 | Licensed Representative (Provisional Licence) | 4, 9 |
| MA Yaoyao | AWC080 | Licensed Representative (Provisional Licence) | 1, 4 |
| MAK Kai Ming, Maurice | AWC707 | Licensed Representative (Provisional Licence) | 1 |
| MAK Yiu Chuen, Eugene | AWA600 | Licensed Representative (Provisional Licence) | 1 |
| MAN Nok Yan, Gladys | AWD244 | Licensed Representative (Provisional Licence) | 1, 6 |
| MATSUDA Akiko | AVY029 | Licensed Representative (Provisional Licence) | 1, 2 |
| MCDONALD Nicolas | AWA321 | Licensed Representative (Provisional Licence) | 1 |
| MCDOUGALL Kathleen Martha | AVD132 | Licensed Representative (Provisional Licence) | 4 |
| MEHTA Ashwin | AVZ833 | Licensed Representative (Provisional Licence) | 4 |
| METCALFE Stephen Donald | ACR545 | Licensed Representative (Provisional Licence) | 1, 6 |
| MITCHELL Lee Mark | AWA042 | Licensed Representative (Provisional Licence) | 1 |
| MITCHELL Rupert Douglas Alexander | AFE722 | Licensed Representative (Provisional Licence) | 1, 6 |
| MO Wai Hong, Matthew | ABY694 | Licensed Representative (Provisional Licence) | 4, 9 |
| MOK Hon Kit | ASE897 | Licensed Representative (Provisional Licence) | 1, 2 |

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2010

| CE Name | CE No. | Licence Type | Types of Regulated Activity |
|--------------------------------|---------------|---|------------------------------------|
| MU Hao | AWC280 | Licensed Representative (Provisional Licence) | 1, 6 |
| MUELLERS Sean Christopher | AVW699 | Licensed Representative (Provisional Licence) | 1, 4 |
| NADEL Mitchell Neil | AWB871 | Licensed Representative (Provisional Licence) | 1, 2 |
| NAGAE Joseph Kurian | AVZ283 | Licensed Representative (Provisional Licence) | 6 |
| NG Kay Chak, Eric | APK348 | Licensed Representative (Provisional Licence) | 1, 4 |
| NG King Lit | AEM917 | Licensed Representative (Provisional Licence) | 1, 2 |
| NG Kwok Ming | AWA039 | Licensed Representative (Provisional Licence) | 1, 2 |
| NG Lok Wun | AWC637 | Licensed Representative (Provisional Licence) | 1, 2 |
| NG Ting Fai | AWD110 | Licensed Representative (Provisional Licence) | 1, 2 |
| NG Wai Ping | AWC089 | Licensed Representative (Provisional Licence) | 1 |
| NG Yu Hin | AWA345 | Licensed Representative (Provisional Licence) | 1 |
| NGAI Kwok Pan | AWE460 | Licensed Representative (Provisional Licence) | 3 |
| NGOH You'An | AWB831 | Licensed Representative (Provisional Licence) | 1, 6 |
| OLSSON Scott James | AWC074 | Licensed Representative (Provisional Licence) | 4 |
| ONG Boon Kin, Lloyd | AFJ463 | Licensed Representative (Provisional Licence) | 1 |
| ONG Kim Boon, Patrick Lawrence | AVZ226 | Licensed Representative (Provisional Licence) | 1, 4 |
| PAN Dengzhao | AWE392 | Licensed Representative (Provisional Licence) | 1 |
| PARAMESWARAN Dhileepan | ALZ600 | Licensed Representative (Provisional Licence) | 1 |
| PARKS Robert Ralph | ADM267 | Licensed Representative (Provisional Licence) | 1, 4, 9 |
| PASTO JORQUERA Albert | AWD094 | Licensed Representative (Provisional Licence) | 1, 2 |
| PEQUIGNOT Jean-david | AWC880 | Licensed Representative (Provisional Licence) | 1, 6 |
| PERRIER Amelie | AVZ289 | Licensed Representative (Provisional Licence) | 1, 2 |
| POON Yee Yan | AWD508 | Licensed Representative (Provisional Licence) | 1 |
| PRATT Jon Vaughan Merrick | AGN910 | Licensed Representative (Provisional Licence) | 1, 4, 6 |
| PUN Yun Mei, Marcella | AFU332 | Licensed Representative (Provisional Licence) | 1 |
| RAO Meixiu | AWD944 | Licensed Representative (Provisional Licence) | 1, 4 |
| RECCO Salvatore Paul | AWC694 | Licensed Representative (Provisional Licence) | 1, 2 |
| SABOT Florent Roland Christian | AWD111 | Licensed Representative (Provisional Licence) | 1, 2 |
| SAHA Soumyadeep | AWA384 | Licensed Representative (Provisional Licence) | 1, 4, 9 |
| SATO Go | AWC453 | Licensed Representative (Provisional Licence) | 9 |
| SCHROEDER Mary Colleen | AJN967 | Licensed Representative (Provisional Licence) | 4 |
| SELBY Paul John | AWA565 | Licensed Representative (Provisional Licence) | 1 |
| SENER Fatih | AWA028 | Licensed Representative (Provisional Licence) | 1, 2 |
| SEUNG Kyu Suk | AWD650 | Licensed Representative (Provisional Licence) | 1, 4, 6 |
| SHAH Kiran Dhirajlal | AWC345 | Licensed Representative (Provisional Licence) | 1, 2, 4, 5 |
| SHAO Sheila | AWE431 | Licensed Representative (Provisional Licence) | 1 |

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2010

| CE Name | CE No. | Licence Type | Types of Regulated Activity |
|--------------------------------------|---------------|---|------------------------------------|
| SHEA Man Kwan | AVZ313 | Licensed Representative (Provisional Licence) | 1 |
| SHIN Dai Hyun | AWA208 | Licensed Representative (Provisional Licence) | 1, 6 |
| SHINTRE Vaibhav Kiran | AVZ074 | Licensed Representative (Provisional Licence) | 1, 2 |
| SHUM Pui Kwan, Catherine | AKL739 | Licensed Representative (Provisional Licence) | 4 |
| SO Mei Yee Marilyn | AWE114 | Licensed Representative (Provisional Licence) | 1 |
| SO Sung Yuen | AWB874 | Licensed Representative (Provisional Licence) | 1, 2 |
| SPENCER John Charles | AWC659 | Licensed Representative (Provisional Licence) | 1 |
| SU Xin | AVZ612 | Licensed Representative (Provisional Licence) | 1, 6 |
| SUEN Wing Chung Joseph | AWE396 | Licensed Representative (Provisional Licence) | 1, 4 |
| SUN Yueming | AWE532 | Licensed Representative (Provisional Licence) | 9 |
| SUNG Wai Man | AWD607 | Licensed Representative (Provisional Licence) | 1 |
| SZE Kai Yi, Craik | AWD525 | Licensed Representative (Provisional Licence) | 1 |
| TAI Waini Karen | APC027 | Licensed Representative (Provisional Licence) | 4 |
| TAM Tommy Yuk-tong | AVZ831 | Licensed Representative (Provisional Licence) | 4 |
| TAM Yi Ting | AWA341 | Licensed Representative (Provisional Licence) | 1, 2 |
| TAN Jason Pak Yin | AWA245 | Licensed Representative (Provisional Licence) | 1, 2 |
| TANAKA Daisuke | AWB870 | Licensed Representative (Provisional Licence) | 1 |
| TANG Chung Kwan | ADV243 | Licensed Representative (Provisional Licence) | 1, 2 |
| TANG Lin | AVY842 | Licensed Representative (Provisional Licence) | 1, 4, 5, 9 |
| TANG Suet Yi | AVZ610 | Licensed Representative (Provisional Licence) | 4, 9 |
| TANTUICO Anna Francesca Syjuco | AWA044 | Licensed Representative (Provisional Licence) | 1 |
| TEE Charles Nicholas | AVZ559 | Licensed Representative (Provisional Licence) | 1 |
| THURSBY Nicholas Geoffrey | AWD032 | Licensed Representative (Provisional Licence) | 1, 4, 6 |
| TING Khang | AWC349 | Licensed Representative (Provisional Licence) | 9 |
| TO Tsz Yan Jacqueline | AVZ455 | Licensed Representative (Provisional Licence) | 1 |
| TO Yik Man | AVZ548 | Licensed Representative (Provisional Licence) | 1, 3 |
| TRACHLI Mouhssine | AWA048 | Licensed Representative (Provisional Licence) | 1, 2 |
| TSANG Tan Ying | ANU464 | Licensed Representative (Provisional Licence) | 1 |
| TSANG Tsz Ho | AWE361 | Licensed Representative (Provisional Licence) | 1, 2 |
| TSE Ling Ling | AVZ963 | Licensed Representative (Provisional Licence) | 1 |
| TSOI Man Yu, Phyllis | ADH901 | Licensed Representative (Provisional Licence) | 4, 6 |
| VAN DER VEN Jeroen Willibrord Erlend | AWC090 | Licensed Representative (Provisional Licence) | 9 |
| VAN VEEN Arjan Francis | AUX492 | Licensed Representative (Provisional Licence) | 4 |
| WALKER Alicia | AWD560 | Licensed Representative (Provisional Licence) | 1, 2, 7 |
| WANG Jia | AWC467 | Licensed Representative (Provisional Licence) | 6 |
| WANG Lei | AWC779 | Licensed Representative (Provisional Licence) | 1, 6 |

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2010

| CE Name | CE No. | Licence Type | Types of Regulated Activity |
|-------------------------------|---------------|---|------------------------------------|
| WANG Weigang | ANS227 | Licensed Representative (Provisional Licence) | 6 |
| WATSON Jason William | AWC344 | Licensed Representative (Provisional Licence) | 1, 4 |
| WEI Like | AWC816 | Licensed Representative (Provisional Licence) | 1, 6 |
| WHITE Toby Felix Peter Harvey | AVZ350 | Licensed Representative (Provisional Licence) | 1, 2 |
| WON Sun-hee | AWC341 | Licensed Representative (Provisional Licence) | 1, 4 |
| WONG Benson | ACU389 | Licensed Representative (Provisional Licence) | 1, 4 |
| WONG Chi Kiu | AWD978 | Licensed Representative (Provisional Licence) | 4, 9 |
| WONG Chun Ting | AOV781 | Licensed Representative (Provisional Licence) | 1, 4 |
| WONG Hiu Yan | AQG385 | Licensed Representative (Provisional Licence) | 1 |
| WONG Ho Tim | AVZ604 | Licensed Representative (Provisional Licence) | 1 |
| WONG Hoi Lam | AVZ280 | Licensed Representative (Provisional Licence) | 1 |
| WONG Jie Lun Gerald | AVZ291 | Licensed Representative (Provisional Licence) | 4 |
| WONG Justin Wayne | AWD588 | Licensed Representative (Provisional Licence) | 1, 6 |
| WONG Ka Ming, Alan | ARQ657 | Licensed Representative (Provisional Licence) | 1, 2 |
| WONG Ka Wing | AVZ613 | Licensed Representative (Provisional Licence) | 1 |
| WONG Kit Ting | AWC883 | Licensed Representative (Provisional Licence) | 1, 4 |
| WONG Shun Kit | AWE539 | Licensed Representative (Provisional Licence) | 1 |
| WONG Wai Ling | ADV539 | Licensed Representative (Provisional Licence) | 1 |
| WONG Wai Ming | AHK736 | Licensed Representative (Provisional Licence) | 1 |
| WONG Wing Kin | AWA470 | Licensed Representative (Provisional Licence) | 1 |
| WOO Wing Yin | APC057 | Licensed Representative (Provisional Licence) | 1 |
| WU Bun Lerd Bernard | APL242 | Licensed Representative (Provisional Licence) | 1, 2 |
| WU Ping-Heng | AWA165 | Licensed Representative (Provisional Licence) | 4 |
| WU Xiaowen | AWB782 | Licensed Representative (Provisional Licence) | 1 |
| WU Xueying | AWC459 | Licensed Representative (Provisional Licence) | 2 |
| XIA Yuqi | AVS718 | Licensed Representative (Provisional Licence) | 1, 2 |
| XIE Jiejing | AWA458 | Licensed Representative (Provisional Licence) | 1, 6 |
| XU Lin | AVZ985 | Licensed Representative (Provisional Licence) | 9 |
| XU Pengbing | AWC146 | Licensed Representative (Provisional Licence) | 1, 4 |
| XUE Yuxing | AVY702 | Licensed Representative (Provisional Licence) | 1, 2 |
| YAM Tsz Chun | AQC811 | Licensed Representative (Provisional Licence) | 4 |
| YAMAGUCHI Daisuke | AMS713 | Licensed Representative (Provisional Licence) | 1 |
| YANG Ming | AWE557 | Licensed Representative (Provisional Licence) | 4, 9 |
| YANG Ruo | AWD859 | Licensed Representative (Provisional Licence) | 1, 6 |
| YANG Xinlin | APG517 | Licensed Representative (Provisional Licence) | 1, 6 |
| YAR Lai Ngor, Petty | ALK133 | Licensed Representative (Provisional Licence) | 1, 4 |

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2010

| CE Name | CE No. | Licence Type | Types of Regulated Activity |
|--------------------------|---------------|---|------------------------------------|
| YAU Chyi-kuen | AVZ841 | Licensed Representative (Provisional Licence) | 1 |
| YE Feng | ATO412 | Licensed Representative (Provisional Licence) | 1, 2 |
| YEH Jyh-jia | AWB869 | Licensed Representative (Provisional Licence) | 1, 2 |
| YEH Wan-Ping | AVZ839 | Licensed Representative (Provisional Licence) | 4 |
| YEOLAWALA Mohammed Firoz | AWC343 | Licensed Representative (Provisional Licence) | 1, 6 |
| YEUNG Tung Leong | AMH962 | Licensed Representative (Provisional Licence) | 3 |
| YIP Hao Huan | AVZ349 | Licensed Representative (Provisional Licence) | 4, 9 |
| YIP Pui Yee | ASY648 | Licensed Representative (Provisional Licence) | 1, 2, 7 |
| YIP Wing Sze | AWA188 | Licensed Representative (Provisional Licence) | 1, 9 |
| YIP Wing Sze, Venz | AWD043 | Licensed Representative (Provisional Licence) | 4 |
| YIU Sui Chong | AOS002 | Licensed Representative (Provisional Licence) | 1, 6 |
| YOUNG Ting Kar | AEY445 | Licensed Representative (Provisional Licence) | 1, 2 |
| YU Chi Wai Joey | AWE457 | Licensed Representative (Provisional Licence) | 1 |
| YU Man Ting Loretta | AWE558 | Licensed Representative (Provisional Licence) | 1 |
| YU Xiaoping | AWC655 | Licensed Representative (Provisional Licence) | 4 |
| YUAN Chongze | AWD529 | Licensed Representative (Provisional Licence) | 1, 2 |
| YUE Xiaowei | AVZ069 | Licensed Representative (Provisional Licence) | 1, 4, 6 |
| YUEN Che Hay | AWA517 | Licensed Representative (Provisional Licence) | 1 |
| YUEN Robin | AQD400 | Licensed Representative (Provisional Licence) | 4 |
| YUEN Tat Wing | AWA568 | Licensed Representative (Provisional Licence) | 1 |
| YUNG Man Ho, Alfred | AVH937 | Licensed Representative (Provisional Licence) | 4, 9 |
| ZENG Liyi | AWC178 | Licensed Representative (Provisional Licence) | 1 |
| ZHAN Meiqing | AWD580 | Licensed Representative (Provisional Licence) | 1, 2 |
| ZHANG Fan | AWE514 | Licensed Representative (Provisional Licence) | 1, 6 |
| ZHANG Fen | AWA135 | Licensed Representative (Provisional Licence) | 1, 4, 6 |
| ZHANG Steve Sheng | AWC639 | Licensed Representative (Provisional Licence) | 4 |
| ZHANG Yiwen | AVY269 | Licensed Representative (Provisional Licence) | 6 |
| ZHAO Yanlin | AVY037 | Licensed Representative (Provisional Licence) | 4 |
| ZHENG Yong | AWC127 | Licensed Representative (Provisional Licence) | 1, 6 |
| ZHOU Tian | AVZ801 | Licensed Representative (Provisional Licence) | 1, 6 |
| ZHOU Xiaoyin | ALK243 | Licensed Representative (Provisional Licence) | 1, 4 |
| ZOU Chuan | AVZ312 | Licensed Representative (Provisional Licence) | 1, 2 |
| BONG Peng Leong Terence | AWD298 | Licensed Representative (Temporary Licence) | 1 |
| CARTER Christian James | AWD292 | Licensed Representative (Temporary Licence) | 1 |
| CHOUKEIR Mouhammed | AWA211 | Licensed Representative (Temporary Licence) | 1 |
| CLARK Dwane Bryan | ATX809 | Licensed Representative (Temporary Licence) | 1 |

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2010

| CE Name | CE No. | Licence Type | Types of Regulated Activity |
|--|---------------|---|------------------------------------|
| CORNELL James Campbell | ART873 | Licensed Representative (Temporary Licence) | 1 |
| CRUZ Joseph | ATL697 | Licensed Representative (Temporary Licence) | 1 |
| FAY Sharon Ellen | AMC652 | Licensed Representative (Temporary Licence) | 4 |
| FITZGERALD Jonas Michael Sidlauskas | AVA153 | Licensed Representative (Temporary Licence) | 1 |
| GRAY Nicholas | AVZ123 | Licensed Representative (Temporary Licence) | 1 |
| GRIFFITHS Graeme Derek Victor | AOA583 | Licensed Representative (Temporary Licence) | 4 |
| HARRINGTON JR Thomas James | AWA209 | Licensed Representative (Temporary Licence) | 1 |
| HATAO Michiko | ATB923 | Licensed Representative (Temporary Licence) | 4 |
| IWASAWA Seiichiro | ARO888 | Licensed Representative (Temporary Licence) | 4 |
| JAIN Digan Prem Prakash | AWE173 | Licensed Representative (Temporary Licence) | 4 |
| KAGAWA Yoichi | AWC083 | Licensed Representative (Temporary Licence) | 1 |
| KIM Jong Kuk | AFC107 | Licensed Representative (Temporary Licence) | 1, 4 |
| KIM Luang | AUP380 | Licensed Representative (Temporary Licence) | 2 |
| KINMONT David Alexander Holloway | AVF091 | Licensed Representative (Temporary Licence) | 1 |
| LANDERS William Mark | AMR327 | Licensed Representative (Temporary Licence) | 1, 4 |
| LIANG Man Wei, Jonathan | AFR655 | Licensed Representative (Temporary Licence) | 4 |
| LIPPENS Bruno Andre Joseph | ARP187 | Licensed Representative (Temporary Licence) | 4 |
| MASOJADA Jolanta Bozena | AVA415 | Licensed Representative (Temporary Licence) | 4 |
| MC MAHON Neil Andrew | AWA194 | Licensed Representative (Temporary Licence) | 4 |
| MURRAY Stuart David | AQS705 | Licensed Representative (Temporary Licence) | 1 |
| OOI Boon Peng | AWA047 | Licensed Representative (Temporary Licence) | 1 |
| OSLER Peter Terence | AVY110 | Licensed Representative (Temporary Licence) | 4 |
| PENN Simon James | AVY111 | Licensed Representative (Temporary Licence) | 4 |
| PSIOLA Zinaida | AWC166 | Licensed Representative (Temporary Licence) | 4 |
| ROSTECK Hans-Joachim Adalbert | ACP043 | Licensed Representative (Temporary Licence) | 4 |
| SCHIRALDI Dario | AWD233 | Licensed Representative (Temporary Licence) | 1 |
| SHIGEMURA Kyoichiro | AQT050 | Licensed Representative (Temporary Licence) | 4 |
| SHIU Susan Woon Ying | AUA244 | Licensed Representative (Temporary Licence) | 1, 2 |
| SHOJI Yu | AWE654 | Licensed Representative (Temporary Licence) | 1 |
| TAN Ting Min | AUX128 | Licensed Representative (Temporary Licence) | 4 |
| TEEPLE Louise | AUV927 | Licensed Representative (Temporary Licence) | 1 |
| THOMPSON Alistair James | AUV608 | Licensed Representative (Temporary Licence) | 4 |
| TOY Anna Doi Shan | AWA210 | Licensed Representative (Temporary Licence) | 1 |
| TRIGO Sergio, Carlos | AUK283 | Licensed Representative (Temporary Licence) | 4 |
| VAN DEN HEILIGENBERG Emilius Paulus Antonius Maria | AWC463 | Licensed Representative (Temporary Licence) | 4 |
| WAKAO Seiji | AVY283 | Licensed Representative (Temporary Licence) | 4 |

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 10/2010

| CE Name | CE No. | Licence Type | Types of Regulated Activity |
|---------------------|---------------|---|------------------------------------|
| WILLIAMS Toby Lee | AEO751 | Licensed Representative (Temporary Licence) | 4 |
| YANAGISAWA Masakazu | ASL355 | Licensed Representative (Temporary Licence) | 1 |
| YANAGISAWA Masakazu | ASL355 | Licensed Representative (Temporary Licence) | 1 |