

REMOVALS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2012

| CE Name | CE No. | License Type | Types of Regulated Activity |
|---|---------------|-------------------------|------------------------------------|
| Fubon Capital (HK) Limited | AEY255 | Licensed Corporation | 1, 4, 6 |
| KTB Asset Management Asia Co., Limited | AUT783 | Licensed Corporation | 9 |
| Perry Capital (Asia) Limited | ANJ166 | Licensed Corporation | 4, 9 |
| SINOPIA Asset Management (Asia Pacific) Limited | AGG043 | Licensed Corporation | 1, 4, 5, 9 |
| ARCULLI Kim Melanie | AAA119 | Licensed Representative | 1, 4 |
| AU-YEUNG Ka Wai, Vicky | AWN090 | Licensed Representative | 1, 4 |
| BAIK Saeyoon | ARJ096 | Licensed Representative | 1, 4, 6 |
| BELLO Jerald Jeffrey San Diego | AYE543 | Licensed Representative | 1, 7 |
| BLENNERHASSETT David James | ADF976 | Licensed Representative | 1, 4 |
| BOLTON Jennifer Sarah | AVT618 | Licensed Representative | 1, 6 |
| BOULAY Nicolas Philippe | AQI395 | Licensed Representative | 1, 2, 5 |
| BRUCKNER Andreas | APJ958 | Licensed Representative | 1 |
| CAMMARATA Michael | AWC346 | Licensed Representative | 1, 2, 7 |
| CESARINI Marco | AYD142 | Licensed Representative | 6 |
| CHAI Denise Sara | ADR497 | Licensed Representative | 1, 4, 4 |
| CHAK So Wah | AAG663 | Licensed Representative | 1 |
| CHAN Cheung | AGF146 | Licensed Representative | 1 |
| CHAN Chun Yin, Christopher | ASO895 | Licensed Representative | 1, 2, 3 |
| CHAN Fo Wai | AWS549 | Licensed Representative | 1, 2 |
| CHAN Frank Clifford Shui Ting Chu | ARP537 | Licensed Representative | 6 |
| CHAN Ka Lun | AVY125 | Licensed Representative | 1 |
| CHAN Lai Yan | AWC176 | Licensed Representative | 4, 5, 9 |
| CHAN Oi Ying | AUX438 | Licensed Representative | 1 |
| CHAN Sai Ko, Timothy | AKW735 | Licensed Representative | 1, 2, 5 |
| CHAN Shuk Har | AMB616 | Licensed Representative | 1 |
| CHAN Tsan Hung, Alex | AQA217 | Licensed Representative | 1, 2, 3 |
| CHAN Wah Hong | ALB180 | Licensed Representative | 1, 4 |
| CHAN Wai Leung | AWW070 | Licensed Representative | 1 |
| CHAN Woon Yuen | ABX685 | Licensed Representative | 1 |
| CHAN Yin | ARI164 | Licensed Representative | 1, 4 |
| CHAN Yin Yan, Ilaria | AMJ807 | Licensed Representative | 1, 2 |
| CHAN Yuen Yee, Amy | AFM002 | Licensed Representative | 4 |
| CHEN Bo Gwang | AYN952 | Licensed Representative | 4 |
| CHEN Crystal Ying | AXB374 | Licensed Representative | 4, 6 |
| CHEN Helen Yan Heung | AMN662 | Licensed Representative | 4, 9 |
| CHEN Tse Wei, Geoffrey | AHR045 | Licensed Representative | 1, 4 |
| CHEN Wen-Yu Winnie | AVK949 | Licensed Representative | 1 |
| CHEN Yi-Ju | AMS528 | Licensed Representative | 1, 6 |
| CHEN Yuzhe | ARJ839 | Licensed Representative | 1, 4, 6 |
| CHENG Chuen Wai | AWU249 | Licensed Representative | 1 |
| CHENG Hoi Yin | AGC463 | Licensed Representative | 1, 6 |
| CHENG Shing Fung | AWA311 | Licensed Representative | 1 |
| CHENG Yu Hin, Timmons | APB931 | Licensed Representative | 1, 2 |
| CHEUNG Chui Shan | AVM059 | Licensed Representative | 1 |
| CHEUNG Chung Ki | AUI730 | Licensed Representative | 1, 6, 9 |
| CHEUNG Tsz Wei, Michele | AQI408 | Licensed Representative | 1, 2, 3 |
| CHEUNG Yiu Lun | AGC910 | Licensed Representative | 1 |
| CHEUNG Yue Yee | AOR312 | Licensed Representative | 1, 2 |
| CHIABOTTI Ariste Samuel | ALW844 | Licensed Representative | 1, 4, 9 |
| CHING Siu Shan | ANL978 | Licensed Representative | 1, 4 |
| CHIU Ho Cheung | AXH545 | Licensed Representative | 1, 2, 7 |
| CHIU Siu Sang | AET486 | Licensed Representative | 1, 2 |
| CHIU Yao Chi | AEY497 | Licensed Representative | 1 |
| CHOE Steven Kent | ANQ119 | Licensed Representative | 1, 2 |
| CHOI Celine | ADR464 | Licensed Representative | 1 |
| CHOI Kwok Hei | AMT699 | Licensed Representative | 1, 1, 2 |
| CHOI Yuk Ping, Venice | AGJ087 | Licensed Representative | 1 |
| CHOU Jaime Yun Cheng | ALH930 | Licensed Representative | 1, 4, 4, 6, 9 |
| CHOW Man Yee, Kitty | AMZ977 | Licensed Representative | 1, 4, 6 |
| CHOW Wai Chi | ATO798 | Licensed Representative | 4 |
| CHU James Hendon | AWJ622 | Licensed Representative | 1, 9 |

REMOVALS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2012

| CE Name | CE No. | License Type | Types of Regulated Activity |
|--|---------------|-------------------------|------------------------------------|
| CHU Ka Chun | ATB848 | Licensed Representative | 1, 2 |
| CHU Wing Yee, Winnie | AGP150 | Licensed Representative | 4 |
| CHUNG Shiu Leung | ARA405 | Licensed Representative | 1, 6 |
| CHUNG Ting Kwok | ARN967 | Licensed Representative | 1 |
| CHWEI Mein Sze | AJK607 | Licensed Representative | 4, 9 |
| CLARKSON Matthew Thomas | ASQ572 | Licensed Representative | 1, 2, 4, 5 |
| CLIFF Paul Douglas | AQO149 | Licensed Representative | 4 |
| COPPENS Gregorius Henricus Bartholomea | ATB982 | Licensed Representative | 1, 4, 6 |
| CUI Can | AUQ924 | Licensed Representative | 1, 9 |
| CUI Enze | ATO957 | Licensed Representative | 1, 2 |
| DAVIS Colin Niel | ATO966 | Licensed Representative | 4, 9 |
| DE LA FONTAINE DE FONTENAY LE LIEVRE DE LA GRANGE Edmond Hugues Gerard | APV897 | Licensed Representative | 1, 4, 9 |
| DHAR Manoj | AUI031 | Licensed Representative | 1, 4 |
| DING Yibo | AXZ895 | Licensed Representative | 1 |
| EYUNNI Srinivas Rajeev Kiran | AOV720 | Licensed Representative | 4 |
| FAN Kin Yee | ANQ505 | Licensed Representative | 1, 4 |
| FAN Mei Shan | ALP793 | Licensed Representative | 1, 4, 9, 9 |
| FAN See Hang | ARM892 | Licensed Representative | 1 |
| FAN Wai Man, Ana | ACQ100 | Licensed Representative | 1, 4, 9, 9 |
| FENG Tingting | AWL059 | Licensed Representative | 1 |
| FOK Kin Man | AQQ313 | Licensed Representative | 1, 4 |
| FOOTIT Simon Courtney | AJH310 | Licensed Representative | 1, 2, 7 |
| FRASIER Hamilton Reid | AQJ467 | Licensed Representative | 1, 4 |
| FUNG Ho Ling | AVO588 | Licensed Representative | 1, 2 |
| GE Lijia | ALB386 | Licensed Representative | 1, 2, 4 |
| GOH How Phuang | ALU196 | Licensed Representative | 4, 9 |
| GOTO Motomasa | APW680 | Licensed Representative | 1, 2, 4 |
| GRATALE Yi Li | AXR937 | Licensed Representative | 4, 9 |
| HAO Marshall Chih Ping | ATM298 | Licensed Representative | 1 |
| HAPARNAS Tai | AWA426 | Licensed Representative | 1, 4 |
| HARADA Hitomi | AXA030 | Licensed Representative | 1, 9 |
| HAU Wai Yin, Winnie | AAO493 | Licensed Representative | 5 |
| HERLIHY Michael James Andrew | AMJ749 | Licensed Representative | 1 |
| HILTON Vanessa Catherine | AXH204 | Licensed Representative | 1, 2, 7 |
| HO Hon Wing | ARN670 | Licensed Representative | 4 |
| HO Kevin Kin-hung | ATM434 | Licensed Representative | 1, 4 |
| HO King Man, Justin | ALF541 | Licensed Representative | 9 |
| HO Weng Sun Vincent | AXH165 | Licensed Representative | 10 |
| HO Wing Kwong | AOY329 | Licensed Representative | 3 |
| HON Wan Man | AXC912 | Licensed Representative | 1 |
| HOU David Jun Ping | AVU718 | Licensed Representative | 1 |
| HSU Sze Ka, Diana | ATB832 | Licensed Representative | 1, 4 |
| HUA Wei | AYA092 | Licensed Representative | 1, 4, 6 |
| HUANG Chia-Lin | ASC556 | Licensed Representative | 1, 4 |
| HUI Ka Yan | AXB563 | Licensed Representative | 1 |
| HUI Tin Kay | AFS483 | Licensed Representative | 2, 2 |
| HUI Yin Chun, Alywin | ANK276 | Licensed Representative | 1, 2, 4, 9 |
| HUI Yuk Fong | AGP377 | Licensed Representative | 1 |
| INAMI Yasushi | ALI735 | Licensed Representative | 1 |
| IP Hiu Chong | ASS286 | Licensed Representative | 4 |
| IP Hiu Shuen | AXI898 | Licensed Representative | 1, 2 |
| IP Wun Tai, Mandy | APO656 | Licensed Representative | 1 |
| JACKSON Anthony Robert | AMC842 | Licensed Representative | 4 |
| JIANG Ying | AMF743 | Licensed Representative | 4 |
| KANG Dae Hyuk | AMU060 | Licensed Representative | 1 |
| KAO Chi Wang, Ronald | AVD112 | Licensed Representative | 1, 2, 4 |
| KEE Man Hei | ARN016 | Licensed Representative | 1, 4 |
| KELLY Colin Padraig | ARI973 | Licensed Representative | 1, 6 |
| KENNEDY David James | AXG973 | Licensed Representative | 1, 2 |
| KHAN Yousuf Mohammad | AXI005 | Licensed Representative | 10 |
| KIM James Yong Min | AWW389 | Licensed Representative | 1, 4 |

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| CE Name | CE No. | License Type | Types of Regulated Activity |
|--------------------------|---------------|-------------------------|------------------------------------|
| KIM Un Chin, Anny | ANW188 | Licensed Representative | 1, 4, 6 |
| KING Christopher Holmes | ADU461 | Licensed Representative | 1, 2 |
| KO Mei Yan | ANQ724 | Licensed Representative | 4 |
| KONG Kar Bong | AOT506 | Licensed Representative | 1 |
| KUNAM Naveen Kumar | AVH123 | Licensed Representative | 1, 4, 9 |
| KWAAN Arthur Hung Chi | ALW378 | Licensed Representative | 1, 2, 4 |
| KWAN Hann Long | AVD142 | Licensed Representative | 1, 3 |
| KWAN Ka Wai | AVV610 | Licensed Representative | 1 |
| KWAN Kwok Yung | AFE074 | Licensed Representative | 1, 4, 6 |
| KWAN Oi Yee | AUK260 | Licensed Representative | 1, 2, 2 |
| KWOK Chun Wing | ADU040 | Licensed Representative | 1, 2 |
| KWONG Kok Woei | APG279 | Licensed Representative | 9 |
| KWONG See Hin | AXH808 | Licensed Representative | 1, 4 |
| LAHAR Rebecca Anne | AWS697 | Licensed Representative | 1, 4 |
| LAI Chun Mui | ALG142 | Licensed Representative | 1, 2, 2, 3, 4 |
| LAI Dan | ATH908 | Licensed Representative | 1, 4, 6 |
| LAI Zhiyong | AVD365 | Licensed Representative | 1 |
| LAM King Kuen | ARA352 | Licensed Representative | 1, 2, 4 |
| LAM Kiu Fung, Kelvin | ATH406 | Licensed Representative | 1, 6 |
| LAM Pui Hei | AWD300 | Licensed Representative | 1, 2, 3 |
| LAM Sau Wan | ATW964 | Licensed Representative | 1 |
| LAM Wai Chuen | AKV030 | Licensed Representative | 1 |
| LAM Wai Ming | ARK027 | Licensed Representative | 1, 2 |
| LAM Wing Nga | AEX193 | Licensed Representative | 4, 9 |
| LAM Yin Kwan, Grace | AVX931 | Licensed Representative | 1, 4 |
| LAM Yuk, Helen | AXG310 | Licensed Representative | 10 |
| LANG George | ABP675 | Licensed Representative | 1 |
| LAU Chi Ching | APF062 | Licensed Representative | 4, 9 |
| LAU Chung Ho | AVN510 | Licensed Representative | 1 |
| LAU Hoi Wan | AWM898 | Licensed Representative | 1 |
| LAU Ka Chun | AWD948 | Licensed Representative | 1, 2 |
| LAU Pak Hong | AYJ801 | Licensed Representative | 1, 4, 6 |
| LAU Sau Kwan | AGQ337 | Licensed Representative | 1, 4 |
| LAW Yiu Fat, Richard | ANZ547 | Licensed Representative | 1, 4 |
| LAW Yuen Man, Catherine | AFB338 | Licensed Representative | 1 |
| LAWI Stephan Selim | ARP096 | Licensed Representative | 1, 2 |
| LEE Hoi Ling, Flora | AOM524 | Licensed Representative | 1, 4 |
| LEE Kai Ho, Patrick | AJL012 | Licensed Representative | 1, 4, 4, 5, 9 |
| LEE Kar Yan, Judith | ABA346 | Licensed Representative | 1, 6 |
| LEE Kok Hung, Morse | ATW710 | Licensed Representative | 1, 4 |
| LEE Kyung Min | AVH974 | Licensed Representative | 1, 6 |
| LEE Pei-yu | AUA472 | Licensed Representative | 1 |
| LEE Suk Yin | ALV321 | Licensed Representative | 4 |
| LEE Sze Wing | AXR970 | Licensed Representative | 1, 4, 6 |
| LEE Tak Choi | AMZ925 | Licensed Representative | 1, 2 |
| LEUNG Chui Yee | AXK271 | Licensed Representative | 1 |
| LEUNG Ho Kei | AWJ083 | Licensed Representative | 1, 2 |
| LEUNG Hui Homn | ARW893 | Licensed Representative | 1, 4 |
| LEUNG Kwok Choi | AVL229 | Licensed Representative | 1, 2 |
| LEUNG Suk Ling, Theresa | AEK003 | Licensed Representative | 1 |
| LEUNG Wing Yan | ANS135 | Licensed Representative | 1, 4 |
| LEUNG Ying Kit | ANW427 | Licensed Representative | 1, 2, 3, 3 |
| LEUNG Yuen Hing, Shirley | ADF213 | Licensed Representative | 1, 1, 4 |
| LEVIN Deborah Yu Lan | AJF334 | Licensed Representative | 9 |
| LI Dan | AVT112 | Licensed Representative | 6 |
| LI Dong | ARR525 | Licensed Representative | 1 |
| LI Kwong Chee, Eric | AUR981 | Licensed Representative | 1 |
| LI Shuxuan | AWR533 | Licensed Representative | 4 |
| LI Wan Hoi | ARN564 | Licensed Representative | 1, 2 |
| LI Wei | AYA386 | Licensed Representative | 4 |
| LI Wen Hong | ABN241 | Licensed Representative | 6 |

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| CE Name | CE No. | License Type | Types of Regulated Activity |
|---------------------------|---------------|-------------------------|------------------------------------|
| LI Xianlin | AUN096 | Licensed Representative | 1 |
| LI Yan | AQY400 | Licensed Representative | 4 |
| LI Yanyan | ASP832 | Licensed Representative | 4, 9 |
| LI Ying-Yi | ASC844 | Licensed Representative | 1, 4 |
| LIM Casey Wilson Go | AXW655 | Licensed Representative | 1, 6 |
| LIM Harvey Man Chuen | AUJ979 | Licensed Representative | 1, 2, 4 |
| LIM Tien Hoe | ARS413 | Licensed Representative | 2 |
| LIN Chia-Yu | AGU954 | Licensed Representative | 4 |
| LIN Yinji | ATL698 | Licensed Representative | 4, 9 |
| LING Tze Ping | AWW276 | Licensed Representative | 1 |
| LIU Bo | AWF420 | Licensed Representative | 1, 4, 6 |
| LIU Hing Hung | ARP656 | Licensed Representative | 4, 9 |
| LIU Kwun Loy | ARM047 | Licensed Representative | 1, 6 |
| LIU Sui Man | AWR628 | Licensed Representative | 1 |
| LIU Tat Luen | ABZ302 | Licensed Representative | 6 |
| LLOYD Ailsa Kuen Alice | AMA926 | Licensed Representative | 1, 4, 6 |
| LO Hi Fan | ANF286 | Licensed Representative | 1, 2, 4 |
| LO Hiu Tung | AXH227 | Licensed Representative | 1, 6 |
| LO Roxane Ting Kit | ALC465 | Licensed Representative | 1, 2 |
| LO Suet Fan, Violet | AQN267 | Licensed Representative | 1, 4, 6 |
| LO Tak Fai | APH430 | Licensed Representative | 1, 4 |
| LO Wai Man | AUH932 | Licensed Representative | 1 |
| LOU Gang | AGW986 | Licensed Representative | 1, 4 |
| LUO Xianrun | ARI929 | Licensed Representative | 1, 6 |
| MACDONALD Alexander Booth | ADJ382 | Licensed Representative | 1, 2, 4, 5, 9 |
| MAK Siu Yee | ANE310 | Licensed Representative | 1 |
| MAK Tin Long | AWU724 | Licensed Representative | 1 |
| MAK Wai Keung | AWE434 | Licensed Representative | 1 |
| MAK Wing Yan | AHU543 | Licensed Representative | 1, 9 |
| MAK Yu Ling, Elaine | AWO109 | Licensed Representative | 1 |
| MAN Sum | ASC884 | Licensed Representative | 4, 5, 9 |
| MAN Tsz Ming | AWH563 | Licensed Representative | 1, 2 |
| MANSOUR Asieh | AOR997 | Licensed Representative | 4 |
| MARRABLE Timothy John | AVX728 | Licensed Representative | 1, 4 |
| MC DONNELL Clive James | ACV271 | Licensed Representative | 4 |
| MC GRATH Conor Patrick | ARA117 | Licensed Representative | 1 |
| MEMON Mohammed Akil | APB338 | Licensed Representative | 1, 2 |
| MENG Hailing | AVT460 | Licensed Representative | 4 |
| MENG Qinglong | AYC942 | Licensed Representative | 1, 6 |
| MINIOR Michael William | AVM446 | Licensed Representative | 1 |
| MO Shing Shui | AXX823 | Licensed Representative | 1 |
| MULVEE David John | AWW210 | Licensed Representative | 1, 2 |
| NAGAI Hideki | ATL728 | Licensed Representative | 4, 9 |
| NAKAMURA Ryoko | AUD563 | Licensed Representative | 4 |
| NAKAYASU Yuki | ASD445 | Licensed Representative | 4 |
| NG Chi Tin, Herman | ASQ359 | Licensed Representative | 1, 4, 9 |
| NG Hin Yeung | AEY930 | Licensed Representative | 1 |
| NG Kwan Ching | AXB969 | Licensed Representative | 1 |
| NG Kwok Kei | AUB320 | Licensed Representative | 1, 2 |
| NG Lung, George | AHC740 | Licensed Representative | 1 |
| NG May Lin, Amy | AXC988 | Licensed Representative | 1 |
| NG Michael Jark Man | AOD036 | Licensed Representative | 1, 2, 4, 7, 9 |
| NG Po Yiu | ARI222 | Licensed Representative | 1 |
| NG Sau Mui | APL380 | Licensed Representative | 1 |
| NG Shui Cheong | AQD381 | Licensed Representative | 1, 1, 2, 2 |
| NG Siu Kwan | AVI216 | Licensed Representative | 1 |
| NG Wai Hong | AOR973 | Licensed Representative | 1, 4 |
| NGAI Hoi Fung | AVY612 | Licensed Representative | 1, 2 |
| OH Joo Hyun | AIR854 | Licensed Representative | 1, 6 |
| O'HARA Bryan Bernard | AJH353 | Licensed Representative | 4 |
| PAAS Adolph Aarne | AOX722 | Licensed Representative | 1, 6 |

REMOVALS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2012

| CE Name | CE No. | License Type | Types of Regulated Activity |
|---------------------------|---------------|-------------------------|------------------------------------|
| PANTONE Nicola | ANT913 | Licensed Representative | 1, 2, 2 |
| PAU Sheung Hang | ASD059 | Licensed Representative | 1, 4 |
| QIU Shirley | ARN136 | Licensed Representative | 1, 6 |
| RAWKINS Nicholas Hajime | AXT426 | Licensed Representative | 1, 2 |
| RECHTMAN Romain Jack | ALF591 | Licensed Representative | 1, 2, 4, 7 |
| REITER Yoad | AXL315 | Licensed Representative | 1, 4, 6 |
| ROGERS Neil Colin | ALS349 | Licensed Representative | 1, 4, 4 |
| SADHWANI Rashmi Ramesh | AUM930 | Licensed Representative | 1, 2 |
| SAPUTRO Albert | AUT958 | Licensed Representative | 4 |
| SATYAN Sanat | ASN706 | Licensed Representative | 4 |
| SEKAR Ashok Narsimhan | AVA502 | Licensed Representative | 1, 2 |
| SHEN Qi | AXS207 | Licensed Representative | 1 |
| SHI Gaoyang | AUS417 | Licensed Representative | 1, 4 |
| SHIN Ju Young | AJD378 | Licensed Representative | 1, 4 |
| SHUM Yu Kwan | AQU244 | Licensed Representative | 1, 2 |
| SINHA Raul | AUI077 | Licensed Representative | 4 |
| SIU Tsz Hang | ARI790 | Licensed Representative | 4, 9 |
| SIU Wing Kam | AVI420 | Licensed Representative | 1 |
| SIU Yuen Pang, Barron | AQI077 | Licensed Representative | 1 |
| SO Chun Yung | AWJ020 | Licensed Representative | 1 |
| SONG Won Sang | ATY600 | Licensed Representative | 1 |
| STAMBULICH Aaron John | AUQ301 | Licensed Representative | 1 |
| STANICA Adrian | ARE767 | Licensed Representative | 1 |
| STEPHENS John William | AFT822 | Licensed Representative | 1, 4, 5, 9 |
| STROVER Edward Jason | AUZ302 | Licensed Representative | 1, 4 |
| SUEN Yuk Tong | AJC278 | Licensed Representative | 4, 9 |
| SUN Steven John | ACR153 | Licensed Representative | 1, 6 |
| SUZUKI Takayuki | AVR826 | Licensed Representative | 1, 2 |
| SZETO Yat Kong | ANM052 | Licensed Representative | 4, 9 |
| TAM Chi Wai | AOK558 | Licensed Representative | 1 |
| TAN Meng Wee, Kendrew | AUV519 | Licensed Representative | 1, 6 |
| TANG Cheung Kai | AFA428 | Licensed Representative | 1, 2, 3 |
| TANG Wai Ching, Peter | AEU542 | Licensed Representative | 1, 4 |
| TAO Kar Yee Queenie | AVC243 | Licensed Representative | 1 |
| TERLICH Andrew James | AMH945 | Licensed Representative | 1 |
| TEW Yue Ying | AVW179 | Licensed Representative | 1, 4, 9 |
| THIO George Patrick | APD705 | Licensed Representative | 4 |
| TOLEDANO Roy | AXY961 | Licensed Representative | 1, 4, 6 |
| TSANG Bessie | AJI179 | Licensed Representative | 1 |
| TSANG Sui Wah | AOT900 | Licensed Representative | 4 |
| TSANG Tak Ming, Thomas | AGM931 | Licensed Representative | 1, 2 |
| TSANG Wai Ling | ADB423 | Licensed Representative | 1, 4 |
| TSE Ka Leung | AQV810 | Licensed Representative | 1, 4 |
| TSE Ping Kuen, Alex | ACG483 | Licensed Representative | 1, 2 |
| TSE Yuen Ting | APF286 | Licensed Representative | 4, 9 |
| TSE Yuk Mei, Kamics | ADP622 | Licensed Representative | 1 |
| TSOI Man Yu, Phyllis | ADH901 | Licensed Representative | 4, 6 |
| TSOI Yuk Chi | AWN912 | Licensed Representative | 4 |
| TSUN Christopher Wing Yip | ASO843 | Licensed Representative | 1 |
| WANG Bing | AVP276 | Licensed Representative | 4 |
| WANG Chun-kai | AVY700 | Licensed Representative | 1, 4 |
| WANG Ting | AON292 | Licensed Representative | 1, 4 |
| WANG Weigang | ANS227 | Licensed Representative | 6 |
| WANG Xiaolei | APP106 | Licensed Representative | 1, 2, 4, 5 |
| WANG Xu | AUB753 | Licensed Representative | 1, 4, 6 |
| WANNAN Caroline Diana | ARA741 | Licensed Representative | 1, 2 |
| WARDEN Bruce Bailey | AOX422 | Licensed Representative | 4 |
| WARDROP Marian Justine | ATE591 | Licensed Representative | 1 |
| WEN Lei | AVH159 | Licensed Representative | 1, 7 |
| WENG Eddie Hua-ti | ALR878 | Licensed Representative | 1, 6 |
| WILSON Daniel Charles | ARM931 | Licensed Representative | 4, 9 |

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| CE Name | CE No. | License Type | Types of Regulated Activity |
|---------------------------|---------------|---|------------------------------------|
| WOLFF Gil | AXL798 | Licensed Representative | 1, 7 |
| WONG Chiu Wan | ARU037 | Licensed Representative | 1, 4 |
| WONG Ka Wai, Evelyn | AFJ223 | Licensed Representative | 1, 2 |
| WONG Pui Chi | AXF393 | Licensed Representative | 1, 4 |
| WONG Rita | AFV463 | Licensed Representative | 1, 2, 4 |
| WONG Suet Ting | AEG454 | Licensed Representative | 1, 4, 9 |
| WONG Tat Hin, Derrick | APY824 | Licensed Representative | 1, 4, 6 |
| WONG Tsz Cheung | ANR066 | Licensed Representative | 1, 4 |
| WONG Wing Kai | APH470 | Licensed Representative | 1, 2 |
| WONG Yu Fei | AXC299 | Licensed Representative | 1 |
| WOO Emily Sen Yen | AXV855 | Licensed Representative | 6 |
| XIAN Yi | AUM360 | Licensed Representative | 1, 4, 6 |
| XU Duoduo | AUZ744 | Licensed Representative | 1, 2 |
| XU Haoyun | ATH853 | Licensed Representative | 9 |
| XU Huizhong | AVO583 | Licensed Representative | 1 |
| YAN Qi | AVK792 | Licensed Representative | 1, 4 |
| YAN Si | AWK174 | Licensed Representative | 1, 6 |
| YANG Fan | AWY077 | Licensed Representative | 4, 6 |
| YANG Xiaofan | AQD047 | Licensed Representative | 4, 5, 9 |
| YEUNG Po Mui | AGQ660 | Licensed Representative | 4 |
| YEUNG Sheung Pui | AWA332 | Licensed Representative | 1 |
| YEUNG Siu Tung, Ronnie | AAK542 | Licensed Representative | 1, 2 |
| YI Qiao | ARF827 | Licensed Representative | 4 |
| YIP Ho Yin | AOU084 | Licensed Representative | 4 |
| YU Huangyan | ANH386 | Licensed Representative | 4 |
| YU Lup Fat, Joseph | AAG804 | Licensed Representative | 1 |
| YU Shanhu | AVW213 | Licensed Representative | 4, 6 |
| YU Shengping | AVO747 | Licensed Representative | 1, 6 |
| YU Zhibo | AQQ367 | Licensed Representative | 1, 4 |
| YUEN Lok Ting | AXQ375 | Licensed Representative | 1, 4, 6 |
| YUEN Robin | AQD400 | Licensed Representative | 4 |
| ZHANG Jielong | ASH720 | Licensed Representative | 4, 9 |
| ZHANG Jingjing | ATO456 | Licensed Representative | 1, 6 |
| ZHANG Pearl Yingyue | ATD293 | Licensed Representative | 1, 4, 6 |
| ZHANG Wei | APK769 | Licensed Representative | 1, 4, 6 |
| ZHANG Yi | AXW182 | Licensed Representative | 1, 4, 6 |
| ZHANG Yini | AVT726 | Licensed Representative | 1 |
| ZHAO Quanquan | AUC119 | Licensed Representative | 1 |
| ZHONG Wenming | AUZ742 | Licensed Representative | 1, 4 |
| ZHOU Hongyu | ATD513 | Licensed Representative | 1, 4 |
| ZHU Feng | AOI993 | Licensed Representative | 6 |
| ZHU Hui | AKI716 | Licensed Representative | 4 |
| CHAN Cheuk Yin | ACD391 | Licensed Representative - Responsible Officer | 1, 4 |
| CHAN Hon Ming | ABN595 | Licensed Representative - Responsible Officer | 4, 9 |
| CHAN Sok Yin, Sophia | ABE984 | Licensed Representative - Responsible Officer | 1 |
| CHUNG Hon Lam | ANQ053 | Licensed Representative - Responsible Officer | 4, 9 |
| COPPARD Kevin John | AKY110 | Licensed Representative - Responsible Officer | 1, 4 |
| DALEY Kirby Scott | ANP702 | Licensed Representative - Responsible Officer | 1, 2 |
| DEHLOUZ Laurent | ASX160 | Licensed Representative - Responsible Officer | 1, 4 |
| DRAKE Christopher Michael | ACZ957 | Licensed Representative - Responsible Officer | 4, 9 |
| FUNG Geoffrey | ALO578 | Licensed Representative - Responsible Officer | 1 |
| GOLDMAN Paul Clarke | AUM804 | Licensed Representative - Responsible Officer | 3 |
| HAU Wai Yin, Winnie | AAO493 | Licensed Representative - Responsible Officer | 1, 4, 6, 9 |
| HEE John Alexander | ARF268 | Licensed Representative - Responsible Officer | 1, 2 |
| HSU Chih-Wen | ARE818 | Licensed Representative - Responsible Officer | 1, 2, 3 |
| HUI Tin Kay | AFS483 | Licensed Representative - Responsible Officer | 1 |
| KANG Melissa Su Yi | ARN456 | Licensed Representative - Responsible Officer | 4 |
| KWON Young Bum | AGO217 | Licensed Representative - Responsible Officer | 1, 4, 6 |
| LAM Fan Keung, Franklin | ABG110 | Licensed Representative - Responsible Officer | 4, 9 |
| LEE Ching Cheong | AFU881 | Licensed Representative - Responsible Officer | 1, 4, 5, 9 |
| LEE Seng Chow | ADK172 | Licensed Representative - Responsible Officer | 4, 9 |

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| CE Name | CE No. | License Type | Types of Regulated Activity |
|-------------------------------------|---------------|--|------------------------------------|
| ONG Chi King | AGD020 | Licensed Representative - Responsible Officer | 1 |
| ONO Naomi | AFM591 | Licensed Representative - Responsible Officer | 1 |
| RIDDER HUYSSSEN VAN KATTENDIJE Hugo | AOB207 | Licensed Representative - Responsible Officer | 9 |
| ROBSON Benjamin James | AL0008 | Licensed Representative - Responsible Officer | 3 |
| SCOTT Nicholas Peter | AFX190 | Licensed Representative - Responsible Officer | 1, 4, 9 |
| STEPHENS John William | AFT822 | Licensed Representative - Responsible Officer | 4 |
| THIO George Patrick | APD705 | Licensed Representative - Responsible Officer | 1 |
| TSANG Yuk Lung | ADW918 | Licensed Representative - Responsible Officer | 9 |
| VILLAIT Anoopkumar Sadh | ATL471 | Licensed Representative - Responsible Officer | 4, 9 |
| VOON David Hian-Fook | ADT742 | Licensed Representative - Responsible Officer | 1, 2, 4, 4, 5, 9 |
| WON Yong Min | AUI376 | Licensed Representative - Responsible Officer | 1, 4 |
| WU Chi Keung, Walter | AAZ514 | Licensed Representative - Responsible Officer | 4, 5, 9 |
| XIE Kuixing | AMI568 | Licensed Representative - Responsible Officer | 1, 4, 9 |
| YANKSON Sidney | AJE147 | Licensed Representative - Responsible Officer | 4 |
| CHOI Jae Won | AOD815 | Licensed Representative - Responsible Officer (Provisi | 9 |
| ABBASI Fareesa Habeeb | AYR569 | Licensed Representative (Provisional Licence) | 1 |
| AGUIRRE Ramon Jose Escalona | AYL130 | Licensed Representative (Provisional Licence) | 4 |
| AKERS William Cann | AYS521 | Licensed Representative (Provisional Licence) | 1, 2 |
| ALFONSO PEREZ Gerardo | AYQ576 | Licensed Representative (Provisional Licence) | 1 |
| BAO Weiwei | AYS974 | Licensed Representative (Provisional Licence) | 1, 6 |
| BROWN Kenneth Allan Lindsay | AYP346 | Licensed Representative (Provisional Licence) | 1, 4, 6 |
| CAO Hong Wei | AHJ150 | Licensed Representative (Provisional Licence) | 4 |
| CARNOW Jacob Elliot | AQE405 | Licensed Representative (Provisional Licence) | 9 |
| CHAN Andrew | AYO363 | Licensed Representative (Provisional Licence) | 1, 2 |
| CHAN Chun | AYQ167 | Licensed Representative (Provisional Licence) | 1, 2 |
| CHAN Flora Wing Shuen | AYQ287 | Licensed Representative (Provisional Licence) | 1 |
| CHAN Ka Chun, Pen | AYR197 | Licensed Representative (Provisional Licence) | 1, 4 |
| CHAN Nga Yee, Fiona | ADZ146 | Licensed Representative (Provisional Licence) | 1, 4 |
| CHAN Shiu Tak, Sheldon | AYM129 | Licensed Representative (Provisional Licence) | 4, 9 |
| CHAN Shue Tong | AYS422 | Licensed Representative (Provisional Licence) | 1, 4 |
| CHAN Suet Wing | AYQ770 | Licensed Representative (Provisional Licence) | 1 |
| CHAN Tam Leung | AYQ568 | Licensed Representative (Provisional Licence) | 1 |
| CHAN Wing Hong | AYT031 | Licensed Representative (Provisional Licence) | 1, 6 |
| CHAN Yiu Chung | AYJ921 | Licensed Representative (Provisional Licence) | 1, 2 |
| CHANG Chia-Shan | AOB716 | Licensed Representative (Provisional Licence) | 1, 2, 7 |
| CHANG Yi Ping | AYQ008 | Licensed Representative (Provisional Licence) | 1, 4 |
| CHAU Kong San | AYR628 | Licensed Representative (Provisional Licence) | 1 |
| CHAU Lap Pan | AYS552 | Licensed Representative (Provisional Licence) | 1, 2 |
| CHEN Jiehan | AYS572 | Licensed Representative (Provisional Licence) | 2 |
| CHEN Kan Yin | AYR483 | Licensed Representative (Provisional Licence) | 1, 6 |
| CHENG Lung Fung | AYQ281 | Licensed Representative (Provisional Licence) | 1 |
| CHENG Tak Him, Terence | AYR568 | Licensed Representative (Provisional Licence) | 1, 4, 6 |
| CHEUNG Chi Long | AYS651 | Licensed Representative (Provisional Licence) | 1, 6 |
| CHEUNG Hei Man | AYR706 | Licensed Representative (Provisional Licence) | 1 |
| CHEUNG Natasha | ALS530 | Licensed Representative (Provisional Licence) | 1 |
| CHEUNG Yee Ching | AYP118 | Licensed Representative (Provisional Licence) | 1, 2 |
| CHIM Ka Wai | AYR707 | Licensed Representative (Provisional Licence) | 1 |
| CHIU Chi Man | ABW341 | Licensed Representative (Provisional Licence) | 1, 2 |
| CHIU Lap Kei | AYP123 | Licensed Representative (Provisional Licence) | 1, 2 |
| CHOI Won Suk | AYP113 | Licensed Representative (Provisional Licence) | 4 |
| CHOW Ho Ting Rene | AYR200 | Licensed Representative (Provisional Licence) | 2 |
| CHOW Kit Man | AYP322 | Licensed Representative (Provisional Licence) | 1 |
| CHOW Kwong Tai | ATT745 | Licensed Representative (Provisional Licence) | 1 |
| DAI Qiang | AVQ949 | Licensed Representative (Provisional Licence) | 4, 6 |
| DAI Qiu Yang | AYO831 | Licensed Representative (Provisional Licence) | 1, 7 |
| DE MATTOS BERTAO Eduardo | AYA543 | Licensed Representative (Provisional Licence) | 1, 4, 9 |
| DHARIA Akash | AYO672 | Licensed Representative (Provisional Licence) | 1, 2 |
| FAN Chi Yuen, Charles | AYQ546 | Licensed Representative (Provisional Licence) | 6 |
| FENG Lingtian | AYQ548 | Licensed Representative (Provisional Licence) | 4 |
| FONG Yue Yeng | AYI656 | Licensed Representative (Provisional Licence) | 1, 4 |
| FROMMER Maya Elizabeth | AYS877 | Licensed Representative (Provisional Licence) | 1, 2 |

REMOVALS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2012

| CE Name | CE No. | License Type | Types of Regulated Activity |
|------------------------------------|---------------|---|------------------------------------|
| GANDHI Shweta | AYQ284 | Licensed Representative (Provisional Licence) | 4 |
| GIANELLA Sandro | AYQ410 | Licensed Representative (Provisional Licence) | 1, 4 |
| GONG Tiancheng | AYO608 | Licensed Representative (Provisional Licence) | 4 |
| GUINNESS Stuart Wesley Grattan | ARG897 | Licensed Representative (Provisional Licence) | 1, 4 |
| GUPTA Varun | AXM322 | Licensed Representative (Provisional Licence) | 1, 4 |
| HAN Jennifer Koun | AMY266 | Licensed Representative (Provisional Licence) | 4 |
| HAN Xiao | AYA773 | Licensed Representative (Provisional Licence) | 1, 2 |
| HAN Zhiming | AYR367 | Licensed Representative (Provisional Licence) | 1 |
| HARADA Akiko | AOO818 | Licensed Representative (Provisional Licence) | 1, 2 |
| HE Yao | AYR359 | Licensed Representative (Provisional Licence) | 1, 6 |
| HENDERSON Alexander Bernard | AYS958 | Licensed Representative (Provisional Licence) | 3 |
| HO Kok Hoong | ARI521 | Licensed Representative (Provisional Licence) | 9 |
| HO Siu Ting, Stenning | AYO989 | Licensed Representative (Provisional Licence) | 4 |
| HO Sue | AYQ556 | Licensed Representative (Provisional Licence) | 4 |
| HO Yuk Fai | AYR480 | Licensed Representative (Provisional Licence) | 1, 2 |
| HOANG Wei Jyun | AEN584 | Licensed Representative (Provisional Licence) | 1, 2 |
| HONG Jiabei | AYK703 | Licensed Representative (Provisional Licence) | 4, 9 |
| HONG Sunyoung | AYD399 | Licensed Representative (Provisional Licence) | 4 |
| HSIAO Tung-Jen | AYQ115 | Licensed Representative (Provisional Licence) | 1 |
| HUI Tsz Lap | AYS786 | Licensed Representative (Provisional Licence) | 1, 6 |
| HUNG Chi-Tang | AYQ579 | Licensed Representative (Provisional Licence) | 1 |
| HUSSON Nicolas Remy Philippe Marie | AYO972 | Licensed Representative (Provisional Licence) | 6 |
| ILAGAN Patricia Victoria Gatmaitan | AYM076 | Licensed Representative (Provisional Licence) | 4 |
| ISON Daniel Lee | AYM118 | Licensed Representative (Provisional Licence) | 1 |
| ITO Ikuo | AYN529 | Licensed Representative (Provisional Licence) | 1, 4, 6 |
| JUSTH Mark Brian | AXW589 | Licensed Representative (Provisional Licence) | 1, 2, 4, 5 |
| KAM Chor Wang | AYS173 | Licensed Representative (Provisional Licence) | 1, 6 |
| KAMETANI Noriko | AYQ018 | Licensed Representative (Provisional Licence) | 1 |
| KAO Chiao Leung, Stanley | ADD612 | Licensed Representative (Provisional Licence) | 1 |
| KHALIL Lionel Jean | AYR069 | Licensed Representative (Provisional Licence) | 1, 2, 7 |
| KHAN Mohammad Asif Atahar | AYH605 | Licensed Representative (Provisional Licence) | 4, 9 |
| KIM Joseph | AYR243 | Licensed Representative (Provisional Licence) | 1, 4, 9 |
| KO King Tung | AYP093 | Licensed Representative (Provisional Licence) | 1 |
| KOO Bon Seuk | AMY265 | Licensed Representative (Provisional Licence) | 1, 6 |
| KOO Yat Hong | AYM836 | Licensed Representative (Provisional Licence) | 1 |
| KOTECHA Anuj Ashok | AXS269 | Licensed Representative (Provisional Licence) | 1, 7 |
| KUIK Xiao-shi | AYO671 | Licensed Representative (Provisional Licence) | 4 |
| KWOK Ka Ho | AYK528 | Licensed Representative (Provisional Licence) | 1, 2 |
| KWON Ji Eun | AYR570 | Licensed Representative (Provisional Licence) | 1, 4 |
| KWONG Hiu Fung Sunny | AYQ559 | Licensed Representative (Provisional Licence) | 1, 2 |
| LAI Rongye | AYR571 | Licensed Representative (Provisional Licence) | 1, 2, 7 |
| LAI Wing Suet | ATY357 | Licensed Representative (Provisional Licence) | 1 |
| LAM Cedric Yee Ip | ANG296 | Licensed Representative (Provisional Licence) | 1, 6 |
| LAM Ka Wai | AYR643 | Licensed Representative (Provisional Licence) | 1 |
| LAM Yin | AYO392 | Licensed Representative (Provisional Licence) | 6 |
| LAU Hang, Henry | AWJ860 | Licensed Representative (Provisional Licence) | 1, 6 |
| LAU Vin Tone, Victoria | AYR582 | Licensed Representative (Provisional Licence) | 1, 4, 9 |
| LEE Kam Wing, Bruno | ABM471 | Licensed Representative (Provisional Licence) | 1, 4, 9 |
| LEE Seunghwan | AYA209 | Licensed Representative (Provisional Licence) | 1, 4 |
| LEE Sok Hee | AYR195 | Licensed Representative (Provisional Licence) | 4 |
| LEE Sung Chi Chester | AYS343 | Licensed Representative (Provisional Licence) | 1 |
| LEE Vivian Yee Man | AYC180 | Licensed Representative (Provisional Licence) | 1 |
| LEUNG Kin Yau, Simon | AYT028 | Licensed Representative (Provisional Licence) | 1, 6 |
| LEUNG King Yin | AYQ560 | Licensed Representative (Provisional Licence) | 1 |
| LEUNG Tze Ying Gwen | AYQ010 | Licensed Representative (Provisional Licence) | 6 |
| LEUNG Wing Cheung, William | ALI608 | Licensed Representative (Provisional Licence) | 1, 4, 9 |
| LEUNG Yuk Sim | AFH042 | Licensed Representative (Provisional Licence) | 1, 6 |
| LI Cheong Faat | AYO609 | Licensed Representative (Provisional Licence) | 1, 2 |
| LI Wei-Ting | AYN271 | Licensed Representative (Provisional Licence) | 1 |
| LI Xin Hui | AYP978 | Licensed Representative (Provisional Licence) | 4, 6, 9 |
| LIM Sungil | AYJ695 | Licensed Representative (Provisional Licence) | 4, 9 |

REMOVALS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2012

| CE Name | CE No. | License Type | Types of Regulated Activity |
|-------------------------------------|---------------|---|------------------------------------|
| LIN Chi Jen | AYO038 | Licensed Representative (Provisional Licence) | 1 |
| LIN Pin-chun | AYO395 | Licensed Representative (Provisional Licence) | 1, 6 |
| LIN Xujia | AYS531 | Licensed Representative (Provisional Licence) | 1, 4 |
| LO Eric Yat Chun | AYO984 | Licensed Representative (Provisional Licence) | 1 |
| LOU Jia | AYN600 | Licensed Representative (Provisional Licence) | 4, 9 |
| LU Yang | AYJ411 | Licensed Representative (Provisional Licence) | 1 |
| LUI Chun Wai, Stefan | AYP090 | Licensed Representative (Provisional Licence) | 1 |
| LUK Sui Fung | AYI630 | Licensed Representative (Provisional Licence) | 1 |
| LUNIA Varun | AYR744 | Licensed Representative (Provisional Licence) | 1, 2 |
| LUO Ning Ning, Linda | AHD909 | Licensed Representative (Provisional Licence) | 9 |
| MA Andrea | AYQ422 | Licensed Representative (Provisional Licence) | 1, 4 |
| MA Wang Chiu | ACY923 | Licensed Representative (Provisional Licence) | 1, 2 |
| MAK Ho Yan, Aster | AXP475 | Licensed Representative (Provisional Licence) | 1, 4 |
| MAU Jason Ka Hang | AUK137 | Licensed Representative (Provisional Licence) | 1 |
| MC GRATH Danielle Marie | AYO990 | Licensed Representative (Provisional Licence) | 1, 4, 9 |
| MCDERMOTT Jayne Anne | AYR307 | Licensed Representative (Provisional Licence) | 1, 4 |
| MEHTA Harshad Satish | AYQ242 | Licensed Representative (Provisional Licence) | 1 |
| MINTZ Nathan Keith | AQT165 | Licensed Representative (Provisional Licence) | 1, 4 |
| MISPAGEL Patrick Cronin | AYS640 | Licensed Representative (Provisional Licence) | 10 |
| MONTGOMERY William Donovan | AYQ540 | Licensed Representative (Provisional Licence) | 9 |
| MOREIRA Nicholas Hubert | ADT374 | Licensed Representative (Provisional Licence) | 1, 2, 4, 5 |
| NG Ka Kin | AYI058 | Licensed Representative (Provisional Licence) | 4, 9 |
| NG Pak Yu | ARM512 | Licensed Representative (Provisional Licence) | 1 |
| NG Wang Chim | ASL840 | Licensed Representative (Provisional Licence) | 1 |
| NILES Jane Corinne Eleanor | AYT032 | Licensed Representative (Provisional Licence) | 1, 6 |
| NISSEN Edward Francis James | AYQ017 | Licensed Representative (Provisional Licence) | 1 |
| NU Da | AYQ244 | Licensed Representative (Provisional Licence) | 1, 4, 6 |
| OH Geeseok | AXZ900 | Licensed Representative (Provisional Licence) | 1, 4, 9 |
| OH See Won | AYQ633 | Licensed Representative (Provisional Licence) | 10 |
| OH Seung Min | AYR387 | Licensed Representative (Provisional Licence) | 1, 4 |
| PAN Danmeng | AYS401 | Licensed Representative (Provisional Licence) | 1, 6 |
| PANG Man Cheong | AYS458 | Licensed Representative (Provisional Licence) | 1, 6 |
| PARK Hee Young | AXV663 | Licensed Representative (Provisional Licence) | 1, 4, 9 |
| PARK Hoon Ju | AYR070 | Licensed Representative (Provisional Licence) | 1 |
| PARK Ji Hye | AYH848 | Licensed Representative (Provisional Licence) | 1 |
| PATIL Girish Shivaji | AYO673 | Licensed Representative (Provisional Licence) | 1, 2 |
| PATTERSON Brooke Ainsley | ANL933 | Licensed Representative (Provisional Licence) | 1, 4, 9 |
| POON Kwai Kwong | AYO538 | Licensed Representative (Provisional Licence) | 1, 2 |
| RENNIE Andrew Kenneth | AYR079 | Licensed Representative (Provisional Licence) | 1, 2, 4 |
| RICHARDS Andrew Brynmor | AYQ561 | Licensed Representative (Provisional Licence) | 1, 6 |
| ROCHE Thomas Damian | AVD836 | Licensed Representative (Provisional Licence) | 1, 2, 4, 5 |
| ROUMIER Brune Soline Marie Lorraine | AYR169 | Licensed Representative (Provisional Licence) | 1 |
| RUANGTHAVEEKOON Apinya | AYD207 | Licensed Representative (Provisional Licence) | 4, 9 |
| RUMMUN Roshan | AMO987 | Licensed Representative (Provisional Licence) | 9 |
| RUSSELL Jon William | AYQ841 | Licensed Representative (Provisional Licence) | 1, 2 |
| SEETO Dereke Charles Wing On | AYO959 | Licensed Representative (Provisional Licence) | 1, 2, 7 |
| SHAH Mrunal Hareshkumar | AYQ435 | Licensed Representative (Provisional Licence) | 1 |
| SHANG Pei Chun | AOM976 | Licensed Representative (Provisional Licence) | 1, 9 |
| SHARMA Saurabh | AYO986 | Licensed Representative (Provisional Licence) | 1, 2 |
| SHEN Blake C | AYQ549 | Licensed Representative (Provisional Licence) | 1 |
| SHEN Jun | AYP961 | Licensed Representative (Provisional Licence) | 4, 9 |
| SIN Cheuk Kin Jeremy | AYR213 | Licensed Representative (Provisional Licence) | 6 |
| SINGHAL Archit | AYQ283 | Licensed Representative (Provisional Licence) | 4 |
| SIT Man Kin | AYS829 | Licensed Representative (Provisional Licence) | 1, 4 |
| SKILTON Edwin | AYM696 | Licensed Representative (Provisional Licence) | 4, 6 |
| SO Ching Yim | AYR745 | Licensed Representative (Provisional Licence) | 9 |
| SO Chiu | AYO973 | Licensed Representative (Provisional Licence) | 6 |
| SONG Kyung A | AYS026 | Licensed Representative (Provisional Licence) | 4 |
| SU Keng-Hsien | AYN142 | Licensed Representative (Provisional Licence) | 4, 9 |
| SUMNERS Mary Sophia | AYQ118 | Licensed Representative (Provisional Licence) | 1, 4 |
| SUN Yu | AWS600 | Licensed Representative (Provisional Licence) | 6 |

REMOVALS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2012

| CE Name | CE No. | License Type | Types of Regulated Activity |
|--|---------------|---|------------------------------------|
| SUN Yung-Lun | AYN343 | Licensed Representative (Provisional Licence) | 1 |
| SUREKA Amit | AYR258 | Licensed Representative (Provisional Licence) | 1 |
| SZE Hung Kit Thomas | AYQ839 | Licensed Representative (Provisional Licence) | 1, 4 |
| SZE Man Tai, Alan | AYR531 | Licensed Representative (Provisional Licence) | 1, 4, 6 |
| TABATABAI SHARGHY Shervin | AYQ014 | Licensed Representative (Provisional Licence) | 1, 6 |
| TAKEDA Masakazu | AYS022 | Licensed Representative (Provisional Licence) | 4, 9 |
| TAM Shuk Fong | AYS032 | Licensed Representative (Provisional Licence) | 1, 2 |
| TAN Chi Yu | AYQ538 | Licensed Representative (Provisional Licence) | 1, 7 |
| TANG King Hung | AYQ575 | Licensed Representative (Provisional Licence) | 10 |
| TANG Zhan | AYS459 | Licensed Representative (Provisional Licence) | 1 |
| TING Ngai | AHV456 | Licensed Representative (Provisional Licence) | 1, 2 |
| TSAI Cheng-yu | AYQ016 | Licensed Representative (Provisional Licence) | 1, 9 |
| TSANG Po Wing Ronna | AXR035 | Licensed Representative (Provisional Licence) | 1 |
| TSE Chung Yan | AMY528 | Licensed Representative (Provisional Licence) | 1 |
| VAN DER VEN Jeroen Willibrord Erlend | AWC090 | Licensed Representative (Provisional Licence) | 1, 2 |
| VANDERKOLK Mark David | AYN677 | Licensed Representative (Provisional Licence) | 1 |
| WANG He-Shiuan | AYO875 | Licensed Representative (Provisional Licence) | 1 |
| WANG Taie | AYQ701 | Licensed Representative (Provisional Licence) | 4, 5, 9 |
| WANG Wei | AYQ019 | Licensed Representative (Provisional Licence) | 6 |
| WANG Xiaochen | AYO381 | Licensed Representative (Provisional Licence) | 6 |
| WANG Xiaojun | ADN383 | Licensed Representative (Provisional Licence) | 4, 9 |
| WAT Jonathan | AYQ256 | Licensed Representative (Provisional Licence) | 1, 2 |
| WONG Ching Yin | AYQ251 | Licensed Representative (Provisional Licence) | 1 |
| WONG Ho Chau | AYQ444 | Licensed Representative (Provisional Licence) | 9 |
| WONG Ho Yan | AYQ022 | Licensed Representative (Provisional Licence) | 1, 4 |
| WONG Ho Yin, Dixon | AYQ430 | Licensed Representative (Provisional Licence) | 4, 9 |
| WONG Ka Lap | ACR445 | Licensed Representative (Provisional Licence) | 1, 2 |
| WONG Maan Ki | AYN074 | Licensed Representative (Provisional Licence) | 2 |
| WONG Pik Shan | AYQ357 | Licensed Representative (Provisional Licence) | 1 |
| WONG Teck Chit, Alfred | AWF438 | Licensed Representative (Provisional Licence) | 4, 9 |
| WONG Yu Yin | AGI949 | Licensed Representative (Provisional Licence) | 1 |
| WU Min | AYS392 | Licensed Representative (Provisional Licence) | 1, 2 |
| WU Tsz Yin | AYS530 | Licensed Representative (Provisional Licence) | 1 |
| XING Cheng | AYP114 | Licensed Representative (Provisional Licence) | 4 |
| XU Feng | AYO610 | Licensed Representative (Provisional Licence) | 1, 2 |
| XU Ping | ARQ788 | Licensed Representative (Provisional Licence) | 1, 4, 6 |
| XU Xin | AYQ382 | Licensed Representative (Provisional Licence) | 1 |
| XUN Hongjun | AYQ405 | Licensed Representative (Provisional Licence) | 1, 2 |
| YAM Yin Chi | AYQ904 | Licensed Representative (Provisional Licence) | 1, 4 |
| YAMAGAMI Shinichiro | AYG572 | Licensed Representative (Provisional Licence) | 1 |
| YAU Chung Yan, Pamela | AYQ326 | Licensed Representative (Provisional Licence) | 1, 2, 4 |
| YAU Siu Fung | AYR255 | Licensed Representative (Provisional Licence) | 1, 4 |
| YEH Mei Fong | AYO966 | Licensed Representative (Provisional Licence) | 6 |
| YEUNG Lawrence King Wai | AYP972 | Licensed Representative (Provisional Licence) | 1, 4 |
| YEUNG Man Kit | AYP121 | Licensed Representative (Provisional Licence) | 1, 2 |
| YEUNG Niki Ning Ki | ATD246 | Licensed Representative (Provisional Licence) | 4 |
| YEUNG Wai Kin | AMF681 | Licensed Representative (Provisional Licence) | 2 |
| YIP Yuk Fai | AYP099 | Licensed Representative (Provisional Licence) | 1, 2 |
| YIU Yik Sze Rosita | AYR982 | Licensed Representative (Provisional Licence) | 1 |
| YUN Wai Keung | APB622 | Licensed Representative (Provisional Licence) | 1, 6 |
| ZHANG Jianwen | AOR293 | Licensed Representative (Provisional Licence) | 4, 9 |
| ZHANG Jun | AYQ322 | Licensed Representative (Provisional Licence) | 1, 2 |
| ZHANG Shuqiang | AYQ145 | Licensed Representative (Provisional Licence) | 1, 2 |
| BAYVEL Kirk Forrest | ATH621 | Licensed Representative (Temporary Licence) | 1, 2 |
| CAMARDA JR Joseph Andrew | AXN289 | Licensed Representative (Temporary Licence) | 1 |
| CHEN Yen-hsia | AYU284 | Licensed Representative (Temporary Licence) | 1 |
| FRANCIS Kayoko | AON817 | Licensed Representative (Temporary Licence) | 1 |
| KIM Taehong | AYF430 | Licensed Representative (Temporary Licence) | 1, 6 |
| LEE Jung Hyun | AYI950 | Licensed Representative (Temporary Licence) | 1, 6 |
| MARESCHAL DE CHARENTENAY Ghislain, Baptiste, Marie | AXW260 | Licensed Representative (Temporary Licence) | 4 |
| MASUNO Daisaku | APD236 | Licensed Representative (Temporary Licence) | 4 |

| REMOVALS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2012 | | | |
|---|--------|---|-----------------------------|
| CE Name | CE No. | Licence Type | Types of Regulated Activity |
| SAITO Katsushi | ATW220 | Licensed Representative (Temporary Licence) | 4 |
| TANG Chick Chee, George | AYQ518 | Licensed Representative (Temporary Licence) | 1 |
| TEY Boon How | AYI639 | Licensed Representative (Temporary Licence) | 1 |
| WONG Kok Meng Adrian | AYG617 | Licensed Representative (Temporary Licence) | 2, 5 |
| WRIGHT Peter John | ATI423 | Licensed Representative (Temporary Licence) | 1 |