

**VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 08/2009**

CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
Cheong Lee Securities Limited	AMI414	Licensed Corporation	2, 5	
Convoy Asset Management Limited	AFQ784	Licensed Corporation	9	
First Securities (HK) Limited	AAA347	Licensed Corporation	9	
Indus Capital Advisors (Hong Kong) Limited	AFC560	Licensed Corporation	9	
ADACHI Mimiko	AMB073	Licensed Representative	2	
AU Yip Hang	AHM630	Licensed Representative	1	6
BOOKER Willie	AGM990	Licensed Representative		5
BROWNING John Leonard	AQF043	Licensed Representative		7
BURNS Darren Anthony	ADB426	Licensed Representative		7
CHAK Man Kin	ARR345	Licensed Representative	2	
CHAN Calvin Wai Chun	AME438	Licensed Representative	9	
CHAN Chak Sum	ALO496	Licensed Representative	1	4
CHAN Cheung Kam	ASZ085	Licensed Representative	2	
CHAN Cheung Wo	ADX475	Licensed Representative	4	
CHAN Ching Fan, Oscar	AJJ806	Licensed Representative	1	
CHAN Ching Han	AMQ480	Licensed Representative	1	
CHAN Chun Man	AGJ907	Licensed Representative		9
CHAN Chung Shing	AAZ019	Licensed Representative		1, 7
CHAN Hiang Wei, Elgin	AOV932	Licensed Representative		7
CHAN Hoi Yee	ANJ481	Licensed Representative	9	
CHAN Kar Wah	ADS842	Licensed Representative	2	
CHAN Kevin Felix	ARH113	Licensed Representative	9	1
CHAN Kit	AEX969	Licensed Representative	1	
CHAN Kwok King, Kingsley	AFV361	Licensed Representative	9	
CHAN Man Chung	AFB233	Licensed Representative	9	
CHAN Natalie Wei Ting	AMN706	Licensed Representative	2, 7	
CHAN Tak Shing	AMU243	Licensed Representative		2
CHAN Tik Man, Desmond	ARK324	Licensed Representative		7
CHAN Yin Yin	AME419	Licensed Representative	1	
CHAN Yuen Chi, Greta	ASX471	Licensed Representative	2	
CHAN Yuk Lun, Alan	ACQ051	Licensed Representative		7
CHANG Ching-Kun	ALJ991	Licensed Representative	4	1
CHAPPEL Christopher Lee	ALI728	Licensed Representative		7
CHAU Wallace Cheuk Lam	AOQ896	Licensed Representative	9	
CHEAH Kwong-Weng	AOL107	Licensed Representative		7
CHEN Chien Chih	AKX325	Licensed Representative		4
CHEN Hao	ATB830	Licensed Representative	4	
CHEN Jui-huan	AJO554	Licensed Representative	4	2
CHENG Chuange	AKV311	Licensed Representative	6	
CHEUK Ho Yeung Gerald	AGR972	Licensed Representative	9	
CHEUK Kai Hung	AMO662	Licensed Representative	1	
CHEUNG Chun Ho	ARF588	Licensed Representative	2	
CHEUNG Keung Tak	ANU725	Licensed Representative	2	

**VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 08/2009**

<b>CE Name</b>	<b>CE No.</b>	<b>Licence Type</b>	<b>Types of Regulated Activity Added</b>	<b>Types of Regulated Activity Removed</b>
CHEUNG Koon Nam	APW340	Licensed Representative		7
CHEUNG Kwok Wing, Barry	ABM132	Licensed Representative		2
CHEUNG Man Keung	AAK112	Licensed Representative	2	
CHEUNG Pak Kin, Patrick	AEF320	Licensed Representative		3
CHEUNG Sang	AMP331	Licensed Representative		1, 2
CHEUNG Wai Man	ARJ162	Licensed Representative	1	4
CHEW Siang Yong	AMY782	Licensed Representative		7
CHI Hai	ARM214	Licensed Representative	9	
CHIU Ka Man, Christine	ARV873	Licensed Representative	3	1, 4
CHIU Kin Shing	AGU955	Licensed Representative	2	
CHNG Stephanie Pei Pei	AMY781	Licensed Representative		7
CHO Jung Hyung	APA430	Licensed Representative	9	1, 2
CHOI Wai Lam, Roni	AMN884	Licensed Representative	1	
CHONG Shu Tat	AOC981	Licensed Representative	1	4
CHOU Hsuan-Chin	ABY862	Licensed Representative	9	
CHOW Shu Kay	AAD203	Licensed Representative	2	
CHOW Ting Fai, Stephen Benny	ANE749	Licensed Representative		1, 2, 5, 9
CHOW Wing Chun	AOJ005	Licensed Representative		7
CHU Chun Yi	ARM915	Licensed Representative	2	
CHU Ian Kit, Frederick	ARW934	Licensed Representative		7
CHU Wai Yee	AML435	Licensed Representative	1	
CHUI Siu Ching	ARJ209	Licensed Representative		7
CHUNG Ka Ming	ARG943	Licensed Representative		9
CHUNG Kam Lung, Steven	ALW760	Licensed Representative	1	
CHUNG Leung Wang	APB388	Licensed Representative	2	
CHUNG Wing Kin	ATE069	Licensed Representative	2	
CORNER Andrew Mark Gordon	AOK590	Licensed Representative		7
CROMMEN Gregory	APY879	Licensed Representative		7
CUI Ying	ARO747	Licensed Representative	9	
DALEY Kirby Scott	ANP702	Licensed Representative		7
DUFFIELD John Michael Leslie	AIP443	Licensed Representative		7
DUNLOP Andrew Douglas	ARE094	Licensed Representative		7
FANG Pei Wei	AGB884	Licensed Representative		2
FENG Jing	APZ397	Licensed Representative		7
FOONG Hock Meng	AFN358	Licensed Representative	9	
FORD John Michael Frederic	AJE749	Licensed Representative	5	
FU Ngam	AQK963	Licensed Representative	4	9
FU Shelly	ASF423	Licensed Representative	2	
FUNG Ching Wing	ABT477	Licensed Representative		7
FYFE William James	AFW138	Licensed Representative		1, 7
GAO Yu	AGK819	Licensed Representative	9	
GILBERT Michael John	AQC904	Licensed Representative		7
GOODALL Jarrod James	ARR969	Licensed Representative	2	

**VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 08/2009**

<b>CE Name</b>	<b>CE No.</b>	<b>Licence Type</b>	<b>Types of Regulated Activity Added</b>	<b>Types of Regulated Activity Removed</b>
GUO Dan	AQA464	Licensed Representative	2	
HAN Charles June	AEK327	Licensed Representative		7
HAR Chun Kit, Johnson	ARM685	Licensed Representative		7
HAWKYARD Andrew Scobie	AEU225	Licensed Representative	9	
HEGGLIN Daniel Robert	ALB975	Licensed Representative	9	1, 2, 5, 7
HENG Mui Gek	ANM460	Licensed Representative		7
HO Hin Ting, Ronnie	ANP935	Licensed Representative	9	1
HO Ho Cheong	AQJ843	Licensed Representative		2, 9
HO Miu	APJ592	Licensed Representative		7
HO Steven	ARB640	Licensed Representative	2	
HO Ting Kit	ALW988	Licensed Representative	2	
HOBBIS Matthew Charles	AOK591	Licensed Representative		7
HOLIDAY Edward Richard	ALI600	Licensed Representative	2	
HON Ching Ling, Elkie	ACY377	Licensed Representative		4, 9
HSIA Ching	APQ811	Licensed Representative	4	
HUANG Eddy	AIR924	Licensed Representative	9	
HUANG Songyuan	ALT875	Licensed Representative	1	
HUI Ka Kit	ATE859	Licensed Representative	2, 9	
HUI Wai Man	AIU457	Licensed Representative		1
HUNG Lap Tung	ANB792	Licensed Representative		3
IEONG Ut Hong	APC632	Licensed Representative	6, 9	
IP Heung Wing Barry	ALU866	Licensed Representative		7
IP Ming Kin	AKT999	Licensed Representative	1	
IP Sau Chun, Lisa	ARM732	Licensed Representative		7
JANJUSEVIC Miodrag	ALZ310	Licensed Representative		1, 2
JIM Long Lam, Jacky	ALZ431	Licensed Representative	1	
JOLLY Colin Philip	AOO857	Licensed Representative		7
KAO Yi-Yi	ANG417	Licensed Representative	9	
KHAIMSON Evgeni	ARP463	Licensed Representative		7
KO Philip	ABS536	Licensed Representative		7
KO Shan Yin	AFF137	Licensed Representative		7
KODA Ritsubun	AGE030	Licensed Representative	2	
KWAN Chi Yan, Lawrence	AQC409	Licensed Representative		7
KWOK Edwin Wing Shun	AQJ322	Licensed Representative	1, 4	9
KWOK Kan Bor	ARN617	Licensed Representative	2	
KWOK Wai Chu, Cindy	AGE351	Licensed Representative		1
KWOK Wing Ho, Felix	ADQ206	Licensed Representative	6	
LAI Chung Cheong	ADZ903	Licensed Representative		7
LAI Ka Yan, Andrea	AMA243	Licensed Representative	2	
LAI Kai Tsun, Johnson	ARG205	Licensed Representative	7	
LAI Kam Nam, Siemen	AAD716	Licensed Representative	2	
LAI Yu Hin, Andrew	AMH411	Licensed Representative	1	
LAM Kin San	ARE719	Licensed Representative		1

**VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 08/2009**

<b>CE Name</b>	<b>CE No.</b>	<b>Licence Type</b>	<b>Types of Regulated Activity Added</b>	<b>Types of Regulated Activity Removed</b>
LAM Pui Sze	APF063	Licensed Representative	1	
LANSON Marc Clement	AOH368	Licensed Representative		7
LAU Chi Wai, Fred	AAA314	Licensed Representative		7
LAU Fung Ngor, Swan	ARQ530	Licensed Representative	4	
LAU Ho Yan	ARG595	Licensed Representative	1	
LAU Pui Man, Kenneth	AEE758	Licensed Representative	1	
LAU Tim Fai, Timothy	AAC861	Licensed Representative	2	
LAU Yeuk Sze	AMP279	Licensed Representative	1	
LEE Chun Pong	ASL248	Licensed Representative	9	
LEE Kei Hung	ADH551	Licensed Representative		7
LEE Kwai Lin	ADB395	Licensed Representative	1	
LEE Lap Ki, Ricky	ALW691	Licensed Representative	1	
LEE Man Wai	AQR251	Licensed Representative		7
LEE Mei Ha, Ida	AIG166	Licensed Representative	1	
LEE Mei Yee	AKT431	Licensed Representative	1	
LEE Michael	ARP397	Licensed Representative		7
LEE Ting Tung, Graham	ANX993	Licensed Representative	3	
LEE Wai Keung, Ricky	ANJ142	Licensed Representative	1	
LEE Yat Chun	API186	Licensed Representative	1, 2	
LEE Yik Long	ARG942	Licensed Representative	7	
LEOW Chiun-Yi Jonathan	AOJ251	Licensed Representative	2	
LEUNG Chi Wai	AQV068	Licensed Representative		7
LEUNG Sheung	APJ302	Licensed Representative	1	
LEUNG Ting Yan	ADU124	Licensed Representative	2	
LEUNG Ying Kit	ANW427	Licensed Representative	3	
LEUNG Yiu Pong	AJH326	Licensed Representative	1	
LEUNG Yu Yan, Michelle	AQW045	Licensed Representative		7
LI Benjamin Man Fai	AQT293	Licensed Representative		1
LI Yuezhong	AMX710	Licensed Representative		4, 6
LIANG Yuan	AMH432	Licensed Representative	2	
LIN Shuk Yee	APD244	Licensed Representative		7
LIU Bing	APJ200	Licensed Representative		7
LO Chi Kin	ANG475	Licensed Representative		4
LO Ji-An	AMF309	Licensed Representative		9
LO Po Ping	ADA498	Licensed Representative	1	
LO Shuk Kwan, Alison	AOS013	Licensed Representative		9
LO Yu Fan, Alexander	AML595	Licensed Representative	1	
LOBO Alfredo Paulo	ACP300	Licensed Representative		4, 6
LOWE Won San, Jason	ASY271	Licensed Representative	2	
LU Jie	AQV758	Licensed Representative	4	6
LUI Ka Chun	ATB825	Licensed Representative	9	
LUI Kar Wong, Dennis	AFM600	Licensed Representative		2
LUK Yan, Stephen	AOZ106	Licensed Representative		7

**VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 08/2009**

<b>CE Name</b>	<b>CE No.</b>	<b>Licence Type</b>	<b>Types of Regulated Activity Added</b>	<b>Types of Regulated Activity Removed</b>
LUM Kwok Kay, Eugene	ARJ211	Licensed Representative		7
LUO Haiyan	AOS352	Licensed Representative		7
LUO Ning Ning, Linda	AHD909	Licensed Representative	9	
LUO Xia	ANQ008	Licensed Representative	1	4
MA Jing	ASZ375	Licensed Representative	4, 5	
MA Tor Fuk, Dick	AAH269	Licensed Representative	2	
MAC DONALD James Taroh	ANV042	Licensed Representative		7
MAK Chung Ming	ATC932	Licensed Representative	3	
MAK Sin Yue, Michael	AQC886	Licensed Representative	1, 6	4
MAN Kam Chiu	AAX339	Licensed Representative		7
MATWEJEV Gregory	AMM450	Licensed Representative		7
MILLER Ryan James	ARF537	Licensed Representative		7
MOK Sin Hing, Jennie	AMG922	Licensed Representative	2	
MOK Wing Yi	ARL063	Licensed Representative	4	
MUIR Rhett Stephen	AQX054	Licensed Representative		7
MURPHY Donough Thomas	AOX162	Licensed Representative		2, 4, 5
NEWSUM Justin Howard	AOE805	Licensed Representative		7
NG Chun Wai	AMF277	Licensed Representative	7	
NG Fan Ching	ASM302	Licensed Representative	1	
Ng Wai	ANI759	Licensed Representative	2	
NG Wai Kwong	ADJ383	Licensed Representative		7
NG Wai Leung, Anthony	AME574	Licensed Representative		7
NGAI Kit Ying, Alice	AOU843	Licensed Representative		7
NGAI Yuk Man	ALU523	Licensed Representative	2	
NGUYEN Raphael Jacques Tan Hoa	ALI755	Licensed Representative		7
NICOT Cynthia	APJ348	Licensed Representative		7
OKUYAMA Takeshi	ARO946	Licensed Representative	9	
OLIVER James Campbell	ARW738	Licensed Representative		7
ONG Ling Wei	ANN463	Licensed Representative	9	
OU Haijing	AJE160	Licensed Representative		4
PANG King Sau, Nelson	AQY764	Licensed Representative		7
PONG Man Tat	AMK434	Licensed Representative	2	
POON Ming Pui	AAF320	Licensed Representative		9
POON Pak Ho, Raymond	ACO263	Licensed Representative		4
PUI Jerry	ARO896	Licensed Representative	1	4
QIU Xiaowen	AOT974	Licensed Representative		7
REN Margaret Keying	ABT659	Licensed Representative		4
SANO Nobuhiro	ADQ334	Licensed Representative	4, 6	
SEBTI Karim	AQS402	Licensed Representative		7
SHAM Tat Hung, Samuel	AFA430	Licensed Representative	2	
SHANG Pei Chun	AOM976	Licensed Representative	9	
SHI Chenghu	AOG041	Licensed Representative		7
SHIU Peter Chung Tak	ASD839	Licensed Representative	1	

**VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 08/2009**

<b>CE Name</b>	<b>CE No.</b>	<b>Licence Type</b>	<b>Types of Regulated Activity Added</b>	<b>Types of Regulated Activity Removed</b>
SHUM Fei Fei	ALR570	Licensed Representative	1	9
SMITH Mark	APV538	Licensed Representative		4, 5
SO Chi King, Stephen	ACL650	Licensed Representative	9	
SO Hon Ming, Francis	AAB920	Licensed Representative	1	
SO Shing Hing, Nelson	ACH779	Licensed Representative		7
SODHA Vishal Pravin	APX201	Licensed Representative	7	
SOH Jinlong	AQU607	Licensed Representative		7
SON Howard Lincoln Dy	APS514	Licensed Representative		7
SOON Mang Yan, Sara	AFN865	Licensed Representative	1	
SUN Homer	AFT544	Licensed Representative	9	
SUN Tao	AOS285	Licensed Representative	9	
SUN Zheng	APG909	Licensed Representative	2	
SZE Yeuk Wan	AMX702	Licensed Representative	1	4
TAM Kwok Leung	AFT103	Licensed Representative	1	
TAN Chia-Tien	AHG708	Licensed Representative		6
TAN Dao Gyng	APH716	Licensed Representative		1
TAN Ka Choi, Jonathan	ATH815	Licensed Representative	2	
TAN Ming Fung, Eric	AJ346	Licensed Representative	2	
TANG Chi Fung	AMB096	Licensed Representative	1	
TANG Ping Sum	AEL276	Licensed Representative		4, 6, 9
TANG Siu Tong	AEM921	Licensed Representative		9
TANG Weng Wa	ALV095	Licensed Representative	1	
TANG Wing Shun, Vincent	AOJ003	Licensed Representative		7
TAYLOR James Stuart	AOX768	Licensed Representative		7
TAYLOR Suzanne Tracey	AOQ942	Licensed Representative		7
TENG Fredric Chien Hwa	AMU466	Licensed Representative		1, 2
TO Siu Hung, Freeman	AKQ507	Licensed Representative		4, 5
TSAI Alfred	ACC552	Licensed Representative	4	
TSANG Long	ARQ674	Licensed Representative		3, 4, 5
TSANG Man Yee , Iris	AKJ731	Licensed Representative	9	
TSANG Wing Yiu	AME242	Licensed Representative	2	
TSE Phoebe Yuen Ting	APH924	Licensed Representative		6
TSE Yat Kei	AOG833	Licensed Representative	1	
TSUI Chi Fung, Roger	AFT119	Licensed Representative		2
TSUI Kenny	AJD776	Licensed Representative	4, 9	1, 2
WAN Lai Sze	ALH837	Licensed Representative	4	
WANG Jiawei	APF036	Licensed Representative	4	1
WANG Xiaoting	ALU743	Licensed Representative	4	
WANG Yi	APH806	Licensed Representative	4	
WEN Lihua	APK238	Licensed Representative	2, 7	
WONG Chui Chi	AGQ113	Licensed Representative		9
WONG Ka Hong	AIH625	Licensed Representative	2	
WONG Kim Ling, Tony	ACL466	Licensed Representative	2	

**VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 08/2009**

CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
WONG Kin Chun, Gilbert	AAI303	Licensed Representative	4, 9	
WONG Kwok Leung	ASK759	Licensed Representative	3	
WONG Man Fai	AMC405	Licensed Representative	2	
WONG Ngai Shing	AMI263	Licensed Representative	3	
WONG Shing Yip	AQM559	Licensed Representative		2
WONG Siu Chung, Anthony	AQP643	Licensed Representative	9	
WONG Siu Lum Jade	AMU453	Licensed Representative	1	
WONG Suet King, Eldora	AOE058	Licensed Representative		9
WONG Tak Ling, Gary	AFG794	Licensed Representative	3	
WONG Wai Yee	AMN553	Licensed Representative	1	
WONG Yu Yin	AGI949	Licensed Representative	9	
WOO Yick Chung, Chester	AOC916	Licensed Representative		7
WUN Chi Yun, Agnes	AGX745	Licensed Representative		1
XI Xi	ARG157	Licensed Representative		2
XIONG Zhe	ASW639	Licensed Representative	9	1, 6
XU Dong	ARN422	Licensed Representative	4	6
XU Hai	AON015	Licensed Representative		1
XU Jun	AHP544	Licensed Representative	9	
YAM Hang Fai	APW638	Licensed Representative	2	
YAM Wai Tak	AMK311	Licensed Representative		7
YAN Jia	ARN428	Licensed Representative	2	
YAO See Wing, David	AOB931	Licensed Representative	4	9
YAU Fuk Yuk, Alice	APF540	Licensed Representative		2
YAU Hok Wai, Henry Clement	ACH182	Licensed Representative		1
YAU Lai Shun	AKX576	Licensed Representative	1	
YAU Yiu Keung	AMH856	Licensed Representative	9	
YE Michael	ARF106	Licensed Representative	4	6
YEH Shan-Ju	APH120	Licensed Representative	9	
YEO Chung Hong	APR800	Licensed Representative	9	1, 2
YEUNG Wai Kee	APK988	Licensed Representative	3	
YEUNG Wai Kin	AMF681	Licensed Representative	2	
YEUNG Ying Wai	AQS662	Licensed Representative	1, 2	4
YIM Chi Ho	AOD008	Licensed Representative		2
YIP Chak Hang	AMK299	Licensed Representative		3
YIP Chor Wai	AIZ251	Licensed Representative		7
YIP Kin Wing	ALW656	Licensed Representative	3	
YIU Kam Wai, Martin	ALL047	Licensed Representative	1	
YU Hon Cheung	AFZ821	Licensed Representative		7
YUAN Shih-Hsiang	AOT897	Licensed Representative	4	
YUE Krista Wan Wen	AFW544	Licensed Representative	1, 2	9
YUEN Chung Man	AEA817	Licensed Representative	1	
YUEN Pak Cheung	AFJ094	Licensed Representative		7
ZANNINO Francesco	APZ383	Licensed Representative		7

**VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 08/2009**

CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
ZENG Chaohao	ALN856	Licensed Representative	9	
ZHANG Shao Ying	AQE595	Licensed Representative	7	
ZHANG Xiaojing	APP204	Licensed Representative	9	
ZHOU Linlin	AML499	Licensed Representative	9	1, 2
ZHOU Wei	ARS556	Licensed Representative	9	
CHAN Tsz Kin, Ernest	AFX173	Licensed Representative - Responsible Officer	9	
CHEN Chien Chih	AKX325	Licensed Representative - Responsible Officer	9	
HUI Yee Kwong	AAA823	Licensed Representative - Responsible Officer		2
JANJUSEVIC Miodrag	ALZ310	Licensed Representative - Responsible Officer	4, 9	
KAO Hsien-Kuang	AJB418	Licensed Representative - Responsible Officer	9	
LAU Ka Lung, Ali	AAG484	Licensed Representative - Responsible Officer	2, 5	
LOBO Alfredo Paulo	ACP300	Licensed Representative - Responsible Officer	9	
MACDONALD Matthew Douglas	ALK219	Licensed Representative - Responsible Officer	5	
MAN Kong Yui	ABV019	Licensed Representative - Responsible Officer	1	
MATSUMURA Tsuyoshi	AFV936	Licensed Representative - Responsible Officer	9	
NG Ka Wai, Eric	ABI099	Licensed Representative - Responsible Officer	9	
PEGGRAM Clive Richard	ARW930	Licensed Representative - Responsible Officer	9	
PINKEL John Donovan	ABM324	Licensed Representative - Responsible Officer	9	
ROOS Murray Daniel Remarque	AOX773	Licensed Representative - Responsible Officer	4, 5	
TANG Ping Sum	AEL276	Licensed Representative - Responsible Officer	3	
TAO Hung-te	APA643	Licensed Representative - Responsible Officer		1
TENG Fredric Chien Hwa	AMU466	Licensed Representative - Responsible Officer	9	
VELAKACHARLA Siddharth	ANK324	Licensed Representative - Responsible Officer	9	
WELCH Thomas Andrew	ALD194	Licensed Representative - Responsible Officer	4	
Banco Bilbao Vizcaya Argentaria S.A.	AFR194	Registered Institution	4	