

VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
Blue Pool Capital Limited	AKP717	Licensed Corporation	9	
CVC Asia Pacific Limited	AFD202	Licensed Corporation	1	
Mirae Asset Global Investments (Hong Kong) Limited	ALK083	Licensed Corporation	1	
Peak Capital Limited	AKY982	Licensed Corporation	1	
Starling Group Securities Limited	ARK028	Licensed Corporation	4	
ATWOOD Julia Bowen	API075	Licensed Representative	1	
AU YEUNG Tat Wing	ASJ761	Licensed Representative	1	3
BAGAMAN Farrah	AGH024	Licensed Representative	4	
BAILLIE Samuel Jeremy	AOU472	Licensed Representative	7	
BAO Xuming	AOB304	Licensed Representative	1	
BUTLER Gabriel Joseph	AOY181	Licensed Representative	2	7
CHAMPAGNE Jean-Marc Beaugrand	AKJ299	Licensed Representative	7	
CHAN Chi Wai	AGV379	Licensed Representative	1	
CHAN Ching Wan	AFH098	Licensed Representative	4	
CHAN Chung Leung	AEF867	Licensed Representative	4	
CHAN Hay Por	AOQ533	Licensed Representative	1	4
CHAN Ho Ming	AHA905	Licensed Representative	2	
CHAN Hong	AEQ337	Licensed Representative	1	
CHAN Kar Bo	AEE023	Licensed Representative	1	
CHAN Kwok Leung, Dennis	AEO546	Licensed Representative	7	
CHAN Ling Wah, Edward	AHR464	Licensed Representative		1
CHAN Man Fong	AQA622	Licensed Representative	7	
CHAN Mei Ying, Debby	ASQ159	Licensed Representative	4	
CHAN Shing Ming, Louis	AEF393	Licensed Representative		4
CHAN Wa Ming	ACJ230	Licensed Representative	7	
CHAN Wai Yat, Micky	AQY824	Licensed Representative	2	4
CHAN Wang Fai	ARR608	Licensed Representative	1	
CHAN Wing Kok, Christopher	ATW449	Licensed Representative	7	
CHAN Yan Wing, Andy	ADJ208	Licensed Representative	3	
CHAN Yuen Yu	ARN138	Licensed Representative	6	
CHAN Yuk Chor	AFI899	Licensed Representative	1, 2	9
CHAU Wai Yip	APL316	Licensed Representative	2	1
CHEE Sing Chung	ABC352	Licensed Representative	1	
CHEN Chia Ling	ADV930	Licensed Representative	9	
CHEN Chia-hui	ASU227	Licensed Representative	4, 9	1
CHENG Kwok Choi	ANN290	Licensed Representative		4
CHENG Tai Sheung	ALS551	Licensed Representative		6
CHENG Yu Man	AQN907	Licensed Representative	1, 4	
CHEUNG Cheuk Yiu	AGP526	Licensed Representative	1	4, 9
CHEUNG Chun Fai	AQD310	Licensed Representative		9
CHEUNG Lik	AKM452	Licensed Representative	1	
CHEUNG Tsz Ying	ATO215	Licensed Representative	2	
CHEUNG Wing Lam	AGA955	Licensed Representative	4	

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CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
CHEUNG Yeung	ARH242	Licensed Representative	1, 6	
CHIANG Yih-Bin	APW352	Licensed Representative	2	
CHIU Krystal Yu Pui	ALN581	Licensed Representative	7	
CHIU Suk Yue	AAC936	Licensed Representative	2	
CHO Henry Kim	AJF439	Licensed Representative	6	9
CHOI Joon Ho	ARJ837	Licensed Representative	1	
CHONG Kian Shing	AGE022	Licensed Representative		6
CHOW Liyen	AQP998	Licensed Representative	2	
CHU Wai Ling, Marianna	ABX782	Licensed Representative	4	
CHU Wayne Wing Kar	AHO643	Licensed Representative	7	
CHUNG Steve Sae-hwan	AJB741	Licensed Representative		4
CHUNG Wing Kin	ATE069	Licensed Representative	3	
CLARKSON Matthew Thomas	ASQ572	Licensed Representative	2, 5	
COLEMAN Andrew Jonathan	ARH649	Licensed Representative	4	
COLLETT Benjamin Robert	ANM944	Licensed Representative		2
DESAI Mohan Kumar	AOY872	Licensed Representative	6	
DU Lui	ARJ091	Licensed Representative	1	
FAURE Adrian Hendrik	AAB930	Licensed Representative	2	
FAURE Stephane	AQR524	Licensed Representative	7	
FONG Wang Yip, Jeffrey	ANT546	Licensed Representative	2	4
FU Mei Lam, Christine	APV503	Licensed Representative		4
FUNG Wing Ki	AEF148	Licensed Representative	4, 9	
GILBERT Laurent Luc	AKI922	Licensed Representative	7	
GILLMAN Richard Formby	AFR325	Licensed Representative	1	
GREY Kathleen Maree	ATL480	Licensed Representative	7	
GU Huaiyu	AGX678	Licensed Representative	1	
HE Jing	AMX138	Licensed Representative	4	
HO Catherine Yee Yin	APA405	Licensed Representative	4, 9	1
HO Chun Pong	ACB666	Licensed Representative	5	
HO John Chi On	ANT571	Licensed Representative		4
HO Ka Huen	ARG881	Licensed Representative	2	
HO Kwok Wai, Ivan	APH605	Licensed Representative		9
HO Wing Pong	AOJ711	Licensed Representative		4, 9
HO Yiu Fai	AIB991	Licensed Representative		4
HO Yui	ATI748	Licensed Representative	3	
HON Kai Lai	APC068	Licensed Representative	2	
HONG Anita Man-wai	APV981	Licensed Representative		4
HSIN Fanneau Ching	ACT437	Licensed Representative	1	
HSU Yi-Ju	APK835	Licensed Representative		4
HUANG Ranfei	APL790	Licensed Representative	1	
HUANG Songbo	ARS092	Licensed Representative	3	
HUANG Yiting	AHZ630	Licensed Representative	1	
HUI Pui San	AEI285	Licensed Representative	2, 9	

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CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
HUNG Ngar Kit	ADO331	Licensed Representative	7	
IP Chi Kong	AOX418	Licensed Representative	4	
JINDO Koki	AJL494	Licensed Representative	6	
JOHNSON Jason Keith	AGO216	Licensed Representative		4
KIM Sun Mi	AME096	Licensed Representative	7	
KLINGER David Anthony	AGW614	Licensed Representative		7
KO Ho Ming, Vin	AHA287	Licensed Representative	9	
KOK Cho Yan	AQY190	Licensed Representative		7
KONG Hon Ming	AFC648	Licensed Representative	7	
KUANG Xia	AML239	Licensed Representative	7	
KWOK Chun Hei, Kenneth	APH173	Licensed Representative	6	
LAI Chi Kin	ANW426	Licensed Representative		2
LAI Kam Wo	ABQ024	Licensed Representative		4, 5
LAI Marshall Eric	ANW402	Licensed Representative	1	
LAI Yik Hei, Athens	AQF105	Licensed Representative		1, 4
LAM Ho Yin	AFM525	Licensed Representative	2	
LAM Ka Chun	ARK653	Licensed Representative	9	
LAM Karman Razilee	AQI255	Licensed Representative	2	
LAM Kin Ying	AMG971	Licensed Representative	4	
LAM Kou Ngai	AST091	Licensed Representative	2	
LAM Man Wai, Nancy	ANO998	Licensed Representative	7	
LAU Fung Ngor, Swan	ARQ530	Licensed Representative	2	
LAU Hoi Yee, Vivian	AEV751	Licensed Representative		7
LAU Ka Man	APC145	Licensed Representative	9	
LAU Kam Fong, Vera	AAC909	Licensed Representative	2	
LAU Kwai Ching, Denise	AND562	Licensed Representative		6
LAU Lai Ping	AGO276	Licensed Representative	2	
LEE Kim Man	APR807	Licensed Representative	4	1
LEE Kwok Cheong	AGA695	Licensed Representative	4	
LEE Kwun Fan, Kelvin	ASY378	Licensed Representative	2	
LEE Ming Wah	AOR610	Licensed Representative	1	4, 9
LEE Pui Man	AQQ430	Licensed Representative	4	1
LEE Yik Long	ARG942	Licensed Representative	4	
LEI Zhongren	ASS916	Licensed Representative	9	
LEUNG Wai Chuen, Sdentent	AAK254	Licensed Representative		2, 4, 5, 9
LI Bing	AHQ959	Licensed Representative	1	
LI Chun Yi	ATN122	Licensed Representative	9	
LI Hon Leung	AJC118	Licensed Representative	4, 5	
LI Siu Wai	AML310	Licensed Representative	9	
LI Ting Ho, Eric	AFU504	Licensed Representative		6
LI Xin	ANY390	Licensed Representative	4	
LI Yirong	APL208	Licensed Representative		6
LIMOUZI Quentin Gregoire	ARW177	Licensed Representative	7	

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CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
LIN Ling-Yi	ANT738	Licensed Representative	4	
LIN Peiyi, Joanna	ARG754	Licensed Representative	9	
LIN Ying-Hua	ALI215	Licensed Representative	4	
LIU Leung	AFJ550	Licensed Representative	2	
LO Shuk Kwan, Alison	AOS013	Licensed Representative	2	
LU Chao	ARI980	Licensed Representative	4, 9	1, 6
LUI Ping Sum	AQV656	Licensed Representative	6	
LUI Yat Yin	ATT820	Licensed Representative	1	
MA Dongjun	AME464	Licensed Representative	1	
MA Jing	ASZ375	Licensed Representative	3	
MA King Lun	ATP133	Licensed Representative	3	
MA Wenjia	ASI056	Licensed Representative	3	
MAK Chun Fai, Frankie	AEC363	Licensed Representative	2, 9	
MAK Ka Bo, Alex	AEH886	Licensed Representative		2
MAK Ka Yuen	ANX809	Licensed Representative	2	
MAK Sin Yue, Michael	AQC886	Licensed Representative	4	
MAN Henry	AMS055	Licensed Representative	7	
MAN Leung Yan, Lumen	AAH274	Licensed Representative		4
MARTIN Todd Stuart	ABT540	Licensed Representative	4	1
MC CULLOUGH Ronan Hugh Harrison	ALL113	Licensed Representative	6	
MC DERMOTT Glen Michael	ARM737	Licensed Representative		9
MC NAMARA Daniel Martin	AGT969	Licensed Representative	4	
MILLS Michael Jeffrey	AOY777	Licensed Representative	4, 5, 9	1
MYERS John Braden	ACO500	Licensed Representative	9	
NARAIN Jayesh Suresh	AQX336	Licensed Representative	7	
NG Ho Ka, Kenneth	ASS673	Licensed Representative	1	4, 9
NG Ka Lun, Galant	ASH960	Licensed Representative	4	1, 2, 3
NG Pui Yee	ADH165	Licensed Representative	2	
NG Siu Mui	AGF542	Licensed Representative		5
NG Siu Wai	ASD269	Licensed Representative	2	
NG Wing Yi	AOR975	Licensed Representative	2	
NGUYEN-MINH Tam, Hieu	ARB824	Licensed Representative	1	
ONG Simon Wui Shiang	AOV039	Licensed Representative	4	
PABLO Gerardo Gonzalez	AFZ873	Licensed Representative	7	
PADUANO Rocco	AMK429	Licensed Representative	1, 2, 7	9
PAN Jen Kai	ARM327	Licensed Representative	9	1, 6
PANG Chun Wai, Tommy	APV527	Licensed Representative		2, 4
PEI Xi	ANF264	Licensed Representative	1	
PO Kwong Chiu	AFK747	Licensed Representative	2	
POON Sek Fun, Justin	ARW860	Licensed Representative	6	
REEVE Alexander	APK395	Licensed Representative	1, 2	4, 5, 9
SEN Tung Ning	AFI668	Licensed Representative		5
SHIMAMORI Michiko	ATE242	Licensed Representative	7	

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CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
SHU Hon	ALF005	Licensed Representative	9	
SHUNG Yim Sheung	ASS219	Licensed Representative	9	
SO Chi Kin	ANW377	Licensed Representative		1
SUEN Yi Nga	AQO247	Licensed Representative		2
TAN Fang	ARI742	Licensed Representative	4, 9	
TAN Wie Hon, Derrick	AMP203	Licensed Representative	4	2
TANG Congcong	ASE040	Licensed Representative		6
TANG Kan Wai	ARQ667	Licensed Representative	2	
TANG Wang Kit	ARP465	Licensed Representative	3	
TRINH Nicholas Hung	ACL231	Licensed Representative	7	
TSANG Ho Fung	ASH812	Licensed Representative	1, 3	
TSANG Ming Yin	APW354	Licensed Representative		4
TU Lingfei	ATB487	Licensed Representative	4, 6	
TURTLE Simone	ALU106	Licensed Representative		2, 7
WALLUM Nicholas Peter	APW080	Licensed Representative	7	
WALTERS Andrew James	AOT505	Licensed Representative	7	
WAN Nga Yee, Joyce	AOH920	Licensed Representative		2
WAN Tsz Kin, Linus	ATJ086	Licensed Representative	2	
WANG Jiyu	ASH808	Licensed Representative	1	
WANG Qian	APC737	Licensed Representative	4	
WANG Shou Jen	APY531	Licensed Representative	7	
WANG Yan	APX217	Licensed Representative	4, 9	6
WANG Yaqian	AMG899	Licensed Representative	1	
WITTGEN Pieter Paul	AQN998	Licensed Representative	1	
WONG Chi Chung	ANS286	Licensed Representative	2, 5	
WONG Chi Kwong	AEF866	Licensed Representative	2	
WONG Chi Man	ARQ768	Licensed Representative	2	
WONG Chun Kong	ATM806	Licensed Representative	3	
WONG Chun Wa	APR390	Licensed Representative		1, 2, 9
WONG Hoi Yan	APO633	Licensed Representative	4	1
WONG Ki Wa	AOH624	Licensed Representative	1	
WONG Koon Ki	ALY611	Licensed Representative	5	
WONG Kwok Keung	ACC472	Licensed Representative	7	
WONG Man Kay, Ignacio	ATS153	Licensed Representative	3	
WONG Man Yin	ARD527	Licensed Representative		1, 2
WONG Timothy Tin Wai	AFS526	Licensed Representative	7	
WONG Yee Hing	AAF918	Licensed Representative		4
WU Jingjing, Janet	ARF348	Licensed Representative	4	
WU Wei	AMP204	Licensed Representative	1	
YAN Kam Tong	ALT703	Licensed Representative		4, 5
YANG Nancy Wen	AJC937	Licensed Representative	7	
YAU Sze Kin	AHC181	Licensed Representative	2	
YEUNG Chi Wai	ABT728	Licensed Representative	1	

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CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
YIP Ho Man, Kirk	AQN832	Licensed Representative	4	
YIP Pui Yee	ASY648	Licensed Representative		1, 2
YIP Wing Hung	ASF470	Licensed Representative	3	
YIU Ka Wing	APG349	Licensed Representative		2
YIU Man Kuen	AJB527	Licensed Representative	1	
YU Chiu Yan	ASF042	Licensed Representative	2	
YUEN Chung Man	AEA817	Licensed Representative		4
YUEN King Ping	AOE308	Licensed Representative	1	
YUEN William	ARN485	Licensed Representative	7	
ZHANG David	AFM920	Licensed Representative	1	
ZHANG Hao	ASS290	Licensed Representative	2	
ZHANG Lei	AMO860	Licensed Representative	1	
ZHANG Zhongying	ARS091	Licensed Representative	3	
ZHAO Tianqi	ARJ098	Licensed Representative	1	
ZHENG Chong	AQQ143	Licensed Representative		1
ZHU Dandan	AQO191	Licensed Representative	1	4
ZHU Feifei	ALG446	Licensed Representative	1	
ZHU Lehui	ARG192	Licensed Representative	3	
CHAN Pak Lam, Tom	ACJ830	Licensed Representative - Responsible Officer	9	
CHENG Glen H G	ANN667	Licensed Representative - Responsible Officer	9	
CHEUNG Christopher Ka Tsun	AFY937	Licensed Representative - Responsible Officer	5, 9	
CHEUNG Kai Wah	AOS025	Licensed Representative - Responsible Officer	1	
CHEUNG Yui Kai, Warren	ACX305	Licensed Representative - Responsible Officer	6	
CHOW Shu Kay	AAD203	Licensed Representative - Responsible Officer	4	
CHOW Wai Man	ALV215	Licensed Representative - Responsible Officer	7	
COLEMAN Jonathan Leonard	ADV520	Licensed Representative - Responsible Officer		4
FAURE Adrian Hendrik	AAB930	Licensed Representative - Responsible Officer	1, 7	
FUNG Hon Kuen	ALP962	Licensed Representative - Responsible Officer	4	
HO Chi Ho, Aaron	ADS214	Licensed Representative - Responsible Officer	9	
HOLROYD Andrea	AJF458	Licensed Representative - Responsible Officer	1	
KAM Kah Ken	APW093	Licensed Representative - Responsible Officer	6	
KIM Byung Ha	AMV363	Licensed Representative - Responsible Officer	1	
KUAN Roy	AFD203	Licensed Representative - Responsible Officer	1	
LEE Ho Yin	AFP786	Licensed Representative - Responsible Officer	9	
LEE Tuck Chung	ASI360	Licensed Representative - Responsible Officer	1	
MAHONY Terence Francis	AAF888	Licensed Representative - Responsible Officer	4, 9	1, 6
MARNICK Martin Brendan	AEF576	Licensed Representative - Responsible Officer		1, 2
MC DERMOTT Glen Michael	ARM737	Licensed Representative - Responsible Officer	6	
MOK Kin Wai	ABS374	Licensed Representative - Responsible Officer	4, 9	
Ng Frederick Chee Hung	AND332	Licensed Representative - Responsible Officer	4, 9	
POWELL Simon	ACS886	Licensed Representative - Responsible Officer	1	
RAINSFORD Timothy Cameron	ADQ124	Licensed Representative - Responsible Officer	2, 3	
RUIJS Maarten	AFD793	Licensed Representative - Responsible Officer	1	

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CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
SIT Wing Fai, Wilfred	ACJ160	Licensed Representative - Responsible Officer	1	
TAN Eugenio T	ACM304	Licensed Representative - Responsible Officer	6	
TURTLE Simone	ALU106	Licensed Representative - Responsible Officer	4, 9	
WEST Alexander Gustav Lennart	AKQ669	Licensed Representative - Responsible Officer	9	
YEO Horng Yao	AOS444	Licensed Representative - Responsible Officer		1
YEUNG Daisy	ABB905	Licensed Representative - Responsible Officer	9	
YIP Kelvin Hok-yin	AOS027	Licensed Representative - Responsible Officer	1	
LEUNG Chak Yan	ATO522	Licensed Representative (Provisional Licence)	3	1, 2
Sumitomo Trust Finance (H.K.) Limited, The	AAO147	Registered Institution	5	