

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
Cavalry Management Group Asia, Limited	AUT297	Licensed Corporation	9
Goldenway Investments (HK) Limited	AUE994	Licensed Corporation	1, 2
Great Lakes Hong Kong Limited	AUE804	Licensed Corporation	2
Look's Asset Management Limited	AUM670	Licensed Corporation	4, 9
Pemberton Investments (Hong Kong) Limited	AUS993	Licensed Corporation	9
Seres Asset Management Limited	AUP604	Licensed Corporation	9
Touchstone Asset Management Company Limited	AUI258	Licensed Corporation	9
Trivest Advisors Limited	AUV003	Licensed Corporation	9
UIC Financial Advisors Limited	ART025	Licensed Corporation	4
AKIMOTO Junko	AUW219	Licensed Representative	4
BACHTIAR Roestam Effendi Bin	AEK135	Licensed Representative	2
BAEK June Seok	AJC640	Licensed Representative	1, 2
BAI Xiao	AUQ996	Licensed Representative	1, 6
BAILDON Ross Francis	AUT133	Licensed Representative	1, 4, 6
BARTHES Johann Brian Robin	AUW077	Licensed Representative	1, 2
BARUS Felicia Asrinanda	AUT955	Licensed Representative	4
BENCHAVITVILAI Chate	AUW102	Licensed Representative	4
BENOMAR Youssef	AUR589	Licensed Representative	1, 4
BENSMIHEN Jordane	AUW919	Licensed Representative	1, 2
BLANCHARD Dominique Jean Rene	AUX224	Licensed Representative	1, 2, 4
BOJARSKI Justin Curtis	AUT131	Licensed Representative	1, 2, 7
BONAMY Ludivine Madeleine Chantal	AUT894	Licensed Representative	1, 2
BRIDGEWATER George Spencer	AUS002	Licensed Representative	1, 2, 7
BU Wenyuan	AUW509	Licensed Representative	6
BURDIS James	AUX142	Licensed Representative	1
CHADA Rohin	AUW125	Licensed Representative	9
CHAK Shu Yan	AQU144	Licensed Representative	4
CHAN Chi Keung	AUY945	Licensed Representative	1
CHAN Chun Tat	AUV962	Licensed Representative	1
CHAN Chun Wing	AUZ664	Licensed Representative	4, 9
CHAN Kam Wah	AUX079	Licensed Representative	1
CHAN Koon Tak	AUW649	Licensed Representative	1
CHAN Koon Wai, Arnold	AUW122	Licensed Representative	9
CHAN Man Hon	AEI555	Licensed Representative	4
CHAN Oi Ying	AUX438	Licensed Representative	1
CHAN Pui Man	AUT998	Licensed Representative	1, 4, 9

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHAN Shui Yi, Florence	AUW491	Licensed Representative	1, 4, 9
CHAN Suit Khown	ATX893	Licensed Representative	4, 6, 9
CHAN Wai Leung	AUX093	Licensed Representative	1
CHAN Wing Kin	AUW795	Licensed Representative	1, 6
CHAN Yan Lung	AUX220	Licensed Representative	9
CHANG Bo	AUX307	Licensed Representative	9
CHANG Yuan-wei	AUX365	Licensed Representative	1
CHAO Chih Ke	AMQ375	Licensed Representative	4
CHARNSETHIKUL Pimpaval	AUT124	Licensed Representative	1
CHAU Ka Wai	AUW485	Licensed Representative	1
CHAU Sing Yan	AUX634	Licensed Representative	1, 4
CHEAH Sim Ee	ANM987	Licensed Representative	1, 2, 7
CHEN Bai Cao	AUZ662	Licensed Representative	9
CHEN Chi-ling	ATO708	Licensed Representative	9
CHEN Jianping	AUV177	Licensed Representative	4
CHEN Jing Yi	ARN454	Licensed Representative	9
CHEN Lei	AMP422	Licensed Representative	1, 4, 6
CHEN Qianqian	AUV895	Licensed Representative	4
CHEN Xinchang	AUS553	Licensed Representative	1
CHENG Kwok Wai	AUX349	Licensed Representative	1
CHENG Suet Ching, Camilla	AUZ019	Licensed Representative	4
CHENG Virgil	AUX418	Licensed Representative	1
CHER Jonathan Yves Louis William	AUV738	Licensed Representative	1, 2
CHEUNG Hoi Hang	ANM164	Licensed Representative	1, 4
CHEUNG Ka Hang	AUW248	Licensed Representative	1, 2
CHEUNG Kin Hang	ARA266	Licensed Representative	1, 2
CHEUNG King Tak, Candy	AQX898	Licensed Representative	1
CHEUNG Mang	AKW755	Licensed Representative	4
CHEUNG Wai Leung	AUW129	Licensed Representative	1
CHEUNG Wang	AMF506	Licensed Representative	1, 2
CHIU Chih Ning	AUW231	Licensed Representative	1, 2
CHIU Pat Ngao, Steven	ADH952	Licensed Representative	1
CHIU Sai Lun	AUX102	Licensed Representative	1
CHO Sollo	AUW639	Licensed Representative	1, 6
CHOI King Wang	AUV489	Licensed Representative	1
CHOI Stephen Joon	AJH431	Licensed Representative	1, 2

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHONG Petrina Pek Ling	AUV851	Licensed Representative	4
CHOW Chu Sing	AUV530	Licensed Representative	1
CHOW Siu Fai	AUX351	Licensed Representative	1, 4
CHOY Shu Wah	ADS119	Licensed Representative	1
CHU Ho	AUW246	Licensed Representative	1, 2, 4
CHU Kang Ming	AUX009	Licensed Representative	1, 2
CHU Kwok Hong	ALZ579	Licensed Representative	1
CHU Richard Shan Yao	AUW031	Licensed Representative	9
CHU Ying	AQY614	Licensed Representative	1, 4, 6
CLATWORTHY David Peter	AUX131	Licensed Representative	1, 2, 7
DABOUZ Lies	AUV764	Licensed Representative	1
DAFFORN Michael James	AUX135	Licensed Representative	1
DESAI Keemesh	AUL786	Licensed Representative	1, 2
DHUPELIA Sunil	AUW922	Licensed Representative	1, 4, 6
DING Xiao	AUW138	Licensed Representative	1, 6
DONG Mei	AUX150	Licensed Representative	1, 4, 9
DOO Sai Fong	AAY722	Licensed Representative	1
DR. SCHMITZ-MORKRAMER Patrick Walter	AUV004	Licensed Representative	1, 4, 6
DUONG Thanh-mai	AUW527	Licensed Representative	6
FAN Li	AUX567	Licensed Representative	1
FAN Wenchao	AUQ956	Licensed Representative	1, 2, 4, 5
FAN Yi	AUV739	Licensed Representative	1, 2
FINEMAN Daniel Mark	AEP441	Licensed Representative	4
FOO Tzi Chun, Wallace	ADC298	Licensed Representative	1, 6
FROST Michael	AHQ485	Licensed Representative	1
FUJIWARA Sari	AUV639	Licensed Representative	1, 4
FUNG Wing Tsan	ADQ913	Licensed Representative	4, 9
FUNG Yuen Yan	AUX016	Licensed Representative	1, 2
GAO Yang	AUV974	Licensed Representative	1, 2, 3
GEORGE Nicholas James	AUW532	Licensed Representative	1, 2
GHOUILA-HOURI Lionel, Joseph	AUW774	Licensed Representative	1, 2
GLEESON Jamie Alexander Loveland	AUZ306	Licensed Representative	1, 2
GONG Rui	AUX420	Licensed Representative	1, 2
GUAN Bin	AGL097	Licensed Representative	1, 4
GUO Peng	AUW923	Licensed Representative	4
HANNAN David James	AMS327	Licensed Representative	1, 2

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CE Name	CE No.	Licence Type	Types of Regulated Activity
HARVEY Neil Anthony Shaun	AUT093	Licensed Representative	1, 4
HAYAMA Tetsuhiro	AUW110	Licensed Representative	1
HE Sijia	AUV102	Licensed Representative	1
HENNINGSEN Michael	AUW140	Licensed Representative	1
HO Kelly Ngar Ying	AFY162	Licensed Representative	1
HO Lek Yee	AUW056	Licensed Representative	1
HO Sum Ling	AUW578	Licensed Representative	4
HO Wing Sze, Ada	ACJ281	Licensed Representative	1, 4
HOLLAND Jonathan James	AUV198	Licensed Representative	1
HONG Hong	AVA228	Licensed Representative	1
HOSKIN Todd Edward	AUZ154	Licensed Representative	1, 6
HU Guohua	AQM206	Licensed Representative	1, 4
HU Nyree Nai-wen	AUW511	Licensed Representative	4, 9
HU Yingqing	AUW137	Licensed Representative	1, 4, 6
HU Zhengwei	AUQ995	Licensed Representative	1, 6
HUANG Dawei	AUV855	Licensed Representative	1, 4, 6
HUANG Hiu Tan	AOQ960	Licensed Representative	4
HUANG Zhaojie	AUV510	Licensed Representative	1, 4, 6
HUI Hing Cheung, Brian	AUX308	Licensed Representative	1
HUI Ting Fong	AUX111	Licensed Representative	4
HUI Wai Ying, Florence	AUW505	Licensed Representative	6
HUNG Hilary Yi Jeng	APU944	Licensed Representative	1
HYDER Riaz	AUT957	Licensed Representative	4
IP Kim Hung	AUX356	Licensed Representative	1
IP Pui Shan, Sarah	AGI952	Licensed Representative	1, 4
ISGROVE Paul Brian	AIZ559	Licensed Representative	1
JACOB Michael Edward	AUW510	Licensed Representative	1
JACOB Vijay Thomas	AUV355	Licensed Representative	1, 4, 6
JAMES Shane Charles	ATL423	Licensed Representative	9
JEFFERY Anchan Khay	AUX357	Licensed Representative	1, 2
JIANG Jiang	AUW635	Licensed Representative	9
KAN Kei Nap	ANL969	Licensed Representative	1
KEE Ju-ven	AHH533	Licensed Representative	1, 4, 6
KEUNDJIAN Jean-Philippe	AUZ102	Licensed Representative	2
KEVALEE Thaniya	AFB035	Licensed Representative	4
KIM Hyung Eun	AUW502	Licensed Representative	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
KOGAR Samir	AUT095	Licensed Representative	1
KOK Seng Kiat	AUZ014	Licensed Representative	9
KOLL Kathy Mitsuko	AUV515	Licensed Representative	1, 4
KONG Wai Choi, William	AUX112	Licensed Representative	1, 2
KOTA Ratnakar	AUZ022	Licensed Representative	1, 4, 9
KOTHARI Sejal Kirit	AUX306	Licensed Representative	1, 6
KULKARNI Manoj Dilipkumar	AUW573	Licensed Representative	4
KUO Marc	AUY932	Licensed Representative	1, 2
KUO Shou-Min	AUN073	Licensed Representative	4, 9
KUO Teu-wei	AUZ362	Licensed Representative	1, 2
KWAN Kit Yan, Anderson	AUX006	Licensed Representative	1
KWAN Pui Chee	AUW887	Licensed Representative	1
KWAN Wai Sum	AUX266	Licensed Representative	1
KWOK Ka Yan Karen	AUX313	Licensed Representative	1
KWOK Ronald King-wong	AQQ334	Licensed Representative	1, 2, 7
LAI Ka Chun	AUW249	Licensed Representative	1
LAI Shing Hong, Ronny	AUX096	Licensed Representative	9
LAM Chi Hsin	ALO052	Licensed Representative	1
LAM Chien Tai	AUV996	Licensed Representative	4
LAM Chiu Kei, Banny	AGH217	Licensed Representative	4
LAM Chui Wah	AMM393	Licensed Representative	1, 2
LAM Hing Chiu	AUZ899	Licensed Representative	1
LAM Ka Chun	AOW804	Licensed Representative	4, 9
LAM Ka Wai	AOV836	Licensed Representative	1
LAM Melody Wai Yan	AUV751	Licensed Representative	1, 4
LAM Pui Pui	AQN699	Licensed Representative	1
LAM Tat Shing	AUV992	Licensed Representative	1, 2
LAM Wai Cheng	AUV176	Licensed Representative	1, 4, 9
LAM Wai Shing, Manfred	ANP220	Licensed Representative	1, 4, 9
LAM Wang Siu	AUW032	Licensed Representative	4
LAMOTHE-CHARLEBOIS Francois	AUX287	Licensed Representative	4
LAMRINI Mohammed Mehdi	AUW123	Licensed Representative	1, 2, 7
LANE David Adrian	AUX153	Licensed Representative	4
LAU Cheung Ka, Daniel	AIB406	Licensed Representative	1
LAU Chi Ming	AUW146	Licensed Representative	9
LAU Chun Sing	ANQ367	Licensed Representative	1, 4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
LAU Chun Yu	ANK121	Licensed Representative	1, 4, 9
LAU Kai Fung, Edward	AUW118	Licensed Representative	1, 4, 6
LAU Nam Fung, Henry	AUW417	Licensed Representative	2
LAU Sai Kit Dennis	AUV774	Licensed Representative	1
LAU Siu Fai	ADA388	Licensed Representative	1
LAU Valerie Wai Chee	AUX419	Licensed Representative	1
LAU Wai Ping, Cathy	AUX352	Licensed Representative	1, 4
LAU Wang Chi, Barry	AUZ162	Licensed Representative	9
LAW Suk Wah	ANQ793	Licensed Representative	4, 9
LEE Chun Yip	AUW445	Licensed Representative	1, 2
LEE Donald Sang	AUT132	Licensed Representative	1, 2, 7
LEE Ka Ho	ASJ960	Licensed Representative	1
LEE Ka Wo	AUX259	Licensed Representative	1
LEE Kuan-ju	ARR958	Licensed Representative	1, 4, 7, 9
LEE So Ryung	ARG849	Licensed Representative	1, 2
LEUNG Chung Hang	AMN680	Licensed Representative	1, 2
LEUNG Kai Ching	AUX081	Licensed Representative	6
LEUNG Karen Ka Ying	AUX242	Licensed Representative	4
LEUNG Kwan Hoo	AUW512	Licensed Representative	4
LEUNG Oi Yun	AUY974	Licensed Representative	4
LEUNG Wing Yan	AUW488	Licensed Representative	1, 2
LEVINE Robert Peter	AGL783	Licensed Representative	1
LI Andrew Sing-tsze	ANK159	Licensed Representative	4
LI Bing	AUV179	Licensed Representative	1, 4, 9
LI Lili	AUG973	Licensed Representative	4
LI Shulu	AUW640	Licensed Representative	1, 6
LI Yujing	AUW144	Licensed Representative	4
LIANG Bing	APN800	Licensed Representative	1, 4, 6
LIN James Yu-cheng	AUX286	Licensed Representative	4, 9
LIN Michelle Chia-Hsing	AUW242	Licensed Representative	6
LING Wah Chung	AUZ189	Licensed Representative	1
LIU Jing	ART641	Licensed Representative	1, 4
LIU Shuk Hin	AUW342	Licensed Representative	1, 2
LIU Wai Ming	AUW051	Licensed Representative	4
LIU Yin Tai	AUW247	Licensed Representative	1, 2
LO Chung Yan, Clara	AUX019	Licensed Representative	9

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
LO Ka Yee Diana Erica	AUW724	Licensed Representative	1
LO Yi Pin	ALJ988	Licensed Representative	1
LONG David Jason Junor	AUW238	Licensed Representative	1, 2
LOUIE Kwun Yin, David	AUV181	Licensed Representative	1, 4, 5, 9
LU Chih-Heng Jack	AUX378	Licensed Representative	4
LU Yachong	ARG826	Licensed Representative	1, 6
LUI Malcolm O	AUT119	Licensed Representative	1
LUI Wai Chiu	AIH680	Licensed Representative	1
LUK Mang Suen	AUW503	Licensed Representative	1, 2
LUO Xun	AUW916	Licensed Representative	1, 4, 9
LUO Yang	AUV152	Licensed Representative	4
MA Hoi Sze	AUW529	Licensed Representative	2
MAK Ka Siu	AUZ866	Licensed Representative	4
MAK Tsz Wai	AUW577	Licensed Representative	4
MAK Wai Shing	AUX263	Licensed Representative	1
MAK Ying Tin, Jonathan	AFC305	Licensed Representative	4
MAN Ho Yeung, Eric	AUW648	Licensed Representative	1, 9
MAN Wai Keung	AUX154	Licensed Representative	1, 2
MAN Yi Yan	AUX241	Licensed Representative	1, 2
MAO Beichen	ATS704	Licensed Representative	1, 4, 6
MARCHESSEAU Eric Jacques	AUZ419	Licensed Representative	1, 7
MATHIE Robbi	ANQ501	Licensed Representative	1
MCCALLUM Colin James	ADX863	Licensed Representative	4
MIAO Kaizhou	ALZ811	Licensed Representative	1, 9
MOHLA Abhishek Dushyant	AUZ081	Licensed Representative	1
MOK Leung Hung, Leon	AOM521	Licensed Representative	1
MOSER Kent Sanford	ALF653	Licensed Representative	1
MOTT Jonathan James	AUW134	Licensed Representative	4
MUI Yim Yin	AUW230	Licensed Representative	4
NAKAMURA Miley	AUW130	Licensed Representative	1, 2
NATARAJAN Neeraja	AUT496	Licensed Representative	4
NG Charlotte Hoi Yin	AUZ348	Licensed Representative	4
NG Fan	AUW419	Licensed Representative	1, 2
NG Ka Chi	AUX126	Licensed Representative	1
NG Pui San, Betty	AND629	Licensed Representative	1, 4
NG Shui King, Yvonne	AGE338	Licensed Representative	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
NG Shui To, Eleanor	AJF482	Licensed Representative	1
NG Wing Tai	AUZ073	Licensed Representative	4
NG Yuen Ling	AUX004	Licensed Representative	1, 2
NGAI Sze Wing	AUX372	Licensed Representative	1, 2
NORONHA Cecilia	AUW055	Licensed Representative	1, 6
NORRIS Jeremy Anthony	ABM977	Licensed Representative	1
O'NEILL John Daniel	AUV896	Licensed Representative	1
OXLADE Michael James	AUW121	Licensed Representative	1, 2
PADGALSKAS Nicholas Keith	AUV978	Licensed Representative	1, 6
PANG Kwai Yuk, Stella	AUW522	Licensed Representative	1
PANG Lai Kwan	AUV853	Licensed Representative	1, 2, 4
PARK Sang Sun	ALR978	Licensed Representative	4, 9
PATKAR Rahul Pradeep	AUW133	Licensed Representative	1
PHILIPS Christiana Marie	AUX021	Licensed Representative	9
POLGE DE COMBRET Marguerite Prune Coralie	AUV736	Licensed Representative	1, 6
POON Cheuk Nam, Miranda	AFD430	Licensed Representative	1, 4
POON Chun Bong	AUW799	Licensed Representative	1
POON Tsze kay	AUT893	Licensed Representative	4, 5, 9
POTTER Morgan Winston Oliver	AUW127	Licensed Representative	1
PRADO MIGUELEZ Aranzazu	AUX114	Licensed Representative	4
PRASERTSINTANAH Pornchai	AUT099	Licensed Representative	1
PU Jimmy	AUX546	Licensed Representative	1, 6
QIN Xiao	AOY193	Licensed Representative	1, 4, 6
QUAH Benedict Hyacinth Siew Bin	AUZ671	Licensed Representative	1, 4
QUEK Chin Hung	AUX104	Licensed Representative	1, 2
RADHAKRISHNAN Srinivas	AUX024	Licensed Representative	4
RAN Peng	ANL967	Licensed Representative	4
RHEE Jae Kyung	AUZ166	Licensed Representative	1
RIGGS John West	ARO321	Licensed Representative	1, 4, 6
RITZ Stephane Marcel Marie Bernard	AUS617	Licensed Representative	1, 2
RYAN Patrick M	AUW198	Licensed Representative	1
SANGER Paul John	ASH952	Licensed Representative	1, 2, 7
SAPUTRO Albert	AUT958	Licensed Representative	4
SEE Wee Phing, Eric	AQU543	Licensed Representative	1
SEO Jong Dae	AUV972	Licensed Representative	1, 2
SHAM Ho Lun, Hans	AUX151	Licensed Representative	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
SHARMA Mrinal	AUZ153	Licensed Representative	1, 4, 6
SHEN Xudong	AUV175	Licensed Representative	4
SHI Changyong	AUX573	Licensed Representative	4
SHUTO Takashi	AUT376	Licensed Representative	1, 4, 6
SIU Wilson Wai Lum	AIZ698	Licensed Representative	4, 9
SIU Wing Yi	AUW773	Licensed Representative	1
SLADIC Ales	AUV740	Licensed Representative	1
SO Ha Yan	AUW352	Licensed Representative	1
SO Kit Yan	AUX155	Licensed Representative	1
SO Petrina Pui Yan	AMJ575	Licensed Representative	4
SU Hui	AUZ018	Licensed Representative	4, 9
SUEN Ying Pei, Andre	AUW969	Licensed Representative	4
SUM Ping Kong	AUX010	Licensed Representative	1, 2, 3
SUN Tsui Ping	AUV990	Licensed Representative	1, 4
SUVARNATEMEE Paworamon	AUT103	Licensed Representative	4
TAKAYAMA Daiki	AUV516	Licensed Representative	1, 4
TAM Kevin	AUX305	Licensed Representative	1
TAM Sau Yee	AUZ010	Licensed Representative	1
TAM Sin Kwan	AUW632	Licensed Representative	1, 2
TANG Bingjun, Daniel	AUX373	Licensed Representative	4
TANG Weiguo	AUW905	Licensed Representative	1, 6
TANG Wing Suen	AUY973	Licensed Representative	9
TANG Ya Lin	AUW832	Licensed Representative	1, 2
TAVEERATANASILP Nuntana	AQM288	Licensed Representative	1
TECHAKUMPUCH Chai	AUT107	Licensed Representative	4
TONG Kwai Mui	AFB013	Licensed Representative	1
TORY Richard Marshall	AUT094	Licensed Representative	1, 4, 6
TRAN Leonard	AUW078	Licensed Representative	1, 2
TSANG Mei Yin	AUW192	Licensed Representative	1
TSANG Simon Sai Cheong	AUW602	Licensed Representative	1
TSANG Yin Chung, Martin	AUX602	Licensed Representative	1, 4
TSE Ching Man	AUV440	Licensed Representative	1
TSE Shun Yue, Cora	ATC228	Licensed Representative	1
TSOI Ting Mun	AUV894	Licensed Representative	1
TUAN Shunde Noel	AUW209	Licensed Representative	1
UEYAMA Satoshi	AJH221	Licensed Representative	9

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
UNGOLAN Intarat	AMK192	Licensed Representative	1
VEERMAN Alfred Rene	AUT652	Licensed Representative	4
WAN Shuk Yu, Judy	AUV514	Licensed Representative	1, 6
WAN Siu Hang	AUW034	Licensed Representative	4
WANG Lei	AUX545	Licensed Representative	1, 6
WANG Wei	AUX226	Licensed Representative	1, 6
WANG Yi	AUW136	Licensed Representative	1, 2
WEINGARTH John Nicholas Grant	APB774	Licensed Representative	1
WILSON Scott	AUX582	Licensed Representative	4, 9
WONG Chi Man, Louis	AUW820	Licensed Representative	1
WONG Chi Ming Chris	AUW970	Licensed Representative	4
WONG Chor Sang	AUX300	Licensed Representative	1
WONG Chun Ho	AUW995	Licensed Representative	1
WONG Hung Chung Raymond	AUY358	Licensed Representative	1
WONG Jia	AUW494	Licensed Representative	6
WONG Kin Man	AUW416	Licensed Representative	2
WONG Lan Fa	AUV854	Licensed Representative	1
WONG Lok Hang	AUZ016	Licensed Representative	2
WONG Man Chun, Anthony	AJD976	Licensed Representative	1
WONG Man Man, Catherine	AUW025	Licensed Representative	4
WONG Ping Wai	AUV946	Licensed Representative	1
WONG Wa On	AUZ793	Licensed Representative	1
WONG Wai Kee	AUW823	Licensed Representative	1, 2
WONG Wing Shun, Miranda	ARW205	Licensed Representative	1
WONG Yiu Cheong	AUW021	Licensed Representative	4
WONG Yuen Yee, Vicky	AUX364	Licensed Representative	1
WOO Chi Lai	AUZ634	Licensed Representative	9
WRIGHT Kim Samantha	AUW108	Licensed Representative	4
WU Chun Lai	AUW915	Licensed Representative	1, 4, 9
WU Fan	AUW638	Licensed Representative	9
WU Nan	AUW139	Licensed Representative	1, 4, 6
WU Ut Man	AUW723	Licensed Representative	1
WU Yi Han	AUX618	Licensed Representative	1
WU Yuk Mui	AAC272	Licensed Representative	1
XIONG Fei	AUW687	Licensed Representative	1, 6
XU Duoduo	AUZ744	Licensed Representative	1

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CE Name	CE No.	Licence Type	Types of Regulated Activity
XU Linwei	AUZ169	Licensed Representative	4
YAMAGUCHI Marie	AUS179	Licensed Representative	9
YANG Becky	ANM527	Licensed Representative	1
YANG Kirk Y-C	AFE044	Licensed Representative	4
YANG Sharon	AUX301	Licensed Representative	1, 4
YEN Jason James	AFS525	Licensed Representative	1, 2
YEUNG Pik Ki, Becky	ASO317	Licensed Representative	1
YEUNG Wan Hei	AUW128	Licensed Representative	1, 2
YIP Chi Wing	ARO676	Licensed Representative	1
YIP Ka Ho	ALQ922	Licensed Representative	9
YIP Keng Fai	AUW257	Licensed Representative	1, 2
YONG Lei Fong, Louise	AUX400	Licensed Representative	1, 2
YOUNG Rex Vincent	AUZ708	Licensed Representative	1, 2
YU Di	ARU498	Licensed Representative	1
YU Lijie	AUX358	Licensed Representative	4
YU Man	AUW725	Licensed Representative	1, 2
YU Man Fung, Lora	AMQ585	Licensed Representative	4, 9
YU Shuk Wing	AUV777	Licensed Representative	1, 4
YU Yajie	AUZ669	Licensed Representative	9
YUAN Joy Fangyue	AMH572	Licensed Representative	4, 5, 9
YUEN Chung Ping	AUW576	Licensed Representative	4
YUEN Pui Ho	AUY360	Licensed Representative	1, 4, 9
ZAO Audrey	ACB673	Licensed Representative	1, 2, 4, 5
ZHANG Wei	AUG506	Licensed Representative	4
ZHANG Wenjun	AVA229	Licensed Representative	1
ZHANG Xiaodan	AUZ054	Licensed Representative	4
ZHANG Ye	AOS487	Licensed Representative	1, 2
ZHANG Yihang	AUQ158	Licensed Representative	1
ZHANG Yinghua	APV192	Licensed Representative	4
ZHANG Zhiwei	AUW629	Licensed Representative	1, 4
ZHAO Jason Mao	AUW720	Licensed Representative	9
ZHOU Hao	AUV521	Licensed Representative	4
AURAND Christophe	AUW606	Licensed Representative - Responsible Officer	9
BILLINGS Jason Craig	ACT407	Licensed Representative - Responsible Officer	9
CHIU Pat Ngao, Steven	ADH952	Licensed Representative - Responsible Officer	6
ERLANSON Evan Harmon	AFM266	Licensed Representative - Responsible Officer	9

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
FUJIKAWA Susumu	ACO785	Licensed Representative - Responsible Officer	4, 9
HUANG Qiang	AUI259	Licensed Representative - Responsible Officer	9
HUI Ming Lai, Albert	AFC956	Licensed Representative - Responsible Officer	4, 9
HURLEY John K	AUT320	Licensed Representative - Responsible Officer	9
LEE Dong Jun	AOS434	Licensed Representative - Responsible Officer	4, 9
PALSSON Per Jonas	AUX017	Licensed Representative - Responsible Officer	9
PEMBERTON Dominic Richard	ABP340	Licensed Representative - Responsible Officer	9
PURPURA William Charles	AUE923	Licensed Representative - Responsible Officer	2
ROSENSWEIG William Ernest	ARP643	Licensed Representative - Responsible Officer	1, 4
TIERNEY Michael Kevin	AUT300	Licensed Representative - Responsible Officer	9
WANG Hao Jen	AUM441	Licensed Representative - Responsible Officer	6
WONG Sau Fun	AJB428	Licensed Representative - Responsible Officer	1
WU Huimin	AGX447	Licensed Representative - Responsible Officer	9
ZHOU Hao	AUI260	Licensed Representative - Responsible Officer	9
VAN BRUGGE Robert Pieter	AUA340	Licensed Representative - Responsible Officer (Temporary Licence)	1, 4
ADAMS JR Bradford Simonds	AVB984	Licensed Representative (Provisional Licence)	1
AGARWAL Harsh Lakshman	ANL070	Licensed Representative (Provisional Licence)	1
AU Kai Tat	AVB807	Licensed Representative (Provisional Licence)	1, 2
AU-YEUNG Siu Yin	AVC068	Licensed Representative (Provisional Licence)	1, 2
AU-YEUNG Tin Lung, Tino	AVB806	Licensed Representative (Provisional Licence)	1, 2
BAEK June Seok	AJC640	Licensed Representative (Provisional Licence)	1, 2
BAEUERLE Dagmar	AVC059	Licensed Representative (Provisional Licence)	1
BAIRSTOW Hayden Peter	AUZ522	Licensed Representative (Provisional Licence)	4
BARBA Romain, Pierre, Dragoslav	AVC249	Licensed Representative (Provisional Licence)	1
BHARGAVA Nalin	AVA353	Licensed Representative (Provisional Licence)	1
BOEDING Jacob Francis	AVC255	Licensed Representative (Provisional Licence)	1, 2, 7
BOULAY Nicolas Philippe	AQI395	Licensed Representative (Provisional Licence)	1, 2, 5
BREWIS James Calver	AVC743	Licensed Representative (Provisional Licence)	1
BROWNE Daniel Joseph	AVC916	Licensed Representative (Provisional Licence)	1
BUCHER Michael Bernhard	AVB883	Licensed Representative (Provisional Licence)	1
BURCIER Clement Jacques	AVA515	Licensed Representative (Provisional Licence)	1, 7
CANTLEY Louisa May	AVC982	Licensed Representative (Provisional Licence)	1, 2
CAO Min	AVA087	Licensed Representative (Provisional Licence)	4
CENDRON Ken Damien	AVC112	Licensed Representative (Provisional Licence)	1, 2
CHAN Chi Hang	AVA036	Licensed Representative (Provisional Licence)	1, 2
CHAN Chi Man	AVA790	Licensed Representative (Provisional Licence)	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHAN Chun Wah	AVA037	Licensed Representative (Provisional Licence)	1
CHAN Godwin Kwok Wai	AJO244	Licensed Representative (Provisional Licence)	1, 6
CHAN Ho Ming	ACL529	Licensed Representative (Provisional Licence)	1, 2
CHAN Hoi Kin, Derek	AUZ456	Licensed Representative (Provisional Licence)	1
CHAN Hon Choi	AUZ738	Licensed Representative (Provisional Licence)	1
CHAN Ka Man, Karmen	AVB849	Licensed Representative (Provisional Licence)	1, 4, 6
CHAN Kit	AVA363	Licensed Representative (Provisional Licence)	1
CHAN Man Fai	AVC346	Licensed Representative (Provisional Licence)	1
CHAN Man Man	AVC914	Licensed Representative (Provisional Licence)	1
CHAN Pak Long	ARA345	Licensed Representative (Provisional Licence)	1, 2
CHAN Shu Pui	AVA786	Licensed Representative (Provisional Licence)	1, 2
CHAN Shuk Mei	AVA545	Licensed Representative (Provisional Licence)	1, 6
CHAN Tak Hong	AUZ339	Licensed Representative (Provisional Licence)	1, 2
CHAN Tat Kei	AUZ927	Licensed Representative (Provisional Licence)	1, 2, 4, 9
CHANG An-chieh	AVA362	Licensed Representative (Provisional Licence)	1, 7
CHANG Fei Fu	AEV978	Licensed Representative (Provisional Licence)	1
CHANG Ho Wan	AUH451	Licensed Representative (Provisional Licence)	1
CHANG Yi Chien	AVD060	Licensed Representative (Provisional Licence)	1
CHANG Yi Chiun	AUZ931	Licensed Representative (Provisional Licence)	4
CHAPMAN Robert John	AVB805	Licensed Representative (Provisional Licence)	1, 9
CHAU Chiu Tat	AVA661	Licensed Representative (Provisional Licence)	1
CHEN Chen	AUZ701	Licensed Representative (Provisional Licence)	1, 4, 6
CHEN Chi Hung	AOX772	Licensed Representative (Provisional Licence)	1
CHEN Pengyang	AUZ740	Licensed Representative (Provisional Licence)	1, 4
CHEN Roger Guancheng	AVA035	Licensed Representative (Provisional Licence)	1
CHEN Shin-chi	AVA040	Licensed Representative (Provisional Licence)	9
CHEN Xiao	AVA602	Licensed Representative (Provisional Licence)	1, 4, 6
CHENG Chi Kin	AVA405	Licensed Representative (Provisional Licence)	6
CHENG Ivan Kwok Lueng	AGZ747	Licensed Representative (Provisional Licence)	4, 9
CHENG Karen Hiu Mei	AVC356	Licensed Representative (Provisional Licence)	1
CHENG Koon Yung Clifford	AVC086	Licensed Representative (Provisional Licence)	1, 4, 6
CHENG Pui Lam	AVC990	Licensed Representative (Provisional Licence)	1
CHENG Yat Kiu	AFP519	Licensed Representative (Provisional Licence)	1
CHENG Ying	AVA753	Licensed Representative (Provisional Licence)	1, 6
CHEUNG Fai	AVB809	Licensed Representative (Provisional Licence)	1, 2
CHEUNG Hugh Keat	AVC085	Licensed Representative (Provisional Licence)	1, 6

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHEUNG Kenneth Kai-hoi	AVA660	Licensed Representative (Provisional Licence)	1
CHEUNG On Kit, Andrew	AUZ918	Licensed Representative (Provisional Licence)	1, 4, 6
CHIABOTTI Ariste Samuel	ALW844	Licensed Representative (Provisional Licence)	1, 4, 9
CHIN To, Tony	AVA538	Licensed Representative (Provisional Licence)	1, 6
CHIU Hui-ping	ATI033	Licensed Representative (Provisional Licence)	1, 4, 6
CHONG Jack Chung-Taek	AUZ307	Licensed Representative (Provisional Licence)	1
CHONG Moon Biu, William	AGA249	Licensed Representative (Provisional Licence)	1, 2
CHOW Siu Fai	AUX351	Licensed Representative (Provisional Licence)	1, 4
CHU Kar Son	AUZ444	Licensed Representative (Provisional Licence)	1
CHUANG Hao-Yuan	AVA663	Licensed Representative (Provisional Licence)	1, 4, 6
CHUN Jung-Won	AUZ199	Licensed Representative (Provisional Licence)	1
CHUNG Heung Ling	AUZ986	Licensed Representative (Provisional Licence)	1, 4
CHUNG Howard Hau	AUZ502	Licensed Representative (Provisional Licence)	1, 4, 6
CHUNG Kwai Kuen	AFE413	Licensed Representative (Provisional Licence)	1, 2, 4, 5
CHUNG Lam Lap	ASW428	Licensed Representative (Provisional Licence)	1
CLATWORTHY David Peter	AUX131	Licensed Representative (Provisional Licence)	1, 2, 7
COHEN Ian Alexander	AVB976	Licensed Representative (Provisional Licence)	1
CRUZ Maria Concepcion Paraiso	AVB846	Licensed Representative (Provisional Licence)	1, 4
CUNNINGHAM Graeme Alexander	AUZ428	Licensed Representative (Provisional Licence)	4
Cheung Kam Shan	APE897	Licensed Representative (Provisional Licence)	1
DAVIES Anthony Miles	AAV788	Licensed Representative (Provisional Licence)	1, 2
DE MAREZ OYENS Pieter David	AJM824	Licensed Representative (Provisional Licence)	4, 9
DHUPELIA Sunil	AUW922	Licensed Representative (Provisional Licence)	1, 4, 6
DIVECHA Sachin Gangaram	ARB849	Licensed Representative (Provisional Licence)	9
DOUGLAS Andrew Francis Ramsay	AVC105	Licensed Representative (Provisional Licence)	1, 4
DUNNETT Janice	AIR860	Licensed Representative (Provisional Licence)	1, 2, 7
FENG Dawei	AUZ783	Licensed Representative (Provisional Licence)	2
FLORES Nicolas	AUZ455	Licensed Representative (Provisional Licence)	1, 2
FUNG Hao Chuen, David	AEE776	Licensed Representative (Provisional Licence)	1, 2
FUNG Ka Fai, Karfield	AEV682	Licensed Representative (Provisional Licence)	1
GANGAHAR Divya	AVA782	Licensed Representative (Provisional Licence)	1
GARIVIER Florian Pierre	AVA558	Licensed Representative (Provisional Licence)	1
GARLAND Benjamin Howard	AVA789	Licensed Representative (Provisional Licence)	1, 4, 9
GILBERT Benjamin Joseph	AVB999	Licensed Representative (Provisional Licence)	4
GILMOUR Digby Neil	AUZ660	Licensed Representative (Provisional Licence)	4
GRAVES Paul William	AVA269	Licensed Representative (Provisional Licence)	1, 6

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
GRAY Christopher James McIntyre	AQF525	Licensed Representative (Provisional Licence)	1
GROSS Steven Edward	AVA755	Licensed Representative (Provisional Licence)	1
GUAN Xue	AUZ743	Licensed Representative (Provisional Licence)	1, 4
HADDAR Leila	AVA401	Licensed Representative (Provisional Licence)	1
HAN Ta-kong	APS981	Licensed Representative (Provisional Licence)	1, 2, 4
HE Yuming	AVC261	Licensed Representative (Provisional Licence)	1, 6
HETRAKUL Kahn	AVA765	Licensed Representative (Provisional Licence)	1, 2
HO Chui Man	AVC083	Licensed Representative (Provisional Licence)	1, 2
HO Ka Yin, Karen	AMM129	Licensed Representative (Provisional Licence)	1, 2
HO Wai Hong	AVC922	Licensed Representative (Provisional Licence)	1, 2
HO Yin Lam	AUZ366	Licensed Representative (Provisional Licence)	9
HORIAI Koji	AVC265	Licensed Representative (Provisional Licence)	1, 2
HORNMARK Erik Taro	AUZ795	Licensed Representative (Provisional Licence)	1, 2, 7
HSIEH Wei-Hong	AVC357	Licensed Representative (Provisional Licence)	4, 9
HSIUNG Diane	AED403	Licensed Representative (Provisional Licence)	9
HSU Li Fei	AVA787	Licensed Representative (Provisional Licence)	1, 4
HSU Sheng-hsiu	AUZ080	Licensed Representative (Provisional Licence)	1
HU Congli	AVA047	Licensed Representative (Provisional Licence)	4
HUANG Chien-Jui	AVA600	Licensed Representative (Provisional Licence)	1
HUANG Haijun	AUX601	Licensed Representative (Provisional Licence)	4, 9
HUANG Ling Kit	AVA555	Licensed Representative (Provisional Licence)	1
HUDSON Scott Lyndon	AUZ661	Licensed Representative (Provisional Licence)	4
HUI Ka Chun	AVB836	Licensed Representative (Provisional Licence)	1
HUNG Hing Fung	AVC920	Licensed Representative (Provisional Licence)	1
HWANG Seung Hyun	AVA346	Licensed Representative (Provisional Licence)	1, 2
IKEDA Hiromasa	AGO294	Licensed Representative (Provisional Licence)	4, 9
IP Andrea Victoria	AUZ168	Licensed Representative (Provisional Licence)	1, 2
IP Angel Kwok Yen	AOJ327	Licensed Representative (Provisional Licence)	1, 6
IU Wai Hing, Pius	AVC009	Licensed Representative (Provisional Licence)	1
JAIN Amit	AUZ627	Licensed Representative (Provisional Licence)	1
JHIN Jaclyn Hee Kyung	AEG186	Licensed Representative (Provisional Licence)	1, 6
JIM Sy Wah	AVA058	Licensed Representative (Provisional Licence)	1
JIN Zhenlan	AUZ984	Licensed Representative (Provisional Licence)	1, 2, 9
JUXON David James Stephen	AVA392	Licensed Representative (Provisional Licence)	1, 2, 4
KAM Tyran	AMG982	Licensed Representative (Provisional Licence)	4, 5
KAMOI Satoshi	AVA226	Licensed Representative (Provisional Licence)	1, 4, 6

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
KANG Na	AVA488	Licensed Representative (Provisional Licence)	1, 4, 6
KAO Chi Wang, Ronald	AVD112	Licensed Representative (Provisional Licence)	1, 4
KAO Chun-Bin	ANW394	Licensed Representative (Provisional Licence)	1, 4
KE Lei	AUZ498	Licensed Representative (Provisional Licence)	1, 4, 5, 9
KENYON Isabelle Taylor	AUZ781	Licensed Representative (Provisional Licence)	1, 6
KEUNDJIAN Jean-Philippe	AUZ102	Licensed Representative (Provisional Licence)	2
KHOR Pei Kee, Natalie	AVB986	Licensed Representative (Provisional Licence)	1
KIM Jongmin	AUZ227	Licensed Representative (Provisional Licence)	1
KINUGASA Tatsuya	AVB960	Licensed Representative (Provisional Licence)	1, 2
KNIGHTLEY Sofia Nala	AUX434	Licensed Representative (Provisional Licence)	1, 2
KO Cheuk Yan	AVA622	Licensed Representative (Provisional Licence)	1, 2
KONG Lingjie	AVC984	Licensed Representative (Provisional Licence)	4
KONG Xuan	AUX571	Licensed Representative (Provisional Licence)	1, 6
KOU (HUANG) Rakuhei (Leping)	AUZ066	Licensed Representative (Provisional Licence)	4
KRIEN Alexander David	AUZ544	Licensed Representative (Provisional Licence)	4
KUO Teu-wei	AUZ362	Licensed Representative (Provisional Licence)	1, 2
KUO Yen-Ting	AHK087	Licensed Representative (Provisional Licence)	1, 2
KWEK Lee Lian, Sabrina	ANZ526	Licensed Representative (Provisional Licence)	1, 4
KWOCK Shu Wai, David	AVC260	Licensed Representative (Provisional Licence)	1, 2, 7
KWOK Wai Keung	AVA491	Licensed Representative (Provisional Licence)	1
KWONG King Lok	ATM472	Licensed Representative (Provisional Licence)	1
LAI Jennifer	AVA623	Licensed Representative (Provisional Licence)	1, 2
LAI Siu Hang	AVA140	Licensed Representative (Provisional Licence)	1
LAIJAWALLA Varun	AUZ920	Licensed Representative (Provisional Licence)	1, 4
LALA Manish	AUZ529	Licensed Representative (Provisional Licence)	1, 2
LAM Hing Chiu	AUZ899	Licensed Representative (Provisional Licence)	1
LAM Ka Kang	ASO981	Licensed Representative (Provisional Licence)	1, 2
LAM Lorraine Sien-yue	AOY223	Licensed Representative (Provisional Licence)	1
LAM Ping Sum	AUZ549	Licensed Representative (Provisional Licence)	1
LAM Tai Kong	ACX894	Licensed Representative (Provisional Licence)	1
LAM Yu Fong	AUZ548	Licensed Representative (Provisional Licence)	1
LANG Yuanlin	AUZ665	Licensed Representative (Provisional Licence)	1
LAU Cho Ming, Lawrence	AKX744	Licensed Representative (Provisional Licence)	1
LAU E Lei	AVC029	Licensed Representative (Provisional Licence)	1, 2
LAU Kwai Shim	AUZ618	Licensed Representative (Provisional Licence)	1, 4
LAU Sau Fung	AVA603	Licensed Representative (Provisional Licence)	4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
LAU Wai Tak	AVC247	Licensed Representative (Provisional Licence)	1
LAU Wang Chi, Barry	AUZ162	Licensed Representative (Provisional Licence)	9
LAW Ka Man	AUX496	Licensed Representative (Provisional Licence)	1
LAW Kong Ying	AVA646	Licensed Representative (Provisional Licence)	1, 2
LEE Hun Bok	AUZ622	Licensed Representative (Provisional Licence)	4, 9
LEE Hwa Chie	AHA589	Licensed Representative (Provisional Licence)	4
LEE Joon Ho	AUZ071	Licensed Representative (Provisional Licence)	4
LEE Joseph	AQS018	Licensed Representative (Provisional Licence)	1, 6
LEE Ka Man	AVA612	Licensed Representative (Provisional Licence)	4
LEE Kihyuck	AVA556	Licensed Representative (Provisional Licence)	4
LEE Kin Pui Ada	AVB978	Licensed Representative (Provisional Licence)	1
LEE Man Hon	AVC108	Licensed Representative (Provisional Licence)	1, 4, 6
LEE Man Kui	AVC263	Licensed Representative (Provisional Licence)	1, 2
LEE Pilsang	AUZ621	Licensed Representative (Provisional Licence)	4, 9
LEE Po Yu	AVC919	Licensed Representative (Provisional Licence)	1
LEE Roger Leonard	AVB844	Licensed Representative (Provisional Licence)	1
LEE Tak Mong, Felix	AHV479	Licensed Representative (Provisional Licence)	1
LEITNER Evan George Walter	AVA403	Licensed Representative (Provisional Licence)	4
LEUNG Chi Wai	AFC478	Licensed Representative (Provisional Licence)	1
LEUNG Fung Man	ASP987	Licensed Representative (Provisional Licence)	1, 4
LEUNG Hok Sum	AVC996	Licensed Representative (Provisional Licence)	1, 2, 4, 5, 9
LEUNG Kit Yin	AJB230	Licensed Representative (Provisional Licence)	1, 4, 9
LEUNG See Ho	ADG716	Licensed Representative (Provisional Licence)	1, 2, 4
LEUNG Yee Kan	AVA624	Licensed Representative (Provisional Licence)	1
LI Bei	AUX239	Licensed Representative (Provisional Licence)	9
LI Chiu Yee	AJY016	Licensed Representative (Provisional Licence)	1, 4, 6
LI Hon Wai Anthony	AUV625	Licensed Representative (Provisional Licence)	1, 4
LI James Ziming	AOI915	Licensed Representative (Provisional Licence)	1, 4, 6
LI Jingyi	AUZ372	Licensed Representative (Provisional Licence)	1, 4, 6
LI Kin Keung	AHA933	Licensed Representative (Provisional Licence)	1, 2, 4
LI Wai Sum	AVA618	Licensed Representative (Provisional Licence)	1, 4
LI Xiaofeng	ANS226	Licensed Representative (Provisional Licence)	1, 4
LI Xin	AVA785	Licensed Representative (Provisional Licence)	1
LI Ya	AUZ702	Licensed Representative (Provisional Licence)	1, 4, 6
LI Yuhang	AVC985	Licensed Representative (Provisional Licence)	1, 6
LI Zheng	APN589	Licensed Representative (Provisional Licence)	1, 4, 6

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
LIANG Mei-Chen	AOU073	Licensed Representative (Provisional Licence)	1
LIAROKAPIS Vassiliki	AUZ230	Licensed Representative (Provisional Licence)	1, 2, 7
LIN Chia-huei	ANQ172	Licensed Representative (Provisional Licence)	1, 2, 4, 5
LIN Grant Chuan	AVC262	Licensed Representative (Provisional Licence)	1, 6
LIN Tiyuan	AUZ758	Licensed Representative (Provisional Licence)	1
LLOYD Jonathan Ceri	ADG111	Licensed Representative (Provisional Licence)	1
LO Bo Yee	AVA659	Licensed Representative (Provisional Licence)	1
LO Chun Kit	AVC989	Licensed Representative (Provisional Licence)	1
LO Pui Man	AJD641	Licensed Representative (Provisional Licence)	1
LO Wai Man, Betty	AVC010	Licensed Representative (Provisional Licence)	1
LU Zhuo	AVC087	Licensed Representative (Provisional Licence)	1, 4, 6
LUK Ka Lam	AVB830	Licensed Representative (Provisional Licence)	1
LUO Qian	AVA418	Licensed Representative (Provisional Licence)	4
MA Huan	AUZ788	Licensed Representative (Provisional Licence)	6
MA Lingzhen	AVA361	Licensed Representative (Provisional Licence)	1, 6
MAK Wai Hang, William	AUZ473	Licensed Representative (Provisional Licence)	1, 2
MANCINI Mark Francis	AVA348	Licensed Representative (Provisional Licence)	1, 2
MARKOSOV Suren Gueorgui	AMI359	Licensed Representative (Provisional Licence)	4
MASSRY Caesar Paul	AVC030	Licensed Representative (Provisional Licence)	1, 4
MELLOR Eric Peter	AVA504	Licensed Representative (Provisional Licence)	1, 4, 9
MILLER Scott William	AVC099	Licensed Representative (Provisional Licence)	1, 6
MING Si	AUZ746	Licensed Representative (Provisional Licence)	1, 6
MIRANDA Vivek Mario	AVA349	Licensed Representative (Provisional Licence)	1, 4, 6
MITCHELL Lars Stefan	AVC008	Licensed Representative (Provisional Licence)	4
MITCHELL Patrick Callahan	AVA493	Licensed Representative (Provisional Licence)	1
MUKHOPADHYAY Niladri	AVA639	Licensed Representative (Provisional Licence)	1
NEMOTO Yoko	ARJ940	Licensed Representative (Provisional Licence)	1, 2
NG Charlotte Hoi Yin	AUZ348	Licensed Representative (Provisional Licence)	4
NG Ka Man	AUZ729	Licensed Representative (Provisional Licence)	1
NG Kai Sum Houston	AUZ932	Licensed Representative (Provisional Licence)	1, 4, 6
NG Kar Ying	AVC986	Licensed Representative (Provisional Licence)	1
NG Wai Yin, Ray	AVA352	Licensed Representative (Provisional Licence)	1, 2
NG Yat Wing, Athena	AVC918	Licensed Representative (Provisional Licence)	1, 6
NGAI Hoi Shan	AVC111	Licensed Representative (Provisional Licence)	4, 9
NGAI Sing Lung	AQY372	Licensed Representative (Provisional Licence)	1
NOJIMA Susumu	AUT633	Licensed Representative (Provisional Licence)	1, 2

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
OH Wookjin	AUZ619	Licensed Representative (Provisional Licence)	4, 9
OOMMAN Amrita Elizabeth	AVA625	Licensed Representative (Provisional Licence)	1, 2
OR Chi Kwan	AVA232	Licensed Representative (Provisional Licence)	1
PARK Andrew Jai Young	AVA057	Licensed Representative (Provisional Licence)	1, 6
PARK Linda Sharon	AUZ206	Licensed Representative (Provisional Licence)	1
PATWARI Ruchi	AVB959	Licensed Representative (Provisional Licence)	4
PAUL Jonathan Matthew Wing-en	AQS184	Licensed Representative (Provisional Licence)	1, 4, 6
POON Ka Yee, Joanna	AGL868	Licensed Representative (Provisional Licence)	1, 4, 9
POON Kwun Yu	APR192	Licensed Representative (Provisional Licence)	1
POON Wai Ling, Jessica	AVD054	Licensed Representative (Provisional Licence)	1, 4
POTTER Morgan Winston Oliver	AUW127	Licensed Representative (Provisional Licence)	1
QUAH Benedict Hyacinth Siew Bin	AUZ671	Licensed Representative (Provisional Licence)	1, 4
RAMANAYAKE Maadhavi Rathnamali	AVA344	Licensed Representative (Provisional Licence)	1
RAN Peng	ANL967	Licensed Representative (Provisional Licence)	4
RAY Rajat Subhra	AVA085	Licensed Representative (Provisional Licence)	1, 2
RAZAFIMANANTSOA Sao, Nathan, Marie, Honore	AVA400	Licensed Representative (Provisional Licence)	1, 2, 7
RENOUX Olivier, Leonce, Felix	AUZ511	Licensed Representative (Provisional Licence)	1
RIGGS John West	ARO321	Licensed Representative (Provisional Licence)	1, 4, 6
RODRIGUES Johann	AUZ964	Licensed Representative (Provisional Licence)	1, 2
RODRIGUEZ Gerardo Emanuel	AVC259	Licensed Representative (Provisional Licence)	1, 2
SAGAR Akanksha	AUZ507	Licensed Representative (Provisional Licence)	1, 4
SANDOR David	AQA676	Licensed Representative (Provisional Licence)	1, 6
SEKAR Ashok Narsimhan	AVA502	Licensed Representative (Provisional Licence)	1, 2
SHEN Zhan	AUY916	Licensed Representative (Provisional Licence)	4
SHERIDAN Richard Leo	AUE091	Licensed Representative (Provisional Licence)	1
SHI Ran	AVC359	Licensed Representative (Provisional Licence)	1, 4
SHIN Dong Kee	AKJ967	Licensed Representative (Provisional Licence)	1, 4
SHU Lai Yi	AMS605	Licensed Representative (Provisional Licence)	1
SIN Kwok Wing	AUE469	Licensed Representative (Provisional Licence)	1
SIU Ronald	ARP041	Licensed Representative (Provisional Licence)	1, 6
SO Kwan Yee	AUZ985	Licensed Representative (Provisional Licence)	1, 4
SO Pak Chee, Percy	AVB954	Licensed Representative (Provisional Licence)	1, 6
SONG Yunbo	AVA408	Licensed Representative (Provisional Licence)	1, 4
SPARROW Richard Aelred	AFK790	Licensed Representative (Provisional Licence)	1, 7
STANFORD Michael Robert	AVC115	Licensed Representative (Provisional Licence)	1
STOCKDALE Hayden John	AVA627	Licensed Representative (Provisional Licence)	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
STROVER Edward Jason	AUZ302	Licensed Representative (Provisional Licence)	1, 4
STUEDLEIN Maximilian E	AVA044	Licensed Representative (Provisional Licence)	1
SUN Chi	AUZ082	Licensed Representative (Provisional Licence)	4
SUN Liang	AUZ741	Licensed Representative (Provisional Licence)	1, 4
SUN Ming	AVC988	Licensed Representative (Provisional Licence)	4
SUN Qijia	AVC987	Licensed Representative (Provisional Licence)	4, 9
SUN Ran	AUZ782	Licensed Representative (Provisional Licence)	1, 4
SZE Wa Fung	AVC719	Licensed Representative (Provisional Licence)	1, 2
TAM Kwok Ching, Tony	AUZ547	Licensed Representative (Provisional Licence)	1
TAN Li Chin	AUZ620	Licensed Representative (Provisional Licence)	1, 6
TANG Chi Hung	AUZ930	Licensed Representative (Provisional Licence)	1
THOMSON Stuart Douglas Peter	AUZ195	Licensed Representative (Provisional Licence)	1
TOOHEY Daniel Paul	AUZ521	Licensed Representative (Provisional Licence)	4
TSAI Tzu-Lin	AUZ445	Licensed Representative (Provisional Licence)	1
TSANG Chun Wai	ATL969	Licensed Representative (Provisional Licence)	1
TSANG Shan	AVB835	Licensed Representative (Provisional Licence)	1
TSANG Siu Yan, Patrick	AVA038	Licensed Representative (Provisional Licence)	1
TSE Wing Lam, Michelle	AVB832	Licensed Representative (Provisional Licence)	1, 6
TSENG Hsu-Liang	AVA234	Licensed Representative (Provisional Licence)	4
TSOI Hok Chi	AVC349	Licensed Representative (Provisional Licence)	1, 2
TSUI Lai Fong	AUZ895	Licensed Representative (Provisional Licence)	1
UDING Gerardus Henricus Paulus	AUZ982	Licensed Representative (Provisional Licence)	1, 4, 9
UNESAKI Akira	AVC266	Licensed Representative (Provisional Licence)	4
UOMOTO Toshihiro	AUZ789	Licensed Representative (Provisional Licence)	1
URUMA Kuninobu	AFU106	Licensed Representative (Provisional Licence)	1
VAIDYA Tushar Shashikant	AUZ505	Licensed Representative (Provisional Licence)	4
VAN DER GRAAF Roderik Cornelis	APV504	Licensed Representative (Provisional Licence)	1, 2
VAN MEERENDONK Martin John	AUX285	Licensed Representative (Provisional Licence)	1, 2
VIJAYANT Aashutosh	AVA402	Licensed Representative (Provisional Licence)	1, 2, 7
VISWANATH Ramesh	AUZ373	Licensed Representative (Provisional Licence)	4
WALLER Martin John	AVA351	Licensed Representative (Provisional Licence)	1, 2
WANG Daina	AQU588	Licensed Representative (Provisional Licence)	9
WANG Guoguang	AUZ499	Licensed Representative (Provisional Licence)	1, 4, 5, 9
WANG Jiaying	AVA634	Licensed Representative (Provisional Licence)	1, 6
WANG Jin	AVC337	Licensed Representative (Provisional Licence)	4, 9
WANG Jun	AVA086	Licensed Representative (Provisional Licence)	1, 4, 6

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
WANG Ning	AVA354	Licensed Representative (Provisional Licence)	4
WANG Wen	AUZ790	Licensed Representative (Provisional Licence)	6
WANG Yiding	AOD298	Licensed Representative (Provisional Licence)	1
WEI Suk Po	AFS484	Licensed Representative (Provisional Licence)	1, 2
WISE Adam John	AVA399	Licensed Representative (Provisional Licence)	1
WONG Chak Wing	AVA410	Licensed Representative (Provisional Licence)	1, 4
WONG Che Shing, Nelson	AOH457	Licensed Representative (Provisional Licence)	1
WONG Chun Wai, Raymond	AEF008	Licensed Representative (Provisional Licence)	1, 2
WONG Hei Man	ANU672	Licensed Representative (Provisional Licence)	1, 4, 6
WONG Ka Yu, Matilda	AGO390	Licensed Representative (Provisional Licence)	1, 6
WONG Kim Hung	AUY918	Licensed Representative (Provisional Licence)	1
WONG Kin Ho	AUZ704	Licensed Representative (Provisional Licence)	1, 2
WONG King Wai	AVC352	Licensed Representative (Provisional Licence)	1
WONG Leah Kuen	AVC092	Licensed Representative (Provisional Licence)	4, 9
WONG Ling Wai, Geraldine	AVC121	Licensed Representative (Provisional Licence)	1
WONG Ming Lok	AVB804	Licensed Representative (Provisional Licence)	1, 2
WONG Tat Chun	AVA658	Licensed Representative (Provisional Licence)	1, 2
WONG Tin Ho	AJI703	Licensed Representative (Provisional Licence)	2
WONG Wa	AOA104	Licensed Representative (Provisional Licence)	9
WONG Wing Fung	AGG258	Licensed Representative (Provisional Licence)	1, 4
WONG Yan Mei, May	AUZ637	Licensed Representative (Provisional Licence)	1
WONG Yu Ching	AUZ623	Licensed Representative (Provisional Licence)	1
WOO Kang Yeong	AVB962	Licensed Representative (Provisional Licence)	1, 2
WU Chi Ki, Hilda	AVA638	Licensed Representative (Provisional Licence)	9
WU Hiu Fung	AOV629	Licensed Representative (Provisional Licence)	1, 2
WU Huimin	AUZ699	Licensed Representative (Provisional Licence)	1, 4
WU Lai Ping	AVC341	Licensed Representative (Provisional Licence)	1
WU Po Sing	ALZ574	Licensed Representative (Provisional Licence)	1, 4, 6
WU Yi Han	AUX618	Licensed Representative (Provisional Licence)	1
XIAO Yi	AUZ745	Licensed Representative (Provisional Licence)	1, 6
XU Hao	AVA631	Licensed Representative (Provisional Licence)	1, 6
XUE Shaofei	AVA664	Licensed Representative (Provisional Licence)	1, 2
YAN Wentao	AUV991	Licensed Representative (Provisional Licence)	1, 2
YANG Shuenn-yuh	AVA597	Licensed Representative (Provisional Licence)	1, 4, 6
YANG Tianxiao	AVA662	Licensed Representative (Provisional Licence)	1, 6
YAO Angelina See Mun	AJD521	Licensed Representative (Provisional Licence)	1, 4, 9

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
YAO Chun Yu	AVB802	Licensed Representative (Provisional Licence)	1
YEUNG Tsang Keung	ACA708	Licensed Representative (Provisional Licence)	1
YEUNG Yan Keung	AUZ917	Licensed Representative (Provisional Licence)	1
YEW Derek Chi Cheung	AVA409	Licensed Representative (Provisional Licence)	4
YIN Jason Hoeyan	AVB829	Licensed Representative (Provisional Licence)	1, 4, 6
YIP Ka Wah	AUZ919	Licensed Representative (Provisional Licence)	1
YONG Lei Fong, Louise	AUX400	Licensed Representative (Provisional Licence)	1, 2
YOUNG Rex Vincent	AUZ708	Licensed Representative (Provisional Licence)	1, 2
YU Jane Qian	AVB983	Licensed Representative (Provisional Licence)	1
YU Yajie	AUZ669	Licensed Representative (Provisional Licence)	9
YU Yan Kit, Ivan	AVC104	Licensed Representative (Provisional Licence)	1, 2, 7
YU Yang	AUZ703	Licensed Representative (Provisional Licence)	1, 4, 6
ZHANG Liang	AVA073	Licensed Representative (Provisional Licence)	1, 4
ZHANG Mo	AVC250	Licensed Representative (Provisional Licence)	1, 6
ZHANG Qi	AVA621	Licensed Representative (Provisional Licence)	1, 6
ZHANG Xiaodan	AUZ054	Licensed Representative (Provisional Licence)	4
ZHANG Yan	AVA364	Licensed Representative (Provisional Licence)	1
ZHANG Ye	AOS487	Licensed Representative (Provisional Licence)	1, 2
ZHANG Zhixiang	AVA347	Licensed Representative (Provisional Licence)	4, 9
ZHAO Mei	AVA643	Licensed Representative (Provisional Licence)	1
ZHAO Xiaosong	AUZ078	Licensed Representative (Provisional Licence)	1, 4, 6
ZHAO Yuan	AUZ791	Licensed Representative (Provisional Licence)	6
ZHONG Wenming	AUZ742	Licensed Representative (Provisional Licence)	1, 4
ZHU Jiayan	AVA093	Licensed Representative (Provisional Licence)	1, 2, 3
ZHU Qing	AUZ700	Licensed Representative (Provisional Licence)	1, 4, 6
ZHU Ying	AUZ983	Licensed Representative (Provisional Licence)	1, 4
AKIZUKI Manabu	AMM295	Licensed Representative (Temporary Licence)	4
BARATON Xavier Francois	AVC110	Licensed Representative (Temporary Licence)	1
BENNEY Matthew John	AUZ012	Licensed Representative (Temporary Licence)	1, 2
BUCKWORTH Piers Edward Grainger	AUT718	Licensed Representative (Temporary Licence)	4
CASAROTTO Renzo Virginio	AVA095	Licensed Representative (Temporary Licence)	4
CHESSUM Scott	AUW889	Licensed Representative (Temporary Licence)	4
DENFELD Jon Peter	AVA795	Licensed Representative (Temporary Licence)	4
FAY Sharon Ellen	AMC652	Licensed Representative (Temporary Licence)	4
FITZGERALD Jonas Michael Sidlauskas	AVA153	Licensed Representative (Temporary Licence)	1
GAVAGHAN Peter James	AUZ011	Licensed Representative (Temporary Licence)	1, 2

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 04/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
GODET Martial Herve Paul	ARU049	Licensed Representative (Temporary Licence)	1, 4
GONG Samuel Sangpil	ATI416	Licensed Representative (Temporary Licence)	1
HAMBRO Evy Piers George	AOR313	Licensed Representative (Temporary Licence)	1
HENWOOD Julian Peter	AVC858	Licensed Representative (Temporary Licence)	1
HULT Gun Birgitta Ellinor	AUX272	Licensed Representative (Temporary Licence)	4
IWASAWA Seiichiro	ARO888	Licensed Representative (Temporary Licence)	4
KITAZAWA Tomohiro	ANU570	Licensed Representative (Temporary Licence)	1, 2
KNIGHT Clifford Justin	AUZ508	Licensed Representative (Temporary Licence)	4
KOHTANI Motoya	ARF535	Licensed Representative (Temporary Licence)	4
LANGLEY Toby Rowan	AUY970	Licensed Representative (Temporary Licence)	4
LEUNG Yat Ping	AUZ509	Licensed Representative (Temporary Licence)	4
LEWIS Janet Barbara	ASL090	Licensed Representative (Temporary Licence)	4
LOW Bee Hooi	AVC094	Licensed Representative (Temporary Licence)	1
MACPHERSON Skye Eva	AVA096	Licensed Representative (Temporary Licence)	4
MAEDA Koichiro	AMB300	Licensed Representative (Temporary Licence)	1
MASOJADA Jolanta Bozena	AVA415	Licensed Representative (Temporary Licence)	4
MCAULIFFE James Anthony	ANL063	Licensed Representative (Temporary Licence)	1, 2
MCTAGGART Paul Joseph	AUW886	Licensed Representative (Temporary Licence)	4
MEGHJI Mohammed Azim	AUZ503	Licensed Representative (Temporary Licence)	1
MURAYAMA Makoto	AQS274	Licensed Representative (Temporary Licence)	4
NIAMATALI Gordon Yerxis	ATO809	Licensed Representative (Temporary Licence)	1
NOGUCHI Shotaro	AUZ501	Licensed Representative (Temporary Licence)	4
ODEN John Evans	AOU898	Licensed Representative (Temporary Licence)	4
RAJPAL Jai	APJ980	Licensed Representative (Temporary Licence)	1, 2, 4, 6
SALIGARI Grant Roderick	AVA416	Licensed Representative (Temporary Licence)	4
SIVASUBRAMANIAM Sivasakthi D/O	AUW890	Licensed Representative (Temporary Licence)	4
SMOCOVICH Gustavo Claudio	AUZ897	Licensed Representative (Temporary Licence)	4
SUBRAMANIAN Viswanathan R	APK593	Licensed Representative (Temporary Licence)	1, 2
SUMMERFIELD David Angus	AEP603	Licensed Representative (Temporary Licence)	1
TANAKA Hironori	ALU048	Licensed Representative (Temporary Licence)	1
TANG Teck Soon Patrick	AUZ727	Licensed Representative (Temporary Licence)	1
THIHA Mika	AUZ530	Licensed Representative (Temporary Licence)	1, 2
THONG Wai Meng Damian	ANC081	Licensed Representative (Temporary Licence)	4
YOKOYAMA Kyoichiro	AJJ625	Licensed Representative (Temporary Licence)	4
ZHANG Zi Jing	AVB848	Licensed Representative (Temporary Licence)	1, 2
ZUBER Zarko	AVA150	Licensed Representative (Temporary Licence)	1, 2