

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
ARDON Capital Management Limited	ATW854	Licensed Corporation	9
Asia Pacific Advisers Limited	ATI285	Licensed Corporation	6
BWC Forex Limited	ATR789	Licensed Corporation	3
BWC Securities Limited	ATR761	Licensed Corporation	1
Entropy Ventures (HK) Limited	ATP131	Licensed Corporation	9
Global Broker Services Limited	ATM582	Licensed Corporation	1
ICBC International Asset Management Limited	ATQ679	Licensed Corporation	4, 9
Infiniti Advantage Limited	ATS337	Licensed Corporation	9
King Tai Wealth Management Company Limited	ATW655	Licensed Corporation	9
Sophia Asset Management Limited	AUC509	Licensed Corporation	9
Sunrise Brokers (Hong Kong) Limited	ATR661	Licensed Corporation	1, 2
Tractus Asset Management Limited	ATC467	Licensed Corporation	9
Treasure Palladium Asset Management Limited	ATW939	Licensed Corporation	4, 9
Vicktor Capital (Asia) Limited	AUD698	Licensed Corporation	9
- Rahul Mani	AUB425	Licensed Representative	1, 2
AO Di	AUB994	Licensed Representative	1, 2
ASHLEY Kenneth Ryan	AUF141	Licensed Representative	1, 2
BAKER Cristy	AUA663	Licensed Representative	1
BECKETT David	AUC303	Licensed Representative	1
BEVERIDGE Neil Alexander Stewart	ATM595	Licensed Representative	1, 4
BOAS Michael Joel	AUF165	Licensed Representative	1
BRAITSCH Joseph Lawrence	AUC177	Licensed Representative	1, 2
BROWN Anthony George	APU473	Licensed Representative	1
BUSUTTIL Mark	AUC502	Licensed Representative	4
BUT Lok Wai, William	AUD882	Licensed Representative	1
BUTLER Marshall James	AUC432	Licensed Representative	4
CHAI Pinhui	ATY070	Licensed Representative	1, 4, 6
CHAK Chi Man	ANG125	Licensed Representative	4
CHAN Cheong Yip, Arnold	AUB084	Licensed Representative	2
CHAN Chun Ming	ATS761	Licensed Representative	1
CHAN Chun Yue	AUB763	Licensed Representative	1, 6
CHAN Hiu Tung	AUC496	Licensed Representative	1
CHAN Hoi Kay, Cynthia	AUB274	Licensed Representative	1
CHAN Ka Keung	ATY954	Licensed Representative	1
CHAN Kelvin Ho Lau	AUC804	Licensed Representative	1, 2
CHAN Kin Man	AUG795	Licensed Representative	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHAN Kwok Kuen	AUC309	Licensed Representative	1
CHAN Siu Wai	AUB313	Licensed Representative	1, 4
CHAN Tai Yin	AUE376	Licensed Representative	1
CHAN Tsan Tuen	AUB811	Licensed Representative	1
CHAN Wai Cheong, Arthur	AUE547	Licensed Representative	3
CHAN Wai Ho	AUD980	Licensed Representative	1, 2
CHAN Wai Kit	AUB414	Licensed Representative	1
CHAN Wai Ling	ABS687	Licensed Representative	1
CHAN Yan Kit, Kenny	AOT666	Licensed Representative	6
CHAN Yue Yan	AGH925	Licensed Representative	4, 5, 9
CHAN Yuen Ting, Sharon	AUC490	Licensed Representative	1
CHANG Kai-Wei	AUB770	Licensed Representative	4
CHAO Chen-Ping	AUB317	Licensed Representative	1
CHAP Shuk Yin, Victina	AMX106	Licensed Representative	4
CHAU Siu Nin	AAZ002	Licensed Representative	4, 9
CHEN Jui-Fen	AUB995	Licensed Representative	1
CHEN Shu-Lin	AUD565	Licensed Representative	4
CHEN Xin	AUF158	Licensed Representative	4, 9
CHEN Yayuan	AUC865	Licensed Representative	4
CHEN Yin-Rio	AUG874	Licensed Representative	1, 4
CHENG Fu Leung	AUD241	Licensed Representative	1
CHENG Fuk Kam, David	AUE238	Licensed Representative	3
CHENG Ka Wai, Mimi	ANR101	Licensed Representative	1
CHENG Kai Tak	AGD666	Licensed Representative	1, 4
CHENG Shing	AUF159	Licensed Representative	1
CHENG Wan Nok	AUC827	Licensed Representative	4
CHENG Yan Ting	AUC961	Licensed Representative	1, 4
CHENG Yau Shing	AUD507	Licensed Representative	2
CHEUNG Amanda Sin Man	AUC319	Licensed Representative	1
CHEUNG Fuk Shing Chris	AUA486	Licensed Representative	1
CHEUNG Ming Tak	AGP486	Licensed Representative	1, 2
CHIANG Venant	AIB743	Licensed Representative	4
CHIANG Yat Ming	AUG232	Licensed Representative	1
CHIN Lok Ki	AIG213	Licensed Representative	1, 4
CHIN Reginald Alvin	AUE426	Licensed Representative	1
CHIU Cheuk Fung	AUB921	Licensed Representative	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHO Jihyong	AUD274	Licensed Representative	1
CHOI Yiu Kuen	AUD157	Licensed Representative	1
CHOO Chye Hong, Elaine	AUC991	Licensed Representative	1
CHOONG Wai Kee	AUB435	Licensed Representative	4
CHOU Yi-ling	AUB112	Licensed Representative	1
CHOW Ho Shan, Vanessa	ATY491	Licensed Representative	1, 4, 6
CHOW King Hop	AUH452	Licensed Representative	1
CHOW Kon Fai, Brandon	AUD355	Licensed Representative	1, 2
CHOW Man Lung	AUG236	Licensed Representative	1, 2
CHOW Yuk Chun	AUD239	Licensed Representative	1, 2
CHOY Chi Hai, Calvin	AUA252	Licensed Representative	4, 9
CHRISTANTO Mira	APQ405	Licensed Representative	4, 9
CHU Cheuk Hin, Henry	AUC315	Licensed Representative	1, 2
CHU Christopher	AQD399	Licensed Representative	4
CHU Jeng Yeu	ANU812	Licensed Representative	1
CHU Sau Ming	AEJ665	Licensed Representative	1
CHUA Julian Kok Keong	AUB438	Licensed Representative	4
CHUANG Kai Yuk	ATY494	Licensed Representative	4
CHUI Chris Hiu Lung	AUA990	Licensed Representative	1
CHUN Kwan Lok	AUH666	Licensed Representative	1
CHUNG Cliff	AUA978	Licensed Representative	1
CHUNG Kai Shing, Raymond	ADO794	Licensed Representative	1, 4, 5, 9
CHUNG Michael	AUC505	Licensed Representative	1
CHUNG Mo Yee	AUC353	Licensed Representative	4, 9
COLL Christine Lee	AUE427	Licensed Representative	1, 2, 4, 5
COLLETT Michael James	AUB134	Licensed Representative	1
CONNOLLY Mark John	AUG726	Licensed Representative	1
CONRAN Graham Brian	AUB111	Licensed Representative	1, 4, 6
COOPER Peter Robert	AUG742	Licensed Representative	1
COUTU Pierre	AUG883	Licensed Representative	1, 4, 9
CUNNINGHAM Jeremy James Warren	AQS229	Licensed Representative	1
CURRAN Ross Niall	AUC499	Licensed Representative	4
DAVID Martin	ASF044	Licensed Representative	1, 2
DAVISON Nathan Luke	AUD693	Licensed Representative	1, 2, 4, 5
DEL ROSARIO Annabelle Zayco	AUB119	Licensed Representative	1, 2
DHAR Manoj	AUI031	Licensed Representative	1, 4

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CE Name	CE No.	Licence Type	Types of Regulated Activity
DING Yong	APP054	Licensed Representative	9
DU Qian	AUG612	Licensed Representative	1, 4
FANG Peter	AUD627	Licensed Representative	1, 4, 6
FENG Xinyan	AUG611	Licensed Representative	1
FLOCK Heath Adam	AUA246	Licensed Representative	9
FONG Ching	AUG626	Licensed Representative	1
FONG Pui Wai	AUA447	Licensed Representative	1
FU Chi Kin	AQN688	Licensed Representative	1
FU Chong	AUD159	Licensed Representative	1, 4, 6
FUNG Ka Wo Stephen	AUC494	Licensed Representative	1, 4
FUNG Kin Wai	AUC495	Licensed Representative	4, 5
FURUSHO Takaaki	AJK610	Licensed Representative	1
GAO Caiyun	AUD011	Licensed Representative	1
GAO Weiwei	AUG877	Licensed Representative	9
GEOERGE Anthony	AUC974	Licensed Representative	1
GILES Peter Andrew	AUE560	Licensed Representative	1
GONZALEZ VILAVECCHIA Manuel	AUC314	Licensed Representative	1, 2
GRAHAM Oliver Frederick	ATY567	Licensed Representative	1, 2
HAYASE Takahiro	AUE611	Licensed Representative	1, 2
HEADY Robert Christopher	AUD083	Licensed Representative	1, 4
HO Ka Fai	AUF116	Licensed Representative	3
HO Tai Wai	AGA308	Licensed Representative	1, 2
Ho Wing Yee	ATW454	Licensed Representative	1
HO Yuet Yu	AUD235	Licensed Representative	1, 9
HU Hsing Chi	AFD973	Licensed Representative	1
HU Jiguang	AUC306	Licensed Representative	1, 6
HUANG Lihua	ATH748	Licensed Representative	1
HUI Wilfred Ka Tsun	AUG333	Licensed Representative	1, 2
HUNG Cheung Wai	AUD695	Licensed Representative	9
HUNG Lok Kwan	AUB816	Licensed Representative	1
IM Chun Fung	AUD629	Licensed Representative	1
IP Shun Yin	AMK305	Licensed Representative	1, 2
JACOBSEN Russell James	AOG291	Licensed Representative	1, 4
JACOBSON John Brennan	ACV752	Licensed Representative	1, 2
JIN Jun	AUG273	Licensed Representative	1, 4
JIN Tao	AUG130	Licensed Representative	4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
KAMAL WONG Ken Arieff Wong Bin	AUB436	Licensed Representative	4
KAPOOR Kapil	AFM611	Licensed Representative	1, 2, 4, 9
KAPOOR Vishal	AUC312	Licensed Representative	1, 6
KEE Man Kit	AID482	Licensed Representative	1
KIM Namhyun	AUG697	Licensed Representative	1
KITAMURA Irene Rika	AUG696	Licensed Representative	1
KO Chen-I	AOP151	Licensed Representative	1
KO Chi Chiu	AUB463	Licensed Representative	1
KOH Miang Chuen	AUA678	Licensed Representative	1
KOHL Mario	AUE808	Licensed Representative	2
KOK Sen Kan	AUC483	Licensed Representative	1
KOON Wai Chi, Teresa	AUG277	Licensed Representative	4
KOT Richard	AUB975	Licensed Representative	1, 2, 7
KOTECHA Vikesh	AUA341	Licensed Representative	1, 2
KOURETAS Panagiotis	ATY493	Licensed Representative	1
KU Seungha	AUB439	Licensed Representative	1, 4
KUO Che-Jung	ALT954	Licensed Representative	1, 4
KWAN Cheuk Shing	AUE415	Licensed Representative	1
KWAN Chin Pang	AUG320	Licensed Representative	4
KWAN Kai Ching	AUC126	Licensed Representative	4
KWAN Pik Lin	AUE413	Licensed Representative	1
KWEE Su-lin	AUA988	Licensed Representative	1
KWONG Kwok Shing	AUG602	Licensed Representative	1
LAI Cheuk Hong	APA137	Licensed Representative	6
LAI Wai Chung, Vincent	AUB940	Licensed Representative	1
LAI Wing Suet	ATY357	Licensed Representative	1, 2, 9
LAM Chin Fung, Haywood	AUC761	Licensed Representative	1
LAM Fung Ling	AUC354	Licensed Representative	4
LAM Tze Lok	AUC924	Licensed Representative	1, 2
LAM Wah Sho	AUC829	Licensed Representative	4
LAM Yin Ki	AUC923	Licensed Representative	1
LAU Ho Wai	AUA677	Licensed Representative	1
LAU Hon Hing	AUA750	Licensed Representative	1, 4, 9
LAU Jacky Chun Ho	AUG743	Licensed Representative	1, 2
LAU Ka Yeung	AUG571	Licensed Representative	4
LAU Lap Shing	AUG638	Licensed Representative	1

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CE Name	CE No.	Licence Type	Types of Regulated Activity
LAU Sin Ting	AUC173	Licensed Representative	4
LAU Yeung Wah, Eva	AUC237	Licensed Representative	4, 9
LAW King Wai	AUG577	Licensed Representative	1
LAWRENCE Andrew John	AEC577	Licensed Representative	4
LEE Chi Wai, Alice	AUD247	Licensed Representative	4
LEE Chun Ming	AME417	Licensed Representative	1
LEE Eugene Keng Yew	AUC307	Licensed Representative	1, 6
LEE James	ARE814	Licensed Representative	1, 4, 6
LEE Ka Ho, Ronald	ATX677	Licensed Representative	4, 9
LEE Kwan Kin	ARQ982	Licensed Representative	1, 2
LEE Ming-min	AUE713	Licensed Representative	4
LEE Pei-yu	AUA472	Licensed Representative	1
LEE Sangwoo Scott	AUC498	Licensed Representative	4
LEE Steven Wai	ADW512	Licensed Representative	1
LEE Tsz Hang	AUB813	Licensed Representative	1
LEE Wai Hung, Isaac	AUD171	Licensed Representative	1, 2
LEE Wing Yee	AJI405	Licensed Representative	1
LEONG Chin Pang, Lester	ADA406	Licensed Representative	1
LEUNG Chun Pui	AUC491	Licensed Representative	1, 2
LEUNG Hoi Tung	AHW149	Licensed Representative	1, 4, 6, 7, 9
LEUNG Hoi Yan, Florence	AUC830	Licensed Representative	4
LEUNG Hung Sing	AUC949	Licensed Representative	6
LEUNG Hung Ying	AUG900	Licensed Representative	1
LEUNG Po Man, Phyllis	AUG875	Licensed Representative	1
LEUNG Pui Yee	AUD079	Licensed Representative	4
LEUNG Suk Yee	AUH259	Licensed Representative	1
LEUNG Wah Pun	AOG839	Licensed Representative	4
LI Angela Lai Yeung	AUG267	Licensed Representative	4
LI Fung Mei	AUD324	Licensed Representative	1, 2
LI Jing	AUG569	Licensed Representative	4
LI Ka Yiu	AUC295	Licensed Representative	1
LI Wai Ho, Alvan	AUD643	Licensed Representative	1
LIAUW Shu Ling	AUC500	Licensed Representative	4
LIE Suet Ching	ALZ559	Licensed Representative	4
LIEW Yew Wah	AET878	Licensed Representative	9
LIM Siu Liang, Shaune	AUB441	Licensed Representative	1, 2, 7

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
LIN Chin-fen	AUC654	Licensed Representative	4, 9
LIN Yu-Ting	AUA690	Licensed Representative	1, 6
LIU Lili	AUE545	Licensed Representative	4
LIU Rong-Rong	AUC396	Licensed Representative	4, 9
LIU Wanyun	AUE706	Licensed Representative	9
LIU Xi	AUG468	Licensed Representative	4
LIU Zhi Chen	AUA343	Licensed Representative	1, 4, 6
LIU Zhiyi	AUE099	Licensed Representative	4
LO Cheuk Chung	AUD648	Licensed Representative	1
LO King Yiu	AUE441	Licensed Representative	4
LO Wai Hin Wyndham	AUI028	Licensed Representative	1, 2
LO Wai Kwok Belinda	AUC170	Licensed Representative	1, 2
LO Yee Man	AUH450	Licensed Representative	1
LOK Chun Sing	AOA392	Licensed Representative	6
LOONG Yuen Tung, Cara	AUB981	Licensed Representative	1, 2
LOYER Leonard Benoit Julien Emile	AUD564	Licensed Representative	1, 2
LU Xiaoxun	AGB117	Licensed Representative	4
LUK Herman Hoi Man	ATY562	Licensed Representative	1, 2
MA Kei Yu, Carey	AUG233	Licensed Representative	1
MA Michelle Qiaoqiao	ARB952	Licensed Representative	4
MA Tak Wah	AUD467	Licensed Representative	1
MAISONNEUVE Virginie Monique	ANA059	Licensed Representative	1
MAK Hiu Tung	AUE443	Licensed Representative	4
MAK Man Lee	AUC508	Licensed Representative	1
MCCORMICK Neil John	ATX904	Licensed Representative	1, 2
MEDEARIS Matthew Holmes	AOB305	Licensed Representative	4, 9
MICHELFEIT Franziska	AUE863	Licensed Representative	2
MINARIA Steffie	AUB433	Licensed Representative	1, 4, 6
MOK Gunda	AUC825	Licensed Representative	4
MOSES Anthony Soloman	ATR664	Licensed Representative	1, 2
MURPHY Laura Claire	AUC921	Licensed Representative	1
NAGARAJAN Diviya	AUC175	Licensed Representative	4
NAKAMURA Ryoko	AUD563	Licensed Representative	4
NARVAEZ Hermenegildo Zayco	AUD354	Licensed Representative	4
NEBOUT Alexandre Stanislas Thierry	AUH910	Licensed Representative	1
NG Chau	AUE403	Licensed Representative	1

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CE Name	CE No.	Licence Type	Types of Regulated Activity
NG Ka Kin	AUA995	Licensed Representative	1, 2
NG Lok Lam	AGH954	Licensed Representative	1, 4
NG Pang Chak	AUE239	Licensed Representative	1, 2
NG Siu Kay, Kenneth	AUD248	Licensed Representative	4
NG Siu Kei	AUD457	Licensed Representative	1
NG Wing Leung	AUE951	Licensed Representative	1, 2
NG Yuen Ling	AUE236	Licensed Representative	4, 9
ONG Cheng Choo, Cilicia	ALF737	Licensed Representative	1, 4
ONG Peck Har, Shirley	AOL527	Licensed Representative	2
OU Hsueh Hua	AUB551	Licensed Representative	1
OUYANG Jinwen	AUI664	Licensed Representative	4, 9
PANG Man Wai	ARD488	Licensed Representative	4, 9
PANG Suk Yee, Fiona	AUC416	Licensed Representative	1
PANG Tsi Him, Clayton	AUD240	Licensed Representative	1, 2
PATEL Vijaykumar Thakorbbhai	AUE790	Licensed Representative	2
PENG Mei	ATX628	Licensed Representative	1
PENG Vivian R	AUF131	Licensed Representative	1
PHILIPPIDES Dimitri	AUD986	Licensed Representative	2
POON Wai Lun Alan	AUC492	Licensed Representative	6
POON Wing Leung	AUC296	Licensed Representative	1
QU Yang	ATP186	Licensed Representative	4, 9
RAMINENI Anvesh	AUE198	Licensed Representative	1, 6
RASHEED Jibraan Ali	AUD064	Licensed Representative	1, 2
REN Shanshan	AUC485	Licensed Representative	9
RHEE Jung Ho	ARN043	Licensed Representative	1, 4
RIBEIRO Mauricio Ferreira Meira	AUC957	Licensed Representative	1, 4
ROYAL Carol	AUB786	Licensed Representative	4
SAMUELL Darren John	AJB856	Licensed Representative	1, 4, 7
SCONYERS Melissa Beth	AUD887	Licensed Representative	1
SHAO Jin	APS743	Licensed Representative	1
SHCHELKANOV TSEVA Tatiana	AUF143	Licensed Representative	1
SHEN Wenwen	AUC831	Licensed Representative	4
SHIM Kwun Fung	APL958	Licensed Representative	1, 4
SHIN Ching Hei	AUE478	Licensed Representative	1
SHU Yow Jen	AOE449	Licensed Representative	9
SIN Man Shing	ALW310	Licensed Representative	1, 2

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CE Name	CE No.	Licence Type	Types of Regulated Activity
SIN Wai Kit	AUG957	Licensed Representative	9
SIQUEIRA Marcos Luiz Vertovsek Mariano	AUC252	Licensed Representative	1
SMITH Nicholas James	AUE009	Licensed Representative	1
SONG Qiuyun	ARN146	Licensed Representative	1, 6
SONG Sujin	AQN418	Licensed Representative	1, 4
SONG Xiao Wei	AUC824	Licensed Representative	4, 9
STEEL Murray Joseph	AUA735	Licensed Representative	1, 2, 3
STOKES Nicholas Peter	AUE005	Licensed Representative	1
SU Hou-ho	AUB386	Licensed Representative	1
SUEN Chak Yeung	AUB978	Licensed Representative	1
SUGIMOTO Chiaki	AUD991	Licensed Representative	3
SUN Kwan	ACR901	Licensed Representative	1, 6
SUN Kwok Yee	AGO267	Licensed Representative	1
SUN Ran	AUG329	Licensed Representative	1, 4
SUN You Ning	AUB924	Licensed Representative	1, 4
SURRENCY Richard Charles	AUC988	Licensed Representative	1
SZE Mei Kei	AUG796	Licensed Representative	4
SZNAJDER Samuel	AUD249	Licensed Representative	1
TAKAGI Atsushi	ALU038	Licensed Representative	1
TAM Chi Ming	AUD272	Licensed Representative	1, 4
TAM Lok Ming	AUC058	Licensed Representative	1
TAM Pui Sun	AUA989	Licensed Representative	1
TAN Boon Tiong	ATY168	Licensed Representative	1, 2, 7
TAN Jason Hwee Leong	ATY169	Licensed Representative	1, 2, 7
TAN Meng Teik	AST781	Licensed Representative	1
TAN Siew Hoon	ATX509	Licensed Representative	1, 2
TANG Annie On Yee	AUC316	Licensed Representative	1, 2
TANG Justin Pakson	ATY280	Licensed Representative	4
TANG Kin Man	APS886	Licensed Representative	1
TANG Mingzhu	AQQ678	Licensed Representative	1, 4, 9
TANG Tsz Yan, Candy	AUC178	Licensed Representative	4
TANG Wai Yin	AUD893	Licensed Representative	1, 2
TAO Shi	AGS762	Licensed Representative	4, 9
TENG Cheng-Yueh	AQW512	Licensed Representative	1
TIAN Tian	AUE477	Licensed Representative	4
TO Yuet Kei	AUA742	Licensed Representative	1, 2

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CE Name	CE No.	Licence Type	Types of Regulated Activity
TOMPKINS John G	ANK430	Licensed Representative	1, 7
TONG Min	AUE442	Licensed Representative	4
TONG Sunny Chun Kit	AUC176	Licensed Representative	4
TREMAINE Katharine Hall	AUC799	Licensed Representative	1
TROPPER Giselle Natalia	AUA249	Licensed Representative	1, 2
TSAI Yi-Tang	AUB319	Licensed Representative	1
TSANG Hung Fai	AUD149	Licensed Representative	1
TSANG Kin Ning	AUD016	Licensed Representative	4, 9
TSANG Tai Wai	AUA827	Licensed Representative	1
TSANG Tsz Ming	ATY495	Licensed Representative	1, 2
TSE Chak Lam, Calvin	ADF969	Licensed Representative	4, 5, 9
TSE Tsz Kit	AUD977	Licensed Representative	1
TSOI Chin Pang	AUB775	Licensed Representative	1, 2, 3
TSUI Ursula Yee Har	AUB434	Licensed Representative	4, 5, 9
WANG Phyllis Kimberley	AUG794	Licensed Representative	1
WANG Tianshi	ASD063	Licensed Representative	1
WANG Xu	AUB753	Licensed Representative	1, 4, 6
WANG Xueying	AUB987	Licensed Representative	4
WEI Xuyue	AUD628	Licensed Representative	1, 4, 6
WERNERT Jeremy David	AEN823	Licensed Representative	1
WILSON David Andrew	AFS219	Licensed Representative	4
WILSON James Brett	ATY326	Licensed Representative	6
WONG Cheuk Lam	AUA501	Licensed Representative	1
WONG Chi Hung	AUC501	Licensed Representative	1
WONG Chi Lok	ATY747	Licensed Representative	1
WONG Ching Yip	ARP033	Licensed Representative	1
WONG Chiu Wa	AUC397	Licensed Representative	1
WONG Chun Wing	AUD220	Licensed Representative	1
WONG Chung Hang	AUE986	Licensed Representative	1, 4
WONG Fai Yue, Edward	AUB971	Licensed Representative	4, 5, 9
WONG Man Kin	AUE241	Licensed Representative	1, 2
WONG Man Kin	AUG882	Licensed Representative	1, 2
WONG Nga Chun, Carol	AUG326	Licensed Representative	4
WONG Nim Chi	AUC504	Licensed Representative	3
WONG Po Kwan	AUC497	Licensed Representative	1
WONG Pui Yew, Florence	AQP585	Licensed Representative	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
WONG Tak Yee, Theresa	AAI332	Licensed Representative	1, 4, 6
WONG Tip Yan	AUE221	Licensed Representative	1
WONG Tsz Kwan	AUC179	Licensed Representative	4
WONG Wai Shan	AUA951	Licensed Representative	1
WONG Wing Kwai	AUD771	Licensed Representative	4, 9
WONG Yee Wah	AUD257	Licensed Representative	1
WOO May Kay, Angela	AUC926	Licensed Representative	1
WU Ching Hon	AUG330	Licensed Representative	4
WU Dimian	AUD303	Licensed Representative	4, 9
WU Gongliang	AOE644	Licensed Representative	4
WU Yi-Ning	AUB993	Licensed Representative	1
WU Zheng	AUA237	Licensed Representative	6
WU Zhenhao	AUG747	Licensed Representative	1
XIANG Xi	AUC503	Licensed Representative	4
XING Maosheng	AKJ354	Licensed Representative	1, 2
XU Lingfei	AUA962	Licensed Representative	9
XU Ping	ALI016	Licensed Representative	4
XU Qing	AUC278	Licensed Representative	1, 6
YANG Hsien-Yu	AUC293	Licensed Representative	1
YANG Jun	AUC305	Licensed Representative	1
YAO Jiang	AUD162	Licensed Representative	1, 2
YAO Lingling	AUB188	Licensed Representative	1
YAU Kwun Fung	AUG224	Licensed Representative	1
YAU Man Wing	ATY275	Licensed Representative	1
YAU Song, Christine	AUD238	Licensed Representative	1, 4
YE Mingyuan	AMJ300	Licensed Representative	1
YEUNG Chak Nam	AUC990	Licensed Representative	1
YEUNG Pui Yi, Annie	AMJ191	Licensed Representative	1, 2
YEUNG Sau Wan	AUG127	Licensed Representative	1
YEUNG Ting Wai	AUD258	Licensed Representative	1, 2, 3
YEUNG Yeuk Kei	AEE400	Licensed Representative	1, 2
YEUNG Yuk Chow, Dennis	APZ521	Licensed Representative	1
YI Ju	AUA758	Licensed Representative	2
YI Qiao	ARF827	Licensed Representative	4
YIN Yin	ATY281	Licensed Representative	1
YIU Chi Wai	AUB977	Licensed Representative	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
YIU Yu Cheung	AUD251	Licensed Representative	1, 2
YU Li	AUG327	Licensed Representative	1, 4
YU Qiaowei	AUB986	Licensed Representative	4
YU Yik Yan	AUC297	Licensed Representative	1, 4
YUAN Hao	AUD136	Licensed Representative	1, 6
YUAN Quan	AUG278	Licensed Representative	1, 4
YUE Kin Hang	AUD246	Licensed Representative	4
YUNG Muk Tsz	AUB778	Licensed Representative	4
ZHAN Tao	AQZ719	Licensed Representative	1
ZHANG Harvey Yang	AUA521	Licensed Representative	1, 2, 7
ZHANG Xiaoyu	AUG323	Licensed Representative	1, 4
ZHANG Yongxin	AUG265	Licensed Representative	4, 9
ZHAO Qing	AUC516	Licensed Representative	4
ZHAO Quanquan	AUC119	Licensed Representative	1
ZHAO Sheng	AUE973	Licensed Representative	4, 9
ZHAO Yuhong	AGO215	Licensed Representative	4, 6
ZHOU Bo	AUA987	Licensed Representative	1, 6
ZHOU Cheng	AUC405	Licensed Representative	4
ZHOU Nan	AUC948	Licensed Representative	1, 4, 6
ZHOU Xiao Tong	AUD078	Licensed Representative	1, 4
ZHU Li	AUC251	Licensed Representative	1
ZHU Minyue	AUE243	Licensed Representative	1
ZIELEMAN Tara Jessica	AUE399	Licensed Representative	1
ZWEMER Margit Pavlath	AUC318	Licensed Representative	1, 2, 7
AURELLE Antoine Alexandre	ATR663	Licensed Representative - Responsible Officer	1, 2
AU-YEUNG Wai Kai, Angus	AJH211	Licensed Representative - Responsible Officer	6
BAI YE Feng	AOG103	Licensed Representative - Responsible Officer	9
CHAN Foet Sen, Tjoeti	ATY071	Licensed Representative - Responsible Officer	1, 2
CHAN Kai Tai	ANP988	Licensed Representative - Responsible Officer	9
CHAN Sum Yee, Sylvia	AMU347	Licensed Representative - Responsible Officer	9
CHAN Wai-Shin	AUA469	Licensed Representative - Responsible Officer	9
CHEN Dong	AUI402	Licensed Representative - Responsible Officer	4, 9
CHIU Sai Tong	ACO937	Licensed Representative - Responsible Officer	4, 9
FANJAUD Xavier Paul Christian	AJG155	Licensed Representative - Responsible Officer	9
FONG Ka Wing, Andrew	AMW761	Licensed Representative - Responsible Officer	1, 2, 9
FUNG Ka Shun, Kevin	AAX840	Licensed Representative - Responsible Officer	9

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
GAYER Madhu Kanth	ATS216	Licensed Representative - Responsible Officer	1
HARMAN Simon Devereux Clement	ATR662	Licensed Representative - Responsible Officer	1, 2
KAN Kou Ming	AIC203	Licensed Representative - Responsible Officer	1
KWONG Chi Kong, Andy	ADV456	Licensed Representative - Responsible Officer	3
LEE Kai Man	ATY454	Licensed Representative - Responsible Officer	4, 9
LEE Weihan	AGN723	Licensed Representative - Responsible Officer	6
LI Shui Hong	AHK070	Licensed Representative - Responsible Officer	3
LI Sze Tang	ABE752	Licensed Representative - Responsible Officer	1, 4, 6
MAY William Fergus Seaburne	AOR311	Licensed Representative - Responsible Officer	9
SHEARER Ian Kevin	ATS339	Licensed Representative - Responsible Officer	9
WONG Wai Kwan, Anna	ATI146	Licensed Representative - Responsible Officer	1, 2, 3
YEUNG Yun Pui, Antonio	AFC124	Licensed Representative - Responsible Officer	9
YUNG Kwai Fong	ADK444	Licensed Representative - Responsible Officer	9
AICARDI Jean-francois	AUJ793	Licensed Representative (Provisional Licence)	1, 2, 4
AKASAKA Naoko	AUI047	Licensed Representative (Provisional Licence)	4, 9
ALBANESE II Louis Francais	AUC929	Licensed Representative (Provisional Licence)	1, 4, 6
ARGYRIDES Mario	AUI171	Licensed Representative (Provisional Licence)	1
ASHLEY Kenneth Ryan	AUF141	Licensed Representative (Provisional Licence)	1, 2
ASHTON Scott Randall	ACC199	Licensed Representative (Provisional Licence)	1
AU Ki Lun	AUI280	Licensed Representative (Provisional Licence)	1
AU Shui Leung	AUI431	Licensed Representative (Provisional Licence)	4
BADLANI Reena Jawahar	AUJ915	Licensed Representative (Provisional Licence)	1, 2, 4, 9
BAJPAI Jayanti Shankar	AEV502	Licensed Representative (Provisional Licence)	1, 4, 6
BAKER Edward James	AUI994	Licensed Representative (Provisional Licence)	1, 2
BEDAWI Nagi	AUJ252	Licensed Representative (Provisional Licence)	1, 4
BERMEJO Philippe	AUH272	Licensed Representative (Provisional Licence)	2
BESSON Florent	AUI988	Licensed Representative (Provisional Licence)	1, 7
BHADRA Sagar	AUI981	Licensed Representative (Provisional Licence)	1, 4, 6
BI Ye	AUH561	Licensed Representative (Provisional Licence)	9
BOAS Michael Joel	AUF165	Licensed Representative (Provisional Licence)	1
BRET Severine-Laurence Caroline	AUH263	Licensed Representative (Provisional Licence)	2
BYWORTH Richard Anthony	AUF080	Licensed Representative (Provisional Licence)	1, 2
CAMPBELL Alexander Roderick	AUG899	Licensed Representative (Provisional Licence)	4, 9
CAZAUBIEL Paul Charles Roger	AUK294	Licensed Representative (Provisional Licence)	1
CHA Gyeongmin	AUG884	Licensed Representative (Provisional Licence)	1, 4, 6
CHAN Chun Kong	AUL595	Licensed Representative (Provisional Licence)	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHAN Chun Tat, Alfred	AUC171	Licensed Representative (Provisional Licence)	4
CHAN Dixon	AUL684	Licensed Representative (Provisional Licence)	1, 2
CHAN Hoi Kong, Brian	AUJ313	Licensed Representative (Provisional Licence)	4
CHAN Kin Man	AUG795	Licensed Representative (Provisional Licence)	1
CHAN Lai Ying	AUE985	Licensed Representative (Provisional Licence)	4, 5, 9
CHAN Man Fung	AUE707	Licensed Representative (Provisional Licence)	1, 4
CHAN Pun Kong	AUJ424	Licensed Representative (Provisional Licence)	1
CHAN Siu Ying	AUJ215	Licensed Representative (Provisional Licence)	1
CHAN Tsz Shing Spenser	AUK266	Licensed Representative (Provisional Licence)	1
CHAN Yan	AUG812	Licensed Representative (Provisional Licence)	1
CHAN Yat Tan	AUI433	Licensed Representative (Provisional Licence)	1, 2
CHAN Yuen Bui	AUG873	Licensed Representative (Provisional Licence)	1
CHANG Hsun-Chih	AUG806	Licensed Representative (Provisional Licence)	4
CHAU Chi Tong	AUI928	Licensed Representative (Provisional Licence)	1
CHAU Kwong Lui	AUI437	Licensed Representative (Provisional Licence)	1, 2
CHAU Po Yuen	AUL685	Licensed Representative (Provisional Licence)	1, 2
CHAU Sai Cheong	AUH275	Licensed Representative (Provisional Licence)	1
CHEN Chi Ho	AUI937	Licensed Representative (Provisional Licence)	1, 2
CHEN Hsin-shu Branden	AUK172	Licensed Representative (Provisional Licence)	4
CHEN Taotao	AUK286	Licensed Representative (Provisional Licence)	1, 2
CHEN Tse Wei, Geoffrey	AHR045	Licensed Representative (Provisional Licence)	4
CHENG Ka Ho	AUJ853	Licensed Representative (Provisional Licence)	1
CHENG Shu Yuen	AIS494	Licensed Representative (Provisional Licence)	9
CHEUNG King Fai	AUH631	Licensed Representative (Provisional Licence)	1, 2
CHEUNG Ngai	AUI051	Licensed Representative (Provisional Licence)	1, 2
CHEUNG Sze Ting, Jessie	AFN580	Licensed Representative (Provisional Licence)	1, 7
CHEUNG Tsz Wei, Michele	AQI408	Licensed Representative (Provisional Licence)	1, 2
CHEUNG Victor Chor Keung	AUH716	Licensed Representative (Provisional Licence)	6
CHEUNG Wang Fat	AUI883	Licensed Representative (Provisional Licence)	1, 2
CHEUNG Ying Lok	AUJ314	Licensed Representative (Provisional Licence)	4, 9
CHEUNG Yung Yung, Annie	AEW947	Licensed Representative (Provisional Licence)	1
CHIANG Hui-Chen	AUH933	Licensed Representative (Provisional Licence)	1
CHIU Jonathan Chun Yip	AUK261	Licensed Representative (Provisional Licence)	1, 2
CHIU Man Ho	AUI275	Licensed Representative (Provisional Licence)	1, 2
CHOI Hon Wai, Allen	AUH944	Licensed Representative (Provisional Licence)	1, 2
CHOI Yunna	ANB474	Licensed Representative (Provisional Licence)	1, 6

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHOUILLET Laurent	AUI381	Licensed Representative (Provisional Licence)	1, 2
CHOW King Hop	AUH452	Licensed Representative (Provisional Licence)	1
CHOW Man Lung	AUG236	Licensed Representative (Provisional Licence)	1, 2
CHUANG Shu-Chuan	AUE868	Licensed Representative (Provisional Licence)	1
CHUN Kwan Lok	AUH666	Licensed Representative (Provisional Licence)	1
CHUNG Chak Man	APH261	Licensed Representative (Provisional Licence)	1, 2
CONNOLLY Mark John	AUG726	Licensed Representative (Provisional Licence)	1
COOPER Peter Robert	AUG742	Licensed Representative (Provisional Licence)	1
COUTU Pierre	AUG883	Licensed Representative (Provisional Licence)	1, 4, 9
COWAN Paul Anthony John	AUC914	Licensed Representative (Provisional Licence)	1
DAVIDS Mark Robert John	AUE966	Licensed Representative (Provisional Licence)	4, 5, 9
DHAR Manoj	AUI031	Licensed Representative (Provisional Licence)	1, 4
DIALDAS Anand	ALD236	Licensed Representative (Provisional Licence)	1, 2, 4, 9
DONG Zimeng	AUI206	Licensed Representative (Provisional Licence)	9
DOU Ruirui	AUH943	Licensed Representative (Provisional Licence)	1
DOWLAND Richard Adetokunbo	AUH913	Licensed Representative (Provisional Licence)	2
DRIESSEN Sven Jorgen	AUI033	Licensed Representative (Provisional Licence)	1, 2
DSOUZA Vanessa Agnes	AUJ958	Licensed Representative (Provisional Licence)	1, 4
DU Qian	AUG612	Licensed Representative (Provisional Licence)	1, 4
DUJARDIN Nicolas, Guillaume	AUJ687	Licensed Representative (Provisional Licence)	1, 2
FAN Kin Ngai	AUI158	Licensed Representative (Provisional Licence)	1
FEI Xiang	AOV610	Licensed Representative (Provisional Licence)	1
FENG Xinyan	AUG611	Licensed Representative (Provisional Licence)	1
FONG Ching	AUG626	Licensed Representative (Provisional Licence)	1
FONG Chun Kit, Alexander	AUI793	Licensed Representative (Provisional Licence)	1
FUJII Ken	ABM992	Licensed Representative (Provisional Licence)	1, 2, 4, 5
FUNG Man Tak	AUJ066	Licensed Representative (Provisional Licence)	1
GALEA Ronald Francis	AUG567	Licensed Representative (Provisional Licence)	1, 2
GAO Weiwei	AUG877	Licensed Representative (Provisional Licence)	9
GARNER Jonathan Frederick	AUE987	Licensed Representative (Provisional Licence)	1
GARREAU Vincent Olivier	AUI992	Licensed Representative (Provisional Licence)	1, 2, 7
GAUTIER DE CHARNACE Arthur Bernard Jean Marie	AUJ425	Licensed Representative (Provisional Licence)	1
GHOSH Anandomoy	ALL099	Licensed Representative (Provisional Licence)	1, 2
GHOSH Soujit	AOJ195	Licensed Representative (Provisional Licence)	1, 2
GILES Peter Andrew	AUE560	Licensed Representative (Provisional Licence)	1
GITTUS Richard Alan	AAK404	Licensed Representative (Provisional Licence)	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
GLOVER Jethro Alexander John	AED015	Licensed Representative (Provisional Licence)	1, 2
GOO Hanna	AUH579	Licensed Representative (Provisional Licence)	4
GOODWIN Douglas Samuel	AUI207	Licensed Representative (Provisional Licence)	1, 2
GRAHAM William James Angus	ALA252	Licensed Representative (Provisional Licence)	4
GUO Yupeng	AMK101	Licensed Representative (Provisional Licence)	1
HART Matthew Edward	AUI290	Licensed Representative (Provisional Licence)	1
HATTANGDI Geetika	AUJ927	Licensed Representative (Provisional Licence)	1, 2, 4
HE Jia	AOJ239	Licensed Representative (Provisional Licence)	4
HE Wei	ARP598	Licensed Representative (Provisional Licence)	4
HEER Jasdeep Singh	AUI675	Licensed Representative (Provisional Licence)	1, 2
HO Chung-Yeng	AUH936	Licensed Representative (Provisional Licence)	1, 2
HO Kam Hung	AUJ460	Licensed Representative (Provisional Licence)	1
HO Wai Wan, Vivien	AUI394	Licensed Representative (Provisional Licence)	4
HONGSUWAN Natravee	AUI205	Licensed Representative (Provisional Licence)	4
HSU Wen-Tang	ANP629	Licensed Representative (Provisional Licence)	1
HU Lingling	AUI056	Licensed Representative (Provisional Licence)	1, 4
HUANG Pei-Hsuan	AUH256	Licensed Representative (Provisional Licence)	1, 4
HUANG Yan	AUI679	Licensed Representative (Provisional Licence)	1
HUEN Tak Pan, Philip	AUH257	Licensed Representative (Provisional Licence)	1, 4
HUNG CHOI Grecia Wing Yee	ARU588	Licensed Representative (Provisional Licence)	1, 2, 3
HUNG Kap Keung	AUG766	Licensed Representative (Provisional Licence)	1
IANKOVA Nedialka Dimova	AUI026	Licensed Representative (Provisional Licence)	1, 4, 6
IP Kar King, Kenneth	ACP180	Licensed Representative (Provisional Licence)	1, 2
IP Kong Fung	AUI998	Licensed Representative (Provisional Licence)	1
ISHIBASHI Katsumi	AUG572	Licensed Representative (Provisional Licence)	4, 9
ISHIDA Sosuke	AUH911	Licensed Representative (Provisional Licence)	2
JAMESON Robert Welch	AUF139	Licensed Representative (Provisional Licence)	4
JIANG Zhicheng	AUG887	Licensed Representative (Provisional Licence)	1, 4
JIN Tao	AUG130	Licensed Representative (Provisional Licence)	4
JOORIS Dominique M.	AUI976	Licensed Representative (Provisional Licence)	1
JUDD Cameron Paul	AUG332	Licensed Representative (Provisional Licence)	1
JUEN Kam Wing	AUI996	Licensed Representative (Provisional Licence)	1
KANG Kyung Mo	AUG575	Licensed Representative (Provisional Licence)	4
KAPOOR Kapil	AFM611	Licensed Representative (Provisional Licence)	1, 2, 4, 9
KATO Masayuki	AUK158	Licensed Representative (Provisional Licence)	1, 4, 6
KHAN Imran	AUJ803	Licensed Representative (Provisional Licence)	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
KIM Irene Yang	AUG652	Licensed Representative (Provisional Licence)	4
KIM Namhyun	AUG697	Licensed Representative (Provisional Licence)	1
KITAMURA Irene Rika	AUG696	Licensed Representative (Provisional Licence)	1
KLOISER-JONES Jeremy Stuart	AUG623	Licensed Representative (Provisional Licence)	1
KO Ka Fai, Philip	AUH553	Licensed Representative (Provisional Licence)	1
KO So Sum	ASD076	Licensed Representative (Provisional Licence)	1
KOJIMA Kyoko	AUG573	Licensed Representative (Provisional Licence)	4, 9
KONG Tak Kwan	AUI049	Licensed Representative (Provisional Licence)	1
KOON Wai Chi, Teresa	AUG277	Licensed Representative (Provisional Licence)	4
KU Wai	AUI279	Licensed Representative (Provisional Licence)	1, 2
KUI Yingchun	AOU648	Licensed Representative (Provisional Licence)	1, 4, 6
KWAN Oi Yee	AUK260	Licensed Representative (Provisional Licence)	1, 2
KWOK Tsz Ching	AUH399	Licensed Representative (Provisional Licence)	1
KWOK Tsz Chung	AUK433	Licensed Representative (Provisional Licence)	4
LAI Fai Yeung	AUH727	Licensed Representative (Provisional Licence)	1
LAM Hung Kai	ACZ478	Licensed Representative (Provisional Licence)	1, 2
LAM Pui Fan	AUK448	Licensed Representative (Provisional Licence)	1, 4, 6
LAM Suen Kit	AIL177	Licensed Representative (Provisional Licence)	1
LAU Hin Cheung	AUK242	Licensed Representative (Provisional Licence)	4
LAU Lap Shing	AUG638	Licensed Representative (Provisional Licence)	1
LAU Siu Cheong	AUI274	Licensed Representative (Provisional Licence)	1, 2
LAU Tse Chiang, Carlson	AUI150	Licensed Representative (Provisional Licence)	1, 9
LAU Tsz Chun	AUL596	Licensed Representative (Provisional Licence)	1
LAUNAY Thomas	AUG654	Licensed Representative (Provisional Licence)	1, 2, 7
LAW Robert Balbir	AUI078	Licensed Representative (Provisional Licence)	4
LEE Kar Woon, Karen	AQI268	Licensed Representative (Provisional Licence)	1, 2
LEE Ngan Anh	AEL574	Licensed Representative (Provisional Licence)	1, 4
LEE Yin Ping	AUI783	Licensed Representative (Provisional Licence)	1
LEUNG Hing Man	AUH927	Licensed Representative (Provisional Licence)	1
LEUNG Hung Ying	AUG900	Licensed Representative (Provisional Licence)	1
LEUNG Man, Johnson	AUI268	Licensed Representative (Provisional Licence)	1, 4, 9
LEUNG Ngo Sheung	AUI676	Licensed Representative (Provisional Licence)	1, 2
LEUNG Suk Yee	AUH259	Licensed Representative (Provisional Licence)	1
LEWIS Nicholas John	AUJ419	Licensed Representative (Provisional Licence)	1, 2
LI Anthony Sze-Long	AUK438	Licensed Representative (Provisional Licence)	1, 4, 6
LI Jing	AUG569	Licensed Representative (Provisional Licence)	4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
LI Lei	AUG807	Licensed Representative (Provisional Licence)	4
LI Lili	AUG973	Licensed Representative (Provisional Licence)	4
LI Na	AUI489	Licensed Representative (Provisional Licence)	1, 2
LI Shanshan	AUJ405	Licensed Representative (Provisional Licence)	4
LI Siu Ying, Freda	AKV283	Licensed Representative (Provisional Licence)	1
LI Sze Wai, Nicholas	AUJ959	Licensed Representative (Provisional Licence)	1, 2
LI Xihua	AUI662	Licensed Representative (Provisional Licence)	1
LI Yuk Wa	AUJ264	Licensed Representative (Provisional Licence)	1
LIAUW Shu Ling	AUC500	Licensed Representative (Provisional Licence)	4
LIEW Yew Wah	AET878	Licensed Representative (Provisional Licence)	9
LIN Ming-Jung	AUG886	Licensed Representative (Provisional Licence)	1
LIN Yang-ming	ANQ718	Licensed Representative (Provisional Licence)	1
LIU Jason Chee Lai	AUI480	Licensed Representative (Provisional Licence)	1
LIU Kit Ling	AUI936	Licensed Representative (Provisional Licence)	1, 2
LIU Rui	ATJ183	Licensed Representative (Provisional Licence)	1
LIU Shih-Hun	ASX532	Licensed Representative (Provisional Licence)	1, 2
LIU Wenyun	AUI940	Licensed Representative (Provisional Licence)	1
LO Wai Hin Wyndham	AUI028	Licensed Representative (Provisional Licence)	1, 2
LO Yee Man	AUH450	Licensed Representative (Provisional Licence)	1
LOU Chung-te	ANT228	Licensed Representative (Provisional Licence)	9
LU Chibin	AUI023	Licensed Representative (Provisional Licence)	9
LU Xiaoxun	AGB117	Licensed Representative (Provisional Licence)	4
LUI Tsz Fong	AUK119	Licensed Representative (Provisional Licence)	1, 2
LUK Chi Fung Dennis	AUK264	Licensed Representative (Provisional Licence)	1
LUK Chun Pong Andrew	AUL608	Licensed Representative (Provisional Licence)	1, 2
LURIE Mattan Hillel	ANB366	Licensed Representative (Provisional Licence)	1
MADDOCK Julian Paul	AUH900	Licensed Representative (Provisional Licence)	2
MAI Siwei	AUJ127	Licensed Representative (Provisional Licence)	2
MAK Po Man	AGL178	Licensed Representative (Provisional Licence)	1, 2
MAK Wai Yee	AUI938	Licensed Representative (Provisional Licence)	1, 2
MARSDEN Matthew Owen	AMA934	Licensed Representative (Provisional Licence)	4
MAU Jason Ka Hang	AUK137	Licensed Representative (Provisional Licence)	1, 2
MIYAMOTO Tsutomu	AUJ263	Licensed Representative (Provisional Licence)	4
MO Jiao	AUK245	Licensed Representative (Provisional Licence)	4, 9
MOK Hin Ting	AUJ961	Licensed Representative (Provisional Licence)	1
MOK Joseph	AUG919	Licensed Representative (Provisional Licence)	1, 4, 6

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
MOK Long Sang	AUL590	Licensed Representative (Provisional Licence)	1, 2
MONCUIT Bertrand Hubert	AUH273	Licensed Representative (Provisional Licence)	2
MONTEUX Oriane Gabrielle Anne	AUI993	Licensed Representative (Provisional Licence)	1, 2, 7
MU Er	ASL540	Licensed Representative (Provisional Licence)	1, 4, 6
MUIR Thibault Jean Paul	AMR678	Licensed Representative (Provisional Licence)	1, 2
NEARY James Joseph	AQE987	Licensed Representative (Provisional Licence)	1
NEBOUT Alexandre Stanislas Thierry	AUH910	Licensed Representative (Provisional Licence)	1
NG Fong Chun	AFG500	Licensed Representative (Provisional Licence)	1, 4, 9
NG Ngan Sum	AUH924	Licensed Representative (Provisional Licence)	1
NG Pui Wah	AUI678	Licensed Representative (Provisional Licence)	1
NG Siu Ngong, Anson	AHA002	Licensed Representative (Provisional Licence)	4, 9
NG Tze Hong	AUI453	Licensed Representative (Provisional Licence)	4
NGAI Ting Huen	ACI584	Licensed Representative (Provisional Licence)	1, 2
NING Ning	AUK246	Licensed Representative (Provisional Licence)	4, 9
NING Tak Bong	AUI979	Licensed Representative (Provisional Licence)	1, 2
O'DONNELL Loretta Maura	AUA695	Licensed Representative (Provisional Licence)	4
OH Kuan Yu	AUI149	Licensed Representative (Provisional Licence)	4
OH Minsok	AUI148	Licensed Representative (Provisional Licence)	4
O'SULLIVAN Gerard William	AUI817	Licensed Representative (Provisional Licence)	1
PERRETT David Michael	AFF191	Licensed Representative (Provisional Licence)	1, 2
PHILIPPIDES Dimitri	AUD986	Licensed Representative (Provisional Licence)	2
POOL Jonathan Michael	AMU497	Licensed Representative (Provisional Licence)	4
POON Shun Shing	AMP561	Licensed Representative (Provisional Licence)	1
POON Wai Yip	AUI080	Licensed Representative (Provisional Licence)	1, 2
PURDIE Ross Kenyon	ABS450	Licensed Representative (Provisional Licence)	1
QIU Jialiang	AUJ975	Licensed Representative (Provisional Licence)	1, 2
QIU Shirley	ARN136	Licensed Representative (Provisional Licence)	1, 6
REN Jia	ASF520	Licensed Representative (Provisional Licence)	1, 6
ROMA Olivier Norbert Gaston	AUJ134	Licensed Representative (Provisional Licence)	1, 2
RONG Baiding	AUJ708	Licensed Representative (Provisional Licence)	4
ROSSWICK Benjamin Simeon Henry	AUJ409	Licensed Representative (Provisional Licence)	1, 2
SAJNANI Roshan	AUH912	Licensed Representative (Provisional Licence)	1
SARGEANT Ronald Thomas	ALZ314	Licensed Representative (Provisional Licence)	1
SEMIONATO BERNARDES Eduardo Henrique	AUL622	Licensed Representative (Provisional Licence)	1
SENGUPTA Ashis Kumar	AUI272	Licensed Representative (Provisional Licence)	1, 4
SHCHELKANOV TSEVA Tatiana	AUF143	Licensed Representative (Provisional Licence)	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
SHIM Kwun Fung	APL958	Licensed Representative (Provisional Licence)	1, 4
SHIMADA Shunsuke	AUH908	Licensed Representative (Provisional Licence)	1, 4
SHU Yow Jen	AOE449	Licensed Representative (Provisional Licence)	9
SIDDIQ Hassan	AUI681	Licensed Representative (Provisional Licence)	1
SINHA Raul	AUI077	Licensed Representative (Provisional Licence)	4
SIU Chun	AUK154	Licensed Representative (Provisional Licence)	1
SO Kwan	AUJ767	Licensed Representative (Provisional Licence)	1, 2
SO Wai Sang	AAC858	Licensed Representative (Provisional Licence)	1, 2
SONG Qiuyun	ARN146	Licensed Representative (Provisional Licence)	1, 6
SONNENBERG Nicholas Matthew	AUI264	Licensed Representative (Provisional Licence)	1, 2
STOKELD Craig Charles	AUI378	Licensed Representative (Provisional Licence)	1
SUN Ran	AUG329	Licensed Representative (Provisional Licence)	1, 4
SUNG Yuk Yin	APF733	Licensed Representative (Provisional Licence)	1, 4
SZE Pan Pan	AUI039	Licensed Representative (Provisional Licence)	4
SZETO Yat Kong	ANM052	Licensed Representative (Provisional Licence)	4, 9
TAI Ching	AUK182	Licensed Representative (Provisional Licence)	4
TAI Kim Chung	AUI053	Licensed Representative (Provisional Licence)	1
TAKEUCHI Katsuya	AUE023	Licensed Representative (Provisional Licence)	4
TAM Shing Tak	AUI999	Licensed Representative (Provisional Licence)	1, 2
TAN Kim Chong	ANT749	Licensed Representative (Provisional Licence)	4
TANG Chi Tat	AIB791	Licensed Representative (Provisional Licence)	4, 9
TANG Sai Keung	AUI997	Licensed Representative (Provisional Licence)	1, 2
THOMAS Hugh Ian	AUE092	Licensed Representative (Provisional Licence)	1, 6
TING Michael	AUK120	Licensed Representative (Provisional Licence)	1, 2
TLILI Mourad	AUI990	Licensed Representative (Provisional Licence)	1, 2
TO Wing Fai, Raymond	AIF602	Licensed Representative (Provisional Licence)	1
TSANG Pui Shan, Fiona	AQM087	Licensed Representative (Provisional Licence)	1
TSE Yuen Yi, Margaret	AFW095	Licensed Representative (Provisional Licence)	1
TSO Hoi Yun, Bettina	AUF148	Licensed Representative (Provisional Licence)	1
TSUI Luen On	AIB800	Licensed Representative (Provisional Licence)	1
UCHIDA Kikuko	AUG749	Licensed Representative (Provisional Licence)	1
VERGOTIS Andreas	AUI269	Licensed Representative (Provisional Licence)	1, 4, 9
VIRGONA Thomas Benjamin	AUH268	Licensed Representative (Provisional Licence)	2
VU John Bao	AUJ250	Licensed Representative (Provisional Licence)	1, 2
WAN Li	AUK434	Licensed Representative (Provisional Licence)	4
WANG Mingjun	AUI083	Licensed Representative (Provisional Licence)	1, 2

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
WANG Phyllis Kimberley	AUG794	Licensed Representative (Provisional Licence)	1
WANG Xiaoshen	AUI082	Licensed Representative (Provisional Licence)	1, 2
WONG Hiu Sing	AUJ155	Licensed Representative (Provisional Licence)	1
WONG Ka Yau	AHL492	Licensed Representative (Provisional Licence)	4
WONG Kin Shing	AUK122	Licensed Representative (Provisional Licence)	1
WONG Kwok San	AUI885	Licensed Representative (Provisional Licence)	1, 2
WONG Shih Wei	ANQ621	Licensed Representative (Provisional Licence)	1, 2
WOOD Hugo Henry	AUI775	Licensed Representative (Provisional Licence)	1, 2, 7
WU Shoukang	AUI962	Licensed Representative (Provisional Licence)	4
WU Tsz Kui	AUI946	Licensed Representative (Provisional Licence)	1, 3
YAM Andrew Tze Jim	AUH327	Licensed Representative (Provisional Licence)	1, 6
YANG Weizi	AOV058	Licensed Representative (Provisional Licence)	1, 4, 6
YANG Yipeng	AUI276	Licensed Representative (Provisional Licence)	1, 4
YAU Ka Ho	AUI151	Licensed Representative (Provisional Licence)	1
YAU Yin Hung	AUI767	Licensed Representative (Provisional Licence)	1, 2
YI Qiao	ARF827	Licensed Representative (Provisional Licence)	4
YIM Kam Ting	AUL591	Licensed Representative (Provisional Licence)	1
YOUNG Harvey Wade	AUJ768	Licensed Representative (Provisional Licence)	1, 2, 7
YU Li	AUG327	Licensed Representative (Provisional Licence)	1, 4
YUEN Hu Tone, Leslie	AUJ677	Licensed Representative (Provisional Licence)	1, 6
ZENG Keke	ARJ832	Licensed Representative (Provisional Licence)	1, 4, 6
ZENG Zhujun	ATQ773	Licensed Representative (Provisional Licence)	4
ZHANG Jiixin	AUI054	Licensed Representative (Provisional Licence)	1
ZHANG Miao	ASX296	Licensed Representative (Provisional Licence)	2
ZHANG Weirong	AUH920	Licensed Representative (Provisional Licence)	1, 2
ZHANG Wenxian	AJC736	Licensed Representative (Provisional Licence)	4
ZHANG Xiao Wei	AUK169	Licensed Representative (Provisional Licence)	1
ZHANG Xiaoyu	AUG323	Licensed Representative (Provisional Licence)	1, 4
ZHANG Yelin	AUF147	Licensed Representative (Provisional Licence)	9
ZHANG Yongxin	AUG265	Licensed Representative (Provisional Licence)	4, 9
ZHOU Qing Yuan	AUJ674	Licensed Representative (Provisional Licence)	4
ZHU Shengchu	AUI034	Licensed Representative (Provisional Licence)	1, 9
ZHU Xuhua	AUK284	Licensed Representative (Provisional Licence)	1
ZOU Qinghong	AUI949	Licensed Representative (Provisional Licence)	4, 9
CANT Nicholas James	AUG885	Licensed Representative (Temporary Licence)	1
HAGANUMA Chisato	AMP147	Licensed Representative (Temporary Licence)	4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 12/2009

CE Name	CE No.	Licence Type	Types of Regulated Activity
KOO Ginam	ARB440	Licensed Representative (Temporary Licence)	1, 2
LIN Lin	AUH931	Licensed Representative (Temporary Licence)	4
MILLER Christopher Patrick Leahey	AUF117	Licensed Representative (Temporary Licence)	1
NISHIMURA Shuichi	AMR969	Licensed Representative (Temporary Licence)	4
PARK Dojoon	AQS874	Licensed Representative (Temporary Licence)	1, 2
PODKOLZINE Roman	AUH269	Licensed Representative (Temporary Licence)	1, 4
SHANKAR Maureen Kelly	ASK817	Licensed Representative (Temporary Licence)	1, 4
SKURR Paul Thomas	AQS669	Licensed Representative (Temporary Licence)	1
STARKEY Andrew Phillip	AUG334	Licensed Representative (Temporary Licence)	6
WADE Keith Martin	APU790	Licensed Representative (Temporary Licence)	1
ZALAKET Michael J	AUH396	Licensed Representative (Temporary Licence)	1, 2