

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
Access Capital (HK) Limited	AVK800	Licensed Corporation	9
Avant Capital Management (HK) Limited	AUL787	Licensed Corporation	4, 9
CHINA FINANCIAL INTERNATIONAL INVESTMENTS & MANagements LIMITED	AVG770	Licensed Corporation	9
CMB International Capital Limited	AVM940	Licensed Corporation	1, 6
Essence Corporate Finance (Hong Kong) Limited	AVL376	Licensed Corporation	6
HTC Securities Company Limited	AUX080	Licensed Corporation	4
Harbour Capital Management Limited	AVP117	Licensed Corporation	9
Linz Global (HK) Limited	AVH598	Licensed Corporation	2
Pamirs Capital (H.K.) Limited	AVH546	Licensed Corporation	4, 9
Perpetuum Wealth Management Limited	AUI728	Licensed Corporation	4, 9
Pharo Management (HK) Limited	AVJ694	Licensed Corporation	9
Pinehill Capital Limited	AVR734	Licensed Corporation	9
RBC Capital Markets (Hong Kong) Limited	AVF500	Licensed Corporation	1, 4
Renaissance Capital (Hong Kong) Limited	AVI442	Licensed Corporation	1, 4
Silver Tree Hong Kong Limited	AVL205	Licensed Corporation	9
Standard & Poor's Investment Advisory Services (HK) Limited	AVO897	Licensed Corporation	4
True Partner Advisor Hong Kong Limited	AVJ699	Licensed Corporation	9
Viking Global Hong Kong Limited	AVQ325	Licensed Corporation	9
ADLER Philippe David	AVQ966	Licensed Representative	1, 4
AGARWAL Akshat	AVS185	Licensed Representative	4
ANN Yu Lung, Vincent	AVT143	Licensed Representative	1
ANUVATNUJOTIKUL Predee	AVP871	Licensed Representative	1, 2
ATKINSON Neil David	AVL149	Licensed Representative	1
AU Hon Kwong	AVP009	Licensed Representative	1
AU Wai Fung	AVU717	Licensed Representative	1
AUSTIN James Raymond	AVQ934	Licensed Representative	1, 2
BACHELIER Bruno Jean-Marie	ARE462	Licensed Representative	1, 2
BAJARIA Sejal	ATC149	Licensed Representative	1, 4
BALBIRNIE Michael James	AVS374	Licensed Representative	1
BARAM Geoffrey Ian	ANA198	Licensed Representative	1, 6
BASSETT Michael West	AVT515	Licensed Representative	1, 6
BEER Michael Thomas	AVT508	Licensed Representative	4
BENMOUSSA Hamza	AVR979	Licensed Representative	1, 2
BENTLEY Samuel Justin	AVW220	Licensed Representative	1
BERROTH Kathleen Anne	AVT201	Licensed Representative	1, 6
BESSENT Marcel Peter	AVR152	Licensed Representative	1, 2
BEUKE JR Richard Alexander	AVP169	Licensed Representative	4, 5, 9
BHARGAVA Anoop	AVS665	Licensed Representative	1
BOLTON Jennifer Sarah	AVT618	Licensed Representative	1, 6
BROOKHOUSE Simon Douglas	ADH078	Licensed Representative	1, 4
BUTLER Iain Allan	AVP706	Licensed Representative	1
BYUN Joon Ho	AVQ817	Licensed Representative	1, 2
CAI Wei	AQS045	Licensed Representative	1, 9
CAO Hui	AVM093	Licensed Representative	4
CARANGO Anthony	AQF555	Licensed Representative	1, 4, 6
CHAN Chi Fung, Michael	ADI587	Licensed Representative	9

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHAN Chun Kit	AVT034	Licensed Representative	1, 2
CHAN Chun Yin, Billy	AVR824	Licensed Representative	1
CHAN Fu Wah, Anthony	AKP780	Licensed Representative	1, 2
CHAN Hau Cheung	AVV077	Licensed Representative	1
CHAN Hay Nim, Herbert	AVT128	Licensed Representative	1, 2, 7
CHAN Kam Chuen	ATC817	Licensed Representative	1
CHAN Kwok Kuen	AVV565	Licensed Representative	1
CHAN Lung Wing	AVS382	Licensed Representative	1
CHAN Oi Yi	AVR363	Licensed Representative	1
CHAN On Lap	AVS171	Licensed Representative	1, 6
CHAN Po Ming	ACY644	Licensed Representative	1, 4
CHAN Por Ling	AVN208	Licensed Representative	1, 3
CHAN Shi Kai	AVP179	Licensed Representative	1, 2
CHAN Shui King	AVT441	Licensed Representative	1, 4
CHAN Wai Keung	AVR364	Licensed Representative	1
CHAN Wing Leong, Benny	AVQ770	Licensed Representative	1, 2
CHAN Winnie Wun-yin	AOS567	Licensed Representative	1, 4
CHAN Yiu Kei	AVF635	Licensed Representative	1
CHAN Yuk Lun, Alan	ACQ051	Licensed Representative	1, 2
CHAN Yuk Ying	ALH832	Licensed Representative	1
CHANG David Young	AVT216	Licensed Representative	1
CHANG Jian	AVT125	Licensed Representative	4
CHANG Qing	AVM700	Licensed Representative	4
CHANG Wan, Fiona	AVS668	Licensed Representative	1
CHAO Hsiao-lien	AVF628	Licensed Representative	1
CHE Keung	AVT293	Licensed Representative	4, 9
CHEAM Tze Shen	AVQ903	Licensed Representative	4
CHEN Chao	AQD781	Licensed Representative	1
CHEN Chen	AVO586	Licensed Representative	1, 2
CHEN Chi Pang, Charles	AFN279	Licensed Representative	1, 4
CHEN Di	AVO617	Licensed Representative	4, 5, 9
CHEN Hsin Yi	AQX105	Licensed Representative	1, 2
CHEN Lili	AVS380	Licensed Representative	6
CHEN Po-Chen	AVM131	Licensed Representative	1, 2
CHEN Shuyu	AVO592	Licensed Representative	1, 2
CHEN Wei Hsun	AVR022	Licensed Representative	1, 4
CHEN Xiaoxia	AVR180	Licensed Representative	4
CHEN Yani	AVS845	Licensed Representative	1, 2
CHEN Ying Ying	AVR832	Licensed Representative	1, 6
CHEN Ying-jo	AQU581	Licensed Representative	4
CHENG Chi Wai	AVO632	Licensed Representative	1, 2
CHENG King Hei	AVU714	Licensed Representative	1
CHENG Muleng	AVV506	Licensed Representative	1, 4
CHENG Sheldon	AVT315	Licensed Representative	6
CHENG Tsz Kau	AVU715	Licensed Representative	1
CHEON Byung Kyu	AVO660	Licensed Representative	1, 4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHEUNG Bun Yiu, Benny	AVR259	Licensed Representative	1
CHEUNG Chin Lam	AVU808	Licensed Representative	1
CHEUNG Hau Tsan, David	AVU719	Licensed Representative	1
CHEUNG Man Fung	AVT442	Licensed Representative	1
CHEUNG Wui Chuen	ATN999	Licensed Representative	1
CHIA Kiara Kim Szu Shyan	AVT057	Licensed Representative	4
CHIU Perry Yu Kiu	AVF636	Licensed Representative	1
CHIU Si, Mary	AOM640	Licensed Representative	1, 6
CHIU Yue Hin Ross	AVT661	Licensed Representative	1, 6
CHO Wai Yu	ASP821	Licensed Representative	1, 4
CHOI Allen	AJM479	Licensed Representative	4, 9
CHOI Chung Ping	AVS191	Licensed Representative	1
CHOI Jason Graham	AVR828	Licensed Representative	1
CHOI Ming Lung	AVS381	Licensed Representative	1
CHOU Pak Lam, Wilson	AVS588	Licensed Representative	1, 2
CHOW Lai Man	AVT288	Licensed Representative	1, 2, 4
CHOW Mei Kwan, Jolie	ANU712	Licensed Representative	1, 6
CHOW Yun Chuen	AVO560	Licensed Representative	1, 2
CHU Kingston Chun Ho	AVS195	Licensed Representative	6
CHUI Sin Heng	AVS726	Licensed Representative	6
CHUNG Ka Yuk	AVP287	Licensed Representative	1, 4, 9
CHURCH Howard	AVQ908	Licensed Representative	1
CIMA FRANCA Ramir Roque Clavano	AVS727	Licensed Representative	1, 2
COLLINS Ryan David	AVQ602	Licensed Representative	1, 2
COOPER Sarah Louise	AVR887	Licensed Representative	1, 2
COX Mark Henry	ADP699	Licensed Representative	1, 4
DAMBROSIA Christopher	AVR900	Licensed Representative	1
DEALY Tanja Alexandra	AVR357	Licensed Representative	1, 4
DENG Cuiqin	AVR640	Licensed Representative	1, 9
DENG Jingjing	AVS660	Licensed Representative	4
DERBAUDRENGHIEN Valery Guy Leon	AVT246	Licensed Representative	1
DHULDHOYA Anand Marayan	AVF625	Licensed Representative	1
DING Ding	AVR355	Licensed Representative	4
DING Nan	AVR827	Licensed Representative	1, 7
DONZE Patrick	AVP644	Licensed Representative	1, 4
DOU Xiaogin	AVS907	Licensed Representative	4
DU Weifeng	AVV544	Licensed Representative	1
DU Yunfan	AVS847	Licensed Representative	1
DUAN Xiongfei	ATL403	Licensed Representative	4, 9
ECONOMOS Andrew	APW596	Licensed Representative	1, 4, 9
ENNS Peter Currie	AVF616	Licensed Representative	1, 6
FAJARDO John Kennard Tuazon	AVO761	Licensed Representative	1
FAN Xin	AVT718	Licensed Representative	1, 6
FEATHERLY James Patrick	AVL458	Licensed Representative	1, 2, 7
FERIZIS George	AVN134	Licensed Representative	4
FERRY John Gerald	AVS806	Licensed Representative	4, 9

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
FOK Ho Wah	AVQ212	Licensed Representative	1, 4, 9
FOK Ka Kin	AVT321	Licensed Representative	1
FONG Sum Wun, Mabel	AVS888	Licensed Representative	1, 2
FU Hui Lung	AVV076	Licensed Representative	1
FU Liang	AVO628	Licensed Representative	2
FU TAK WAI	ATG942	Licensed Representative	1
FUJISAKI Daisuke	AVR204	Licensed Representative	4
FUKUSHIGE Kazuki	AVQ601	Licensed Representative	1
FUNG Ching Wan, Jackie	AOB388	Licensed Representative	1, 2
FUNG Ho Ling	AVO588	Licensed Representative	1, 2
FUNG Hoi Leuk Harry	AVU800	Licensed Representative	1, 6
FUNG Shui Ki	AVT202	Licensed Representative	1
GAI Hsin-Shan	AVV799	Licensed Representative	4
GAUDRE Sebastien Patrice	AVR367	Licensed Representative	1, 4, 9
GAVAGHAN Peter James	AUZ011	Licensed Representative	1, 2
GEARY Marc Francis Andrew	AVS841	Licensed Representative	1, 2
GILBEY Martyn Christopher	AVT443	Licensed Representative	1, 4, 9
GOH Andrew Thian Beng	AVT312	Licensed Representative	1
GOH Shao Loong, Daryl	AFM357	Licensed Representative	1
GONG YueYue	AVK929	Licensed Representative	1, 4
GOODWIN Tyler Edward	AVV974	Licensed Representative	1, 4
GOPALAKRISHNAN Sreekumar	AVT380	Licensed Representative	1, 6
GU Haibo	AFU567	Licensed Representative	1, 4
GUAN Xiyu	AVR813	Licensed Representative	2
GUEVARRA Maria Joelette T.	ADE250	Licensed Representative	1, 2
GUO Alyssa Yao	AVT200	Licensed Representative	1, 6
GUPTA Atin	AVR234	Licensed Representative	1, 2
HA Sze Wan	AVQ209	Licensed Representative	1
HAMMERTON Steve James	AVR167	Licensed Representative	1
HARRIS Robin	AHV178	Licensed Representative	1
HASEGAWA Rumiko	ADH202	Licensed Representative	1
HE Xuan	AVU788	Licensed Representative	1, 4, 6
HO Chun Yan	AVS082	Licensed Representative	1, 4
HO Gerran Chun Yin	APR258	Licensed Representative	4
HO Goldie Lok Sum	AVS902	Licensed Representative	1
HO Kam Wa	AVM928	Licensed Representative	1, 2
HO Kwan Yung	AVS378	Licensed Representative	1, 4
HO Lok Yan, Joyce	AVR836	Licensed Representative	1
HO Ming Kai	AVT080	Licensed Representative	1
HO Tsz Him	AVT617	Licensed Representative	2
HO Wai Hung	AVS572	Licensed Representative	1
HO Wai Keung	AVQ936	Licensed Representative	3
HO-HIO-HEN Christelle Nga Sok	APH286	Licensed Representative	1, 2
HOLT Antony William	AVN044	Licensed Representative	1, 6
HOLTZE Stefanie	AVF630	Licensed Representative	1
HOLZHERR Thomas Markus	AVS009	Licensed Representative	4, 9

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
HON Wing Lun	AVP857	Licensed Representative	4
HONG How Wai	AVM743	Licensed Representative	1, 2, 7
HONG Yancheng	AVS886	Licensed Representative	6
HONG Yang	AVK557	Licensed Representative	1
HSIA Colleen Chia	AVR067	Licensed Representative	1, 4
HSIEH Heng-Hui	AVR368	Licensed Representative	1, 4
HSU Chia-ling	AVT144	Licensed Representative	1
HSU Ching-Ju	AVR984	Licensed Representative	4, 9
HSU Pei-Yun	AOU393	Licensed Representative	1, 2
HUANG Hai Jack	AVS025	Licensed Representative	4, 6
HUANG Hiu Pan	AVS717	Licensed Representative	4
HUANG Jackson Kuo-kang	AVV119	Licensed Representative	1, 4
HUANG Linna	AVM457	Licensed Representative	1, 4, 6
HUANG Nan	AVK626	Licensed Representative	1, 2
HUANG Ti-Rung	AVT608	Licensed Representative	4
HUANG Yan	AVO683	Licensed Representative	1, 4, 6
HUANG Yen-Chung	AVU824	Licensed Representative	1
HUANG Yue	AVS803	Licensed Representative	6
HUANG Yue Yumi	AVT127	Licensed Representative	1, 2
HUDSON Noah John	AVV666	Licensed Representative	4
HUI Kin Mei	AVT668	Licensed Representative	1
HUI Lai Ping	AVS379	Licensed Representative	1, 4
HUI On Ki	AVS799	Licensed Representative	1
HUI Po Ming	AVU821	Licensed Representative	1
HUI Tak Wing, Victoria	AVU636	Licensed Representative	1
HUNG Kin Fai	AVR670	Licensed Representative	1
HUNG Ling Fai	AVT055	Licensed Representative	6
HUNG Steven Chun-jer	AVP898	Licensed Representative	1, 2
HUO Alina Renee	AVQ687	Licensed Representative	1, 9
IP Mei Shun	AVP618	Licensed Representative	1
IP Wai Cheuk, Raymond	AMB348	Licensed Representative	4, 9
JACKAMO II Thomas Joseph	AFD746	Licensed Representative	1, 6
JACKSON Brian William	AVF633	Licensed Representative	4
JAGNANI Ashish Satyaprakash	AVQ211	Licensed Representative	4
JAIN Ajay	AVN405	Licensed Representative	1, 2
JEN Edward Hsi-Ken	AVS823	Licensed Representative	4
JI Yehong	ALU479	Licensed Representative	1, 4, 6
JIANG Siliang	AVT505	Licensed Representative	4
JIANG Xinyu	AVS286	Licensed Representative	4
JIN Hui	AVQ821	Licensed Representative	1, 4, 6
JOSHI Prakash	AVT317	Licensed Representative	4
JUNG Hae Sun	AVR645	Licensed Representative	1, 2
KANG Jui Chi	AVI840	Licensed Representative	1
KANG Seung Won	AVR233	Licensed Representative	1, 9
KATSUTA Hisao	AEH947	Licensed Representative	1, 4, 6
KEYS Malcolm James	AVF631	Licensed Representative	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
KIM Eleanor Jungmun	AVR719	Licensed Representative	1, 4, 6
KIM Gunhoon Bonifacio Gregory	AVF627	Licensed Representative	1
KIM Sora Hahn	AVR237	Licensed Representative	1, 2
KIMURA Gen	AVR981	Licensed Representative	1, 2
KO Bo Yee	AVU832	Licensed Representative	1
KOH Jessica Mai-Han	AUN430	Licensed Representative	4, 9
KONG Jingjing	AVT298	Licensed Representative	1, 6
KONG Ki Fung	AVS637	Licensed Representative	1
KONG Weipeng	AVQ815	Licensed Representative	4, 5, 9
KORHONEN Jorma Aulis Juhani	AVP037	Licensed Representative	4, 9
KOWSKI Martina	AVR829	Licensed Representative	1, 6
KU Lai Hung	AVR238	Licensed Representative	1, 6
KU Wai Kei	AVO953	Licensed Representative	1
KU Wing Yin	ANJ493	Licensed Representative	4
KUANG Zheng	AVS739	Licensed Representative	1
KULKARNI Sanjay Gopal	AVS570	Licensed Representative	1
KUMAR Kunal	AVS825	Licensed Representative	1, 4, 6
KWAN Suk Wah, Tiffany	AVQ820	Licensed Representative	1, 4, 6
KWAN Wai Yee, Anna	AEO754	Licensed Representative	1, 4, 9
KWOK Kar Shun	AVR985	Licensed Representative	1, 2
KWOK Po Lam	AVT311	Licensed Representative	1, 2
KWOK Pui Shan	AVR006	Licensed Representative	1
KWOK Simon	AVQ920	Licensed Representative	1, 2
KWONG Hing Tung	AVT193	Licensed Representative	1
LAI Ka Wing	AVR831	Licensed Representative	1
LAI Sau Han	AVR819	Licensed Representative	1
LAI Yau Nin	AVS593	Licensed Representative	1, 2
LAM Christian Fang Yip	AVS184	Licensed Representative	1, 7
LAM Hoi Shan, Flora	AVN396	Licensed Representative	1, 4
LAM Hoi Yin, Mavis	AFR817	Licensed Representative	1
LAM Shan Ting	AVU711	Licensed Representative	1, 4
LAM Wai Ho	AVS360	Licensed Representative	1, 2
LAM Wai Kei, Denis	AVR641	Licensed Representative	1, 2
LAM Yee Ting	AVQ494	Licensed Representative	1
LAM Yeuk Lan	AVR568	Licensed Representative	1
LAM Yun Tak	AVU833	Licensed Representative	1, 2
LARCOMBE Clayton Mark	AVS126	Licensed Representative	1
LAU Chi Wai, Michael	AVT372	Licensed Representative	1, 4, 6, 9
LAU Ho Kwan	AVT792	Licensed Representative	1
LAU Hoi Yi	AJF305	Licensed Representative	1, 4, 9
LAU Jun Yuan	AVR694	Licensed Representative	1, 2
LAU Kim Hong	AVR358	Licensed Representative	1
LAU Pui Hang	AVS715	Licensed Representative	1
LAU Wai Ming, Patrick	AFM339	Licensed Representative	4, 9
LAU Wai Shing	ASD134	Licensed Representative	1
LAU Wan Yu	ANQ584	Licensed Representative	1

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CE Name	CE No.	Licence Type	Types of Regulated Activity
LAU Yiu Kee	AVT519	Licensed Representative	1, 2
LAW Nicholas Kwan Chak	ACI771	Licensed Representative	1
LAW Wai Ping	AFJ941	Licensed Representative	4
LEE Aleen Li Fei	AVS019	Licensed Representative	4
LEE Chi Hang, Edmond	AEE304	Licensed Representative	9
LEE Chi Hung, Ignatius	AVT669	Licensed Representative	1, 4
LEE Chung Man	AGF470	Licensed Representative	1, 2
LEE Hong Leung Conrad	AVS004	Licensed Representative	4, 9
LEE Ji Yeon	AVV218	Licensed Representative	1
LEE Ka Ki	AVT065	Licensed Representative	1
LEE Kin	AVO998	Licensed Representative	1
LEE Lai Fong	AVT504	Licensed Representative	1
LEE Man Fai, Matthew	AVS016	Licensed Representative	1, 2
LEE Man Keung, Paul	AVT373	Licensed Representative	1, 4
LEE Ming Yong, Kenny	AVT520	Licensed Representative	1, 6
LEE Sang Joon	AVQ789	Licensed Representative	1, 4, 6
LEE Soo Yeon	AVT452	Licensed Representative	1, 4
LEE Tsang Ming	AVS892	Licensed Representative	1, 4
LEE Yan Yan, Noel	AVV946	Licensed Representative	1
LENG Howe Szuan	AVO611	Licensed Representative	4, 5, 9
LENG Terence Hoe Lon	AVT663	Licensed Representative	1, 2
LEUNG Hei Laam	AVR439	Licensed Representative	1, 2
LEUNG Ho Kwan, Belle	ANV027	Licensed Representative	1
LEUNG Ho Ming Danny	AVV519	Licensed Representative	1, 4, 6
LEUNG Hoi Suet	AFK843	Licensed Representative	1
LEUNG Hon Ying	AVR731	Licensed Representative	1
LEUNG Ka Wai	AVT140	Licensed Representative	1
LEUNG Kai Chung	AVS361	Licensed Representative	1, 2
LEUNG Pui Man	AMC685	Licensed Representative	4
LI Cheuk Lai	AVR350	Licensed Representative	1
LI Ho Yan	AVT194	Licensed Representative	1
LI Kai Wai	AVO604	Licensed Representative	1, 2
LI Kwok Tai, James	AFS293	Licensed Representative	1, 6
LI Lam Wai	AVQ955	Licensed Representative	1
LI Sheung Lam	AOU509	Licensed Representative	6
LI Shu Pai	APP909	Licensed Representative	6
LI Shujie	AUR549	Licensed Representative	1
LI Wai Kwan	AVT036	Licensed Representative	1
LI Wen Tao	AMF359	Licensed Representative	9
LI Yin Hei, David	AVT129	Licensed Representative	1, 2, 7
LI Yuehua	AVU826	Licensed Representative	6
LI Yunguang	APJ345	Licensed Representative	4, 9
LI Zeyu	AVR560	Licensed Representative	1
LIANG Cheng Chung	AVS465	Licensed Representative	1, 2, 4
LIM Shiyun, Michelle	AVS903	Licensed Representative	1, 2
LIN Lin	AVS675	Licensed Representative	1, 6

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
LIN Sally	ALV422	Licensed Representative	1, 4, 6
LING Flora Si Mei	AVF624	Licensed Representative	1
LINMANEECHOTE Passakorn	AVR353	Licensed Representative	4
LIU Chang	AVT314	Licensed Representative	1, 6
LIU Frederick Thomas	AMJ860	Licensed Representative	9
LIU Hongcai	AVK619	Licensed Representative	2, 9
LIU Hsin-Ling	AVT439	Licensed Representative	1, 6
LIU Li	AVR897	Licensed Representative	1
LIU Liteng	AVR881	Licensed Representative	1
LIU Ming Wai, Blythe	AVQ774	Licensed Representative	1
LIU Shuo	AVL058	Licensed Representative	2
LIU Tiejun	ATC943	Licensed Representative	1, 2
LIU Wei	ANF150	Licensed Representative	1
LIU Yannan	AVQ970	Licensed Representative	1, 4, 6
LIU Ying	AVL565	Licensed Representative	1, 4, 6
LO Ho Tak	AVR437	Licensed Representative	1
LO Ka Lai	AVP174	Licensed Representative	1
LO Wai Man	AUH932	Licensed Representative	1
LOK Ka Chun	AVP896	Licensed Representative	3
LOW Eng Soon	AVU643	Licensed Representative	4
LU Hsing-Chih	AVR406	Licensed Representative	4
LU Xiaowei	AVL539	Licensed Representative	1, 4, 6
LU Yao	AVR232	Licensed Representative	1, 4
LU Ziyu	AVS021	Licensed Representative	1
LUI Man Ho	AVR392	Licensed Representative	1
LUI Yim Fun, Angela	AVW228	Licensed Representative	2
LUIJKX Adrianus Antonius	ARS080	Licensed Representative	9
LUK Ryan	AVS732	Licensed Representative	1
LUNDEN Maria Elin Birgitta	AVR394	Licensed Representative	1, 4, 6
LUO Wenan	AVT518	Licensed Representative	4
LUO Ying	AVS681	Licensed Representative	1
MA Kwok Lung	AVT322	Licensed Representative	1, 2
MA Martin	AVT521	Licensed Representative	1
MA Siqu	AVS796	Licensed Representative	1, 6
MA Tianyu	AMC941	Licensed Representative	1, 6
MA Yue Fung, Yvonne	AFJ216	Licensed Representative	1, 4
MACLEAN Hamish Alexander	ANQ332	Licensed Representative	1, 2
MAHESHWARI Vivek	AVU988	Licensed Representative	4
MAK Cassandra Frances Wai Kwun	AMN771	Licensed Representative	1, 4
MAK Kum Kok, James	AEJ839	Licensed Representative	1, 4, 9
MALY Sylvain Francois Gilbert	AVR359	Licensed Representative	2
MAO Biyu	AVV177	Licensed Representative	1, 4, 6
MAO Tianshi	AVR901	Licensed Representative	1, 4
MARTIN JR James Edward	AVN108	Licensed Representative	1, 4
MATHUR Rajat	AVQ939	Licensed Representative	1, 2
MC QUADE Ryan F	AVS364	Licensed Representative	1, 2

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
MCKEE Simon Charles	AVS029	Licensed Representative	1
MCLEAN Jenna Louise	AVS375	Licensed Representative	1
MEHTA Viraf Dinshaw	AVU840	Licensed Representative	1
MERCIER Julien, Simon	AUG478	Licensed Representative	1, 2
MICHAELS Lloyd Oliver	AVP689	Licensed Representative	1
MODI Megha	AVP647	Licensed Representative	1
MOK Ho Yuen	AVS670	Licensed Representative	3
MOLNAR Michelle	AVQ907	Licensed Representative	1
MORRISON Justin David Christopher	AVO760	Licensed Representative	1
MORVAN Christophe	AUB794	Licensed Representative	1, 2
MUNOZ PEREZ Jorge Juan	AMB433	Licensed Representative	1, 6
MUNUSAMY Naysan	AVV100	Licensed Representative	1, 2
MURRAY Francis James	AVV468	Licensed Representative	1, 6
NAIR Girish Ravindran	AVI811	Licensed Representative	1, 4
NG Fung On	AVR386	Licensed Representative	4
NG Hoi Lun	AVT323	Licensed Representative	1, 9
NG Hui Yee, Ethel	AVQ917	Licensed Representative	4
NG Siu Tung	AVU796	Licensed Representative	1
NG Wai Chung	AVU795	Licensed Representative	1
NG Wai Lap	AVO631	Licensed Representative	1
NG Wai Lee	AVT313	Licensed Representative	1, 2
NGAI To Nam	AVV214	Licensed Representative	6
NGAN Chun Yu Carter	AVS157	Licensed Representative	1
NISHITANI Tsubasa	AVS658	Licensed Representative	1
NOGAWA Keiko	AVQ935	Licensed Representative	9
NOGUCHI Ken	AVS711	Licensed Representative	1, 4, 6
OCHIAI Hiroki	AVS459	Licensed Representative	1, 4, 6
PAN Jin	AVV688	Licensed Representative	1, 2
PAN Jingjing	AVN220	Licensed Representative	1, 2
PANG Kwok Cheong, Lionel	AVY292	Licensed Representative	9
PANG Lai Chi	AVV215	Licensed Representative	6
PAO Michael Shihao	AVR356	Licensed Representative	1
PARK Andrew Jai Young	AVA057	Licensed Representative	1
PARK Charles Chansik	AME470	Licensed Representative	4
PARSONS Steven John Wilton	AVR157	Licensed Representative	1
PENG Xiaomang	AVR906	Licensed Representative	1
PENG Xin	AVT238	Licensed Representative	6
PERRY JR James Arthur	AVV200	Licensed Representative	1, 6
PETRIKAS Lukas	AVR659	Licensed Representative	4, 6
POON Kei Hong Cecil	AVV493	Licensed Representative	1, 4
POON Ying Heung Charlotte	AVS728	Licensed Representative	6
POVILAITIS Almintas	AVT506	Licensed Representative	1, 4
PRESCOTT Lewis Edward	AOQ772	Licensed Representative	1, 2
PUN Man Cheuk, Chris	APG898	Licensed Representative	1
QUEK Chin Kuan	AMG954	Licensed Representative	4
QUINLAN Christopher Paul	AVQ684	Licensed Representative	1, 9

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
RACHIDY Fahd	AVT507	Licensed Representative	1, 2
RAMSEY Michael Ryan	ALW391	Licensed Representative	1
REN Ning	AVT381	Licensed Representative	1, 6
REN Yiqiao	AVT708	Licensed Representative	4, 6, 9
REUNGSINPINYA Chak	AVR354	Licensed Representative	4
RHOADES Wing Man, Vivien	AIR404	Licensed Representative	1
ROBERTS Alistair Charles Alton	AVU825	Licensed Representative	1, 2
ROGER Stephane Serge Claude	AVM681	Licensed Representative	1, 9
RONG Yi	AVP702	Licensed Representative	4, 9
SARGEANT Ronald Thomas	ALZ314	Licensed Representative	1
SATO Shoji	AVS557	Licensed Representative	1
SCHUMERTL Raymond Victor	AVF626	Licensed Representative	1
SCHWARTZ Leo Phillip Marco	AVV768	Licensed Representative	1, 6
SCOTT Andrew David	AVR983	Licensed Representative	1, 4
SEKSARIA Rohit	AVS730	Licensed Representative	9
SHANG Ning	AVL540	Licensed Representative	1, 2
SHANG Wei	AVM526	Licensed Representative	1, 4, 6
SHARMA Vineet Kulbandhu	AFR241	Licensed Representative	4
SHARRATT David Geoffrey	AVS013	Licensed Representative	1, 2, 7
SHE Chun Chi, Kenneth	AVP366	Licensed Representative	1, 4, 6
SHEK Wing Man	AVU639	Licensed Representative	4
SHEN Benjamin Guanfu	AVS738	Licensed Representative	1, 2
SHEN Chengjie	AVQ799	Licensed Representative	2
SHEN Fei	AVS849	Licensed Representative	1, 6
SHEN Li	AVS017	Licensed Representative	1, 6
SHI Qian Ronnie	ASI187	Licensed Representative	1
SHIN Tae Shik	AVR833	Licensed Representative	1, 2
SHOU Yiwon	AUZ821	Licensed Representative	4, 9
SICKLES JR Richard Winfield	AVT522	Licensed Representative	1, 2
SIN Ka Ying	AOD822	Licensed Representative	1, 2
SINGH Saurabh Devendra	AVO929	Licensed Representative	1
SINHA Adarsh	AVQ918	Licensed Representative	1, 2, 4
SIU Yiu Han, Michael	AEE607	Licensed Representative	4
SO Hiu Tan	AVR195	Licensed Representative	1, 4
SO Pui Yu	AVR008	Licensed Representative	1
SO Tik Hong	ALN638	Licensed Representative	4, 9
SO Wan Yi	AVT320	Licensed Representative	1
SONG Ming Huay	AUW973	Licensed Representative	4
SONG Ziyi	ANT825	Licensed Representative	1, 4, 6
STEINMETZ Heiko	AVS705	Licensed Representative	1
STOPFORD SACKVILLE Charlotte Louise	AQQ114	Licensed Representative	9
SU Qi	AVT339	Licensed Representative	4
SUBRAMANIAN Viswanathan R	APK593	Licensed Representative	1, 2
SUJANANI Mahesh Shanker	AVQ397	Licensed Representative	3
SUN Fengqiang	AVS893	Licensed Representative	4
SUN Linglan	AVR735	Licensed Representative	4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
SUN Tong	AVR717	Licensed Representative	2, 5
SUN Tsz Ho	AVR347	Licensed Representative	1
SUN Yik Ting, Jacky	AVS824	Licensed Representative	1, 4
SUPORNPAIBUL Jirawat	AVT440	Licensed Representative	1, 2
SUSANTO Edward Tjahja	APF777	Licensed Representative	1, 2, 7
SUZUKI Chikako	AVT660	Licensed Representative	1
SZETO Chun Kit	ASM272	Licensed Representative	1, 2
SZETO Chung Hang	AVS794	Licensed Representative	1, 4
TAKAHASHI Shohei	AVS015	Licensed Representative	4
TAM Ching Kei, Jackie	AVP039	Licensed Representative	1, 2
TAM Kevin Kinwing	AVU956	Licensed Representative	1
TAM Wai Keung	ADM183	Licensed Representative	1
TAM Wei Yeung Sunny	AVR402	Licensed Representative	4
TAN Doreen	AAK299	Licensed Representative	1, 4
TAN Jia Hong	AVT228	Licensed Representative	1, 2
TANAKA Eiji	AQY208	Licensed Representative	1, 4, 6
TANG Man Lei	AVR839	Licensed Representative	1
TANG Matthew	AVS797	Licensed Representative	1, 4
TANG Shucheng	AVS905	Licensed Representative	4
TANG Siu Hong	AVQ802	Licensed Representative	1
TANG Yue Han	AVS022	Licensed Representative	1, 2
TANI Tomonori	AVQ428	Licensed Representative	9
TAY Ek Pon	AVQ761	Licensed Representative	1
TAY Li Choo	ALY829	Licensed Representative	1
TEO Kian Bin	AMK117	Licensed Representative	6
THOMAS Howel Gruffudd Rhys	ADS535	Licensed Representative	9
TIFFIN Philip John	AFT499	Licensed Representative	1, 2, 7
TIKHOMIROFF Cyril	ASD769	Licensed Representative	1
TING Chit Pan	AVT450	Licensed Representative	1, 2
TOH Colin Cheng Chung	AQM201	Licensed Representative	1, 2
TORRES MERCADO Hector	AVO862	Licensed Representative	4
TRINH Suehanh	AVF632	Licensed Representative	4
TSAI Juya	AVT516	Licensed Representative	1, 2
TSAI Kuan-Chi	AOK522	Licensed Representative	1, 6
TSANG Chiu Ping	AVL138	Licensed Representative	1, 6
TSANG Ho Man, Richard	AVV532	Licensed Representative	1, 4
TSANG Siu Yin	AVV078	Licensed Representative	1
TSE Chau Ming	AVR835	Licensed Representative	1
TSE On Kit	AVN180	Licensed Representative	1, 4, 6
TSE Wai Lam	ATT186	Licensed Representative	1
TSE Yin Fai	AVQ973	Licensed Representative	1
TSE Yin Fong	AVQ921	Licensed Representative	1
TSIM Tak Piu, Billy	ABS172	Licensed Representative	1
TSIM Wing Kit	AGF800	Licensed Representative	9
TSOI Kam Lui, Katy	AVR349	Licensed Representative	1
TSUI Yeuk Ting, Maggie	AVV093	Licensed Representative	1, 2, 7

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
UDAGAWA Hiroshi	AVQ207	Licensed Representative	1
VIDALE Nicholas John	AVM748	Licensed Representative	1
WAH HANSEN Louisa	AVR192	Licensed Representative	4
WAI Tak Cheung, John	AVO599	Licensed Representative	1, 2
WANG Barbara Shiuan	ACQ543	Licensed Representative	1, 9
WANG Bing	AVP276	Licensed Representative	4
WANG Donger	AVR705	Licensed Representative	4
WANG Haolu	AVS674	Licensed Representative	1, 6
WANG Hongxin	AVS571	Licensed Representative	4, 9
WANG Jian	AVM361	Licensed Representative	1, 7
WANG Nan-Yuan	AVQ919	Licensed Representative	1, 2
WANG Rui	AVP105	Licensed Representative	1, 4, 6
WANG Weijiang	AVF634	Licensed Representative	1
WANG Yuxuan	AVS196	Licensed Representative	1, 2
WATANABE Takashi	AUV517	Licensed Representative	1, 4
WATLING Claire	AVT243	Licensed Representative	1, 4
WEEKES Mark Alan Wentworth	AVQ693	Licensed Representative	1
WEI Kaiyin	AVS026	Licensed Representative	1, 9
WENG Youyi	AVV680	Licensed Representative	1, 4, 9
WHITE Mark Anthony	ALI517	Licensed Representative	1
WHITE Tamera Jane	AVQ210	Licensed Representative	1
WIGGINS Clive Richard	ATV718	Licensed Representative	4
WONG Cheuk Wing	AVR144	Licensed Representative	1, 2
WONG Chi Cheung	AVM941	Licensed Representative	1
WONG Chi Ming	ANN089	Licensed Representative	4
WONG Chor Kwan	AVS145	Licensed Representative	1
WONG Chun Kit	AGC614	Licensed Representative	1
WONG Chun Kit	AVJ133	Licensed Representative	1, 4, 6
WONG Chun Wah	AVN105	Licensed Representative	1
WONG Ka Mei	AVV109	Licensed Representative	1, 2
WONG Kwok Wang	AVR362	Licensed Representative	1
WONG Man Wai	AVQ974	Licensed Representative	1, 2
WONG Pak Yan	AMU238	Licensed Representative	4
WONG Sheung Sheung	AVR886	Licensed Representative	1, 4
WONG Steven Karjing	AVT100	Licensed Representative	4, 9
WONG Wai Hung, Paul	AGK905	Licensed Representative	1, 2
WONG Yin Ching, Avy	AKQ542	Licensed Representative	1, 2
WONG Ying Ying	AVN303	Licensed Representative	4, 9
WONG Yiu Man	ADA634	Licensed Representative	1
WONG Yun Kiu	AVT364	Licensed Representative	9
WOO Sui Lan	AVQ971	Licensed Representative	1
WU Gang	ACO850	Licensed Representative	1, 6
WU Hiu Yu, Julie	AVT141	Licensed Representative	1
WU Hong	AVM922	Licensed Representative	9
WU Jiang	AVD832	Licensed Representative	4, 5, 9
WU Kang-an	AVQ944	Licensed Representative	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
WU Xiaolin	AVV216	Licensed Representative	6
WU Yuan	AVQ206	Licensed Representative	4
XIA Ling	AVQ775	Licensed Representative	1, 6
XIAO Zhuopu	AVV209	Licensed Representative	6
XU Caihua	AVS183	Licensed Representative	4
XU Hull Hou-jun	AVS673	Licensed Representative	1, 6
XU Jiafu	AVR982	Licensed Representative	1, 6
XU Jin	AVO585	Licensed Representative	4, 9
XU Lin	AVT236	Licensed Representative	6
XU Yanwen	AVS040	Licensed Representative	1
XUE Liang	AVV678	Licensed Representative	1, 6
XUN Weiyu	AVT523	Licensed Representative	1
YAN Dong	AVM463	Licensed Representative	1, 2
YANG Da-Ching	AVV335	Licensed Representative	4, 6, 9
YANG Mei Ni	AGG980	Licensed Representative	1, 4, 9
YANG Ningning	AVR009	Licensed Representative	1, 2
YANG Shuang	AVS030	Licensed Representative	1
YAO Alex Krystal	ACS438	Licensed Representative	4
YAO Junwen	AVM524	Licensed Representative	1, 6
YAU Shuk Ching	AVR830	Licensed Representative	1
YE Hong	AVU582	Licensed Representative	1
YEH Christopher Chih-Wei	AVS363	Licensed Representative	1, 9
YEN Ming-hsing	AVS669	Licensed Representative	6
YEO Zhi Aik	AVN113	Licensed Representative	4
YEUNG Christopher	AVS805	Licensed Representative	6
YEUNG Hoi Fan	AVT192	Licensed Representative	1
YEUNG Pui Man	AVV238	Licensed Representative	1
YEUNG Shun Wai	AVT509	Licensed Representative	1, 2
YEUNG Suen Leong	APL480	Licensed Representative	3
YEUNG Suet Yi	AVQ972	Licensed Representative	1
YEUNG Tsz Kit, Jacky	ASZ509	Licensed Representative	1, 4, 9
YEUNG Tsz Yau, Sarah	AEU794	Licensed Representative	4
YIM Po Ling	AVO999	Licensed Representative	1
YIN Shi	APC594	Licensed Representative	1, 6
YING Yulu	AVP033	Licensed Representative	1, 4, 6
YIP Ho Yin	ASU230	Licensed Representative	4
YIP Min Wa	AVR980	Licensed Representative	1
YIU Wai Ho, Wilfred	AVS666	Licensed Representative	1, 4
YOON Jee Woong	AVS383	Licensed Representative	1
YOSHIDA Kengo	AVP035	Licensed Representative	1, 4
YOSHIDA Makiko	AHN503	Licensed Representative	1
YU Hiu Yan, Vanessa	AVR902	Licensed Representative	1, 6
YU Kai	AVR403	Licensed Representative	1, 4, 6
YUAN Jingna	AVR360	Licensed Representative	1, 2
YUEN Ho Hei	AVR834	Licensed Representative	1
ZHANG Chi	AVS985	Licensed Representative	1, 9

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
ZHANG Hao	ASW837	Licensed Representative	9
ZHANG Lu Yang	AVT237	Licensed Representative	6
ZHANG QianQian	AVV211	Licensed Representative	1, 6
ZHANG Wenjun	AVR821	Licensed Representative	2
ZHANG Xinrui	AVS192	Licensed Representative	4
ZHANG Yun	AVL567	Licensed Representative	1, 4, 6
ZHANG Yuxing, Ada	AVR904	Licensed Representative	1, 2
ZHAO Xiaoting	AVO615	Licensed Representative	4, 5, 9
ZHAO Xin	AVS020	Licensed Representative	1
ZHAO Zhenyi	AVV675	Licensed Representative	4
ZHENG Xiaolin	AVL538	Licensed Representative	1, 4, 6
ZHOU Bo	AVR905	Licensed Representative	1, 4
ZHOU Jian	AVR889	Licensed Representative	1
ZHOU Jing	AVR952	Licensed Representative	4
ZHOU Wu	AVT662	Licensed Representative	1, 4
ZHU Chunxi	AVR260	Licensed Representative	1
ZHU Min	AVM003	Licensed Representative	4
ZOWNIR Mark Francis	AVF499	Licensed Representative	1
ZUBER Zarko	AVA150	Licensed Representative	1, 2
ALTHAM Alastair John Livingstone	ALF277	Licensed Representative - Responsible Officer	4, 9
ANDREWS Nicholas James	ACM817	Licensed Representative - Responsible Officer	1
BASS Michael Peter Andrew	AUZ060	Licensed Representative - Responsible Officer	1, 4
BECKER Michael Nicolas	AOS485	Licensed Representative - Responsible Officer	9
CHAK Hubert	AAW614	Licensed Representative - Responsible Officer	9
CHAN Amy	AEY768	Licensed Representative - Responsible Officer	1
CHAN Pok Hiu	AQO193	Licensed Representative - Responsible Officer	4
COSTA Emil Paul	ADU840	Licensed Representative - Responsible Officer	1
EASTLAKE David Gordon	AEQ526	Licensed Representative - Responsible Officer	6
FERREIRA Marcio Pacheco	AVJ695	Licensed Representative - Responsible Officer	9
HO Kevin Ka Wing	AUW779	Licensed Representative - Responsible Officer	2
HUNG Hing On	ACR693	Licensed Representative - Responsible Officer	9
HYUN Sang Soon	AOO035	Licensed Representative - Responsible Officer	4
JIN Ning	AVQ395	Licensed Representative - Responsible Officer	9
KIM Namhyung	AVH473	Licensed Representative - Responsible Officer	4
KRIESEL Andree	AEU877	Licensed Representative - Responsible Officer	4, 9
KUBOTA Isao	ASS754	Licensed Representative - Responsible Officer	4, 9
KWAN Kin Wai Titanic	AEU885	Licensed Representative - Responsible Officer	1, 4, 9
LIN Ming-Ni	AVH599	Licensed Representative - Responsible Officer	2
LIN Yi-cheng	AVR029	Licensed Representative - Responsible Officer	1, 2
LU Wan Li	AVJ696	Licensed Representative - Responsible Officer	9
MONTECILLO Daniel Gabriel Mata	AEN643	Licensed Representative - Responsible Officer	1
NG Ean Kiam	AVS580	Licensed Representative - Responsible Officer	9
PURCELL Thomas William	AVQ387	Licensed Representative - Responsible Officer	9
SPARROW Jeremy Anthony Simon	AVJ224	Licensed Representative - Responsible Officer	1, 4
SUEI Feng-jih	AOQ659	Licensed Representative - Responsible Officer	4, 9
SUN Tong	AVR717	Licensed Representative - Responsible Officer	1, 4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
TSE Tony	ALS640	Licensed Representative - Responsible Officer	1, 4
VAN BAKEL Roy	ARI807	Licensed Representative - Responsible Officer	9
WANG Yi	AVK801	Licensed Representative - Responsible Officer	9
WONG Chun Kau, Tommy	AAK416	Licensed Representative - Responsible Officer	2
ZHOU Yong	APG180	Licensed Representative - Responsible Officer	9
ABBOTT Giles David Cameron	AVQ399	Licensed Representative (Provisional Licence)	1, 4
AI Xihong	AVW302	Licensed Representative (Provisional Licence)	6
ALBANESE II Louis Francais	AUC929	Licensed Representative (Provisional Licence)	1, 4, 6
ALLAN Geoffrey Dallinger	AVX704	Licensed Representative (Provisional Licence)	1, 2, 4, 7
AN Tae Jin	AHK971	Licensed Representative (Provisional Licence)	1
AU Chi Lam	AVY115	Licensed Representative (Provisional Licence)	1
AU Wing Suen	AVT462	Licensed Representative (Provisional Licence)	9
AU Wing Tung	AVX940	Licensed Representative (Provisional Licence)	9
AUSTIN James Raymond	AVQ934	Licensed Representative (Provisional Licence)	1, 2
BAARS Andrew Paul	APW807	Licensed Representative (Provisional Licence)	1
BAIK Saeyoon	ARJ096	Licensed Representative (Provisional Licence)	1, 4, 6
BARG Steven Kass	ARH482	Licensed Representative (Provisional Licence)	1
BENTLEY Samuel Justin	AVW220	Licensed Representative (Provisional Licence)	1
BESSENT Marcel Peter	AVR152	Licensed Representative (Provisional Licence)	1, 2
BHUNDIA Ashok Jayantilal	AVX029	Licensed Representative (Provisional Licence)	1, 2, 4
BIN Bin	AVY492	Licensed Representative (Provisional Licence)	1, 6
BLANQUET Ludovic, Marcel, Michel	AVV559	Licensed Representative (Provisional Licence)	1
BLOM Andries Cornelis	AVV334	Licensed Representative (Provisional Licence)	1, 2
BLOOM Jason John	AVV765	Licensed Representative (Provisional Licence)	4
BUGIA Nina Frances Therese Viajar	AVY764	Licensed Representative (Provisional Licence)	4
CABBABE Raif	ATE586	Licensed Representative (Provisional Licence)	1, 2
CHAN Adam Brian	AVZ113	Licensed Representative (Provisional Licence)	4
CHAN Ching On, Rico	AVW193	Licensed Representative (Provisional Licence)	4
CHAN Choon Wei Clarence	AVW223	Licensed Representative (Provisional Licence)	1, 4, 9
CHAN Po Yi	AVV835	Licensed Representative (Provisional Licence)	1
CHAN Shing Ho	AVX420	Licensed Representative (Provisional Licence)	1, 2
CHAN So Yim, Cindy	AVW004	Licensed Representative (Provisional Licence)	1
CHAN Sze Ting	AVW227	Licensed Representative (Provisional Licence)	1, 4
CHAN Tat Fung	ADO182	Licensed Representative (Provisional Licence)	1
CHAN Tsui Shing, Brian	AVW722	Licensed Representative (Provisional Licence)	1, 4, 9
CHAN Yau Hin	AVY759	Licensed Representative (Provisional Licence)	1, 6
CHAN Ying Kit	AVZ549	Licensed Representative (Provisional Licence)	1, 4
CHAN Yu Chung	AVY023	Licensed Representative (Provisional Licence)	1
CHANG Dong Liang	AVW551	Licensed Representative (Provisional Licence)	4
CHANG Harold	AKJ151	Licensed Representative (Provisional Licence)	1, 4, 6
CHAO Jeffrey Min-Je	AVX417	Licensed Representative (Provisional Licence)	1
CHAUDHRY Rajah	AVW307	Licensed Representative (Provisional Licence)	1, 4
CHEN Chen	AVZ038	Licensed Representative (Provisional Licence)	4
CHEN Cheng-Kai	AVV704	Licensed Representative (Provisional Licence)	1
CHEN Chien-Yao	AEO696	Licensed Representative (Provisional Licence)	1, 2
CHEN Hsin Yi	AQX105	Licensed Representative (Provisional Licence)	1, 2

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHEN Hui-ming	ALW538	Licensed Representative (Provisional Licence)	4
CHEN Long	AVT720	Licensed Representative (Provisional Licence)	1, 4
CHEN Tzung-Chi	AVV547	Licensed Representative (Provisional Licence)	1
CHEN Xiaoling	AVW059	Licensed Representative (Provisional Licence)	1, 4, 6
CHEN Xiaoyan	AVY039	Licensed Representative (Provisional Licence)	4
CHENG Cheuk Fung Clinton	AVX206	Licensed Representative (Provisional Licence)	1, 2
CHENG Ka Ki	AVX422	Licensed Representative (Provisional Licence)	1
CHENG Muleng	AVV506	Licensed Representative (Provisional Licence)	1, 4
CHENG Victor Shing Chung	AVY498	Licensed Representative (Provisional Licence)	1, 2, 7
CHENG Yick Sin, Billy	AOB640	Licensed Representative (Provisional Licence)	1, 6
CHEUNG Hing Ying Jessica	AVV774	Licensed Representative (Provisional Licence)	4, 9
CHEUNG Kwong Yan	AVY400	Licensed Representative (Provisional Licence)	1
CHEUNG Kwun Wan	AOX381	Licensed Representative (Provisional Licence)	1
CHEUNG Man Yee	AVY583	Licensed Representative (Provisional Licence)	1
CHEUNG Yee Yan Elaine	AVV775	Licensed Representative (Provisional Licence)	4, 5, 9
CHIU Wing Lam	AVY558	Licensed Representative (Provisional Licence)	1
CHO Kunho	AVZ037	Licensed Representative (Provisional Licence)	9
CHOI Hok Sum	ATQ936	Licensed Representative (Provisional Licence)	1
CHOI Oi Yee, Iris	ANI875	Licensed Representative (Provisional Licence)	1
CHOI Raymond Yat-hong	AVY109	Licensed Representative (Provisional Licence)	4
CHONG Susie Suen Sien	AFJ411	Licensed Representative (Provisional Licence)	1, 4, 9
CHOUDHURY Avijit	AVT529	Licensed Representative (Provisional Licence)	1
CHOW Man Ho	AVY758	Licensed Representative (Provisional Licence)	1
CHOW Suk Ching, Irene	ANJ244	Licensed Representative (Provisional Licence)	1, 4
CHOW Wing Hong	AVY338	Licensed Representative (Provisional Licence)	1, 2
CHU Michael	AVV245	Licensed Representative (Provisional Licence)	1, 2
CHU Ming Chih	AVW089	Licensed Representative (Provisional Licence)	1
CHU Tianli	AVY302	Licensed Representative (Provisional Licence)	1, 2
CHUA Mingxun	AVX859	Licensed Representative (Provisional Licence)	9
CHUM Crystal Sze Wai	AVZ086	Licensed Representative (Provisional Licence)	1, 6
CHUNG Chak Wah	AVY114	Licensed Representative (Provisional Licence)	1
CHUNG Yi-Ling	AVV549	Licensed Representative (Provisional Licence)	4
COLON Sylvain Xavier	AVW304	Licensed Representative (Provisional Licence)	1, 2
CONDE Ma. Cristina Menez	AVV761	Licensed Representative (Provisional Licence)	1
COOPER Aaron Michael	AVY422	Licensed Representative (Provisional Licence)	1
COOPER Richard David	AVU997	Licensed Representative (Provisional Licence)	1
COOPER Sarah Louise	AVR887	Licensed Representative (Provisional Licence)	1, 2
DEALY Tanja Alexandra	AVR357	Licensed Representative (Provisional Licence)	1, 4
DIVEKAR Raghavendra Rajiv	AVV683	Licensed Representative (Provisional Licence)	4
DIYACHKINA Polina	APH589	Licensed Representative (Provisional Licence)	4
DO Albert	AVY415	Licensed Representative (Provisional Licence)	1, 2
DOBSON Jason David	AVV850	Licensed Representative (Provisional Licence)	2
DU Weifeng	AVV544	Licensed Representative (Provisional Licence)	1
DUAN Xiongfei	ATL403	Licensed Representative (Provisional Licence)	4, 9
DYMOND Nicholas James	AVV851	Licensed Representative (Provisional Licence)	1
ECONOMOS Andrew	APW596	Licensed Representative (Provisional Licence)	1, 4, 9

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
EDER Stephan	AVJ088	Licensed Representative (Provisional Licence)	1, 2
ENG Shu Ling Amanda	AVW617	Licensed Representative (Provisional Licence)	4
FAN Cheuk Ming, Victor	AVW696	Licensed Representative (Provisional Licence)	1, 2, 5
FENG Anna Hua	AVX426	Licensed Representative (Provisional Licence)	1
FERRY John Gerald	AVS806	Licensed Representative (Provisional Licence)	4, 9
FONG Chan Wah, Simon	AVV978	Licensed Representative (Provisional Licence)	1
FOO Sung Way Nigel	AVY265	Licensed Representative (Provisional Licence)	4, 9
FOXALL Christopher Michael	AVW184	Licensed Representative (Provisional Licence)	1
FRASIER Hamilton Reid	AQJ467	Licensed Representative (Provisional Licence)	1, 4
FU Nga Chui	AVW069	Licensed Representative (Provisional Licence)	1
FUJISAKI Daisuke	AVR204	Licensed Representative (Provisional Licence)	4
FUNG Hoi Leuk Harry	AVU800	Licensed Representative (Provisional Licence)	1, 6
FUNG Man Yee, Joyce	AHR789	Licensed Representative (Provisional Licence)	1
FURST Dominik Bernhard	AVU713	Licensed Representative (Provisional Licence)	1, 4, 9
GAI Hsin-Shan	AVV799	Licensed Representative (Provisional Licence)	4
GARDINER Wade Patrick	AVV241	Licensed Representative (Provisional Licence)	4
GARG Amit	AVV363	Licensed Representative (Provisional Licence)	4
GARG Vinod	AVV846	Licensed Representative (Provisional Licence)	1, 2
GIAN Kim Wen	AVZ279	Licensed Representative (Provisional Licence)	1, 2
GOODWIN Tyler Edward	AVV974	Licensed Representative (Provisional Licence)	1, 4
GRADY Timothy Joseph	AJC076	Licensed Representative (Provisional Licence)	9
GU Haibo	AFU567	Licensed Representative (Provisional Licence)	1, 4
GU Xinyu	AVW548	Licensed Representative (Provisional Licence)	4
GUEVARRA Maria Joelette T.	ADE250	Licensed Representative (Provisional Licence)	1, 2
GUINARD Thierry Aymard Paul	AMS072	Licensed Representative (Provisional Licence)	1, 4
GUO Jie	AVW222	Licensed Representative (Provisional Licence)	1, 2
GUPTA Manish	AVU992	Licensed Representative (Provisional Licence)	1
HA Tae Il	AVW319	Licensed Representative (Provisional Licence)	1, 6
HAGE Julien Gerald	AVV903	Licensed Representative (Provisional Licence)	1, 2, 7
HAN Guannan	AVV239	Licensed Representative (Provisional Licence)	4
HAO Wenli Williams	AVX211	Licensed Representative (Provisional Licence)	1, 4, 9
HARA Hidetaka	AVY025	Licensed Representative (Provisional Licence)	1, 4, 6
HE Ning	AVW434	Licensed Representative (Provisional Licence)	1, 4
HE Xuan	AVU788	Licensed Representative (Provisional Licence)	1, 4, 6
HENDERSON Beata Karolina	AMP142	Licensed Representative (Provisional Licence)	1
HENGVELD Emily Carlotta	AVY271	Licensed Representative (Provisional Licence)	1
HO George Chenghua	ANM619	Licensed Representative (Provisional Licence)	4, 9
HO Purdy Pin Pin	ASI353	Licensed Representative (Provisional Licence)	1
HO Shuk Man, Gale	AGB356	Licensed Representative (Provisional Licence)	1, 4
HO Wai Hung	AVS572	Licensed Representative (Provisional Licence)	1
HO Wing Bong, Benjamin	AVX918	Licensed Representative (Provisional Licence)	1, 6
HO Yu, Stephanie	AVW495	Licensed Representative (Provisional Licence)	1, 4, 9
HOLDGATE Murray Edward James	AVJ112	Licensed Representative (Provisional Licence)	1, 2
HOSANGADY Ranjit Rammohan	AVW682	Licensed Representative (Provisional Licence)	1
HOU David Jun Ping	AVU718	Licensed Representative (Provisional Licence)	1
HOYAU Eric Jean-Pierre Maurice	AVW218	Licensed Representative (Provisional Licence)	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
HOYAU Yann Daniel Leon-Pierre	AVJ409	Licensed Representative (Provisional Licence)	1
HOYER David	AVY068	Licensed Representative (Provisional Licence)	1, 4, 6
HSIANG Jeffrey Chih	AVW685	Licensed Representative (Provisional Licence)	1, 4
HU Shuang	AVY885	Licensed Representative (Provisional Licence)	4
HUANG Jackson Kuo-kang	AVV119	Licensed Representative (Provisional Licence)	1, 4
HUANG Yifeng	AVW001	Licensed Representative (Provisional Licence)	1, 6
HUANG Yuhui	AVY571	Licensed Representative (Provisional Licence)	1, 4
HUANG Yuqiao	AVY579	Licensed Representative (Provisional Licence)	1, 4
HUI Lap Yin	AVW181	Licensed Representative (Provisional Licence)	4
HUI Nga Man	AFQ048	Licensed Representative (Provisional Licence)	1, 4
HUI Wai Man	AVV838	Licensed Representative (Provisional Licence)	1, 4
HUI Wang Leung	AVY698	Licensed Representative (Provisional Licence)	1, 4
HULKUNTE NAGARAJ Ayush	AVV794	Licensed Representative (Provisional Licence)	1, 4
HUNG Shun Ching	AVV535	Licensed Representative (Provisional Licence)	1
JACKAMO II Thomas Joseph	AFD746	Licensed Representative (Provisional Licence)	1, 6
JAMES Todd Howard	AVX425	Licensed Representative (Provisional Licence)	1, 4
JI Yehong	ALU479	Licensed Representative (Provisional Licence)	1, 4, 6
JIA Chelsea Yue	AVX461	Licensed Representative (Provisional Licence)	1, 7
JIA Xiaofang	AVY494	Licensed Representative (Provisional Licence)	1, 6
JONES Edward Harry James	AVV550	Licensed Representative (Provisional Licence)	1, 2
KAM Ka Ka	AVY419	Licensed Representative (Provisional Licence)	1, 6
KAN Pui Chi	AMS234	Licensed Representative (Provisional Licence)	1
KANG Minja	AGJ645	Licensed Representative (Provisional Licence)	1
KANNA Ninus	AVW489	Licensed Representative (Provisional Licence)	4
KHANNA Rushil	AVX381	Licensed Representative (Provisional Licence)	4
KIANG Yat Cheong Joseph	AVJ092	Licensed Representative (Provisional Licence)	1, 2
KIM Aki	ATM633	Licensed Representative (Provisional Licence)	1, 2
KIM Dongsup	AVW692	Licensed Representative (Provisional Licence)	4
KIM So Youn	AVY431	Licensed Representative (Provisional Licence)	1
KIM Warren Ho-Joong	AVY508	Licensed Representative (Provisional Licence)	1
KONG Yin Ling	AVX956	Licensed Representative (Provisional Licence)	6
KONG Ying Er May	AVX015	Licensed Representative (Provisional Licence)	1, 2
KONISHI Gerson Hideaki	AOG353	Licensed Representative (Provisional Licence)	1
KOTEWALL Neville Charles	AQM591	Licensed Representative (Provisional Licence)	1
KWAN David King Tong	ADU222	Licensed Representative (Provisional Licence)	1, 4
KWAN Ka Wai	AVV610	Licensed Representative (Provisional Licence)	1
KWOK Ka Wing	AVV836	Licensed Representative (Provisional Licence)	1
KWOK Po Lam	AVT311	Licensed Representative (Provisional Licence)	1, 2
KWOK Sin Hung	AFS186	Licensed Representative (Provisional Licence)	4
KWONG Chi Lun	AVV844	Licensed Representative (Provisional Licence)	1
LAI Jerry Chi Yuen	AVX291	Licensed Representative (Provisional Licence)	1, 4, 6
LAI Min-Min	AVV545	Licensed Representative (Provisional Licence)	4
LAI Tung Ming	AVW547	Licensed Representative (Provisional Licence)	1, 6
LAI Voon San	ACQ503	Licensed Representative (Provisional Licence)	4
LAI Wayne	AVW626	Licensed Representative (Provisional Licence)	1
LAM Ching Ping, Blanche	AVW306	Licensed Representative (Provisional Licence)	1, 4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
LAM Ling Fung	AVY965	Licensed Representative (Provisional Licence)	1, 2
LAM Tun Lan	AVY031	Licensed Representative (Provisional Licence)	1
LAM Wai Yin	APZ464	Licensed Representative (Provisional Licence)	1, 2
LARKIN Anthony Gerrard	ABW349	Licensed Representative (Provisional Licence)	4
LASCAR-TRONQUOIS Julien David	AVW496	Licensed Representative (Provisional Licence)	1
LAU Chi Kan	AVY337	Licensed Representative (Provisional Licence)	1, 2
LAU Fu Keung	AVW356	Licensed Representative (Provisional Licence)	1, 6
LAU Xin Yu, Cynthia	AVW689	Licensed Representative (Provisional Licence)	4
LAW Hiu Ying	AVY395	Licensed Representative (Provisional Licence)	1
LAW Tsz Chung	AVW686	Licensed Representative (Provisional Licence)	1, 2
LE Anatole	AVY459	Licensed Representative (Provisional Licence)	1, 2, 7
LEE Beom Jun	AVV713	Licensed Representative (Provisional Licence)	1
LEE Calvin Wai Kien	AVV099	Licensed Representative (Provisional Licence)	1, 6
LEE Chi Hwa, Joshua	AGL509	Licensed Representative (Provisional Licence)	6
LEE Hyun-Jae	AHN694	Licensed Representative (Provisional Licence)	1, 2
LEE Man Lok	AVX919	Licensed Representative (Provisional Licence)	1, 6
LEE May Lin	AVT527	Licensed Representative (Provisional Licence)	1
LEE Melisa Gaik Lin	AGT677	Licensed Representative (Provisional Licence)	1, 2
LEE Shu Fan	AVZ082	Licensed Representative (Provisional Licence)	1, 2
LEE Yin Wai Eudora	AVX470	Licensed Representative (Provisional Licence)	1
LEE Yuna	AVV760	Licensed Representative (Provisional Licence)	1
LEEMING Marsali Mary	AVU842	Licensed Representative (Provisional Licence)	1
LEI Lai Lai	AVW067	Licensed Representative (Provisional Licence)	1, 4
LEM Elliot Justin	AVW511	Licensed Representative (Provisional Licence)	1
LENG Terence Hoe Lon	AVT663	Licensed Representative (Provisional Licence)	1, 2
LESMINA Sarina	AOU971	Licensed Representative (Provisional Licence)	4
LEUNG Ho Ming Danny	AVV519	Licensed Representative (Provisional Licence)	1, 4, 6
LEUNG Kam Por, Ken	AVV909	Licensed Representative (Provisional Licence)	1
LEUNG Man Wai, Matthew	ALQ771	Licensed Representative (Provisional Licence)	1, 2
LEUNG Quinson	AVZ110	Licensed Representative (Provisional Licence)	1, 2
LEUNG Tsz Shan, Monica	AVX105	Licensed Representative (Provisional Licence)	2
LEUNG Wai Yeung	AQV396	Licensed Representative (Provisional Licence)	1, 4
LEUNG Yee Tak	AVY560	Licensed Representative (Provisional Licence)	1, 2
LEWIS Janet Barbara	ASL090	Licensed Representative (Provisional Licence)	4
LI Angel	AVX038	Licensed Representative (Provisional Licence)	1, 4
LI Ji	AVW854	Licensed Representative (Provisional Licence)	1, 6
LI Jun Qiao, Kelman	ASL017	Licensed Representative (Provisional Licence)	1, 6
LI Ke	AVW618	Licensed Representative (Provisional Licence)	1, 4
LI Shuo	AVT310	Licensed Representative (Provisional Licence)	1, 4, 6
LI Sze Hang	AVY336	Licensed Representative (Provisional Licence)	1, 2
LI Wai Han	AVX424	Licensed Representative (Provisional Licence)	1, 4
LI Wenlong	AVV138	Licensed Representative (Provisional Licence)	1, 4, 9
LI Wing Chung	AVV403	Licensed Representative (Provisional Licence)	1
LI Yang	AVY584	Licensed Representative (Provisional Licence)	1
LI Yunguang	APJ345	Licensed Representative (Provisional Licence)	4, 9
LIN Liwei	AVY762	Licensed Representative (Provisional Licence)	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
LIN Sally	ALV422	Licensed Representative (Provisional Licence)	1
LIN Wan Man, Vivian	AGP566	Licensed Representative (Provisional Licence)	1
LISAHAPANYA Narongpand	AVU843	Licensed Representative (Provisional Licence)	4
LIU Chang	AVT314	Licensed Representative (Provisional Licence)	1, 6
LIU Jia	AVX016	Licensed Representative (Provisional Licence)	6
LIU Lan-Shin	AVS373	Licensed Representative (Provisional Licence)	1
LIU Marcus Chun Hao	AVY718	Licensed Representative (Provisional Licence)	4
LIU Tiejun	ATC943	Licensed Representative (Provisional Licence)	1, 2
LIU Wai Ping	AGC459	Licensed Representative (Provisional Licence)	1, 4
LIU Yawen	AVY117	Licensed Representative (Provisional Licence)	4, 9
LO Chi Hang	ARU729	Licensed Representative (Provisional Licence)	1, 4
LO Sai Kit	AVY257	Licensed Representative (Provisional Licence)	1, 3
LO Wai Tak, Michael	AFT404	Licensed Representative (Provisional Licence)	1, 4
LOR Victor	AVV112	Licensed Representative (Provisional Licence)	4, 9
LOU Ying	AVV243	Licensed Representative (Provisional Licence)	4
LOUSTALOT Henri Louis Rene Andre	AVU845	Licensed Representative (Provisional Licence)	1, 2
LU Junhua	AVX214	Licensed Representative (Provisional Licence)	1, 4, 9
LU Song	AVV703	Licensed Representative (Provisional Licence)	1, 4
LU Tom Jin	AVV404	Licensed Representative (Provisional Licence)	1
LUI Yim Fun, Angela	AVW228	Licensed Representative (Provisional Licence)	2
LUO Xia	AVV941	Licensed Representative (Provisional Licence)	1, 4, 9
LUONG Sieu Quang	AVW501	Licensed Representative (Provisional Licence)	1, 2, 7
MA Martin	AVT521	Licensed Representative (Provisional Licence)	1
MAHESHWARI Vivek	AVU988	Licensed Representative (Provisional Licence)	4
MAK Kam Ling	ADJ395	Licensed Representative (Provisional Licence)	1
MAK Timothy Koon Hai	AQZ616	Licensed Representative (Provisional Licence)	4, 5
MAK Wai Lun	AVY964	Licensed Representative (Provisional Licence)	9
MAK Wing Lun	AVV976	Licensed Representative (Provisional Licence)	4
MAN Yick Yeung	AVX727	Licensed Representative (Provisional Licence)	1, 2
MARRABLE Timothy John	AVX728	Licensed Representative (Provisional Licence)	1, 4
MAYO Herbert James Seton	AVY291	Licensed Representative (Provisional Licence)	4, 5, 9
MCCARTHY Andrew Thomas	AVY497	Licensed Representative (Provisional Licence)	1, 2, 7
MCDONALD Anthony Delano	AVV776	Licensed Representative (Provisional Licence)	1
MCLEAN Jenna Louise	AVS375	Licensed Representative (Provisional Licence)	1
MEHTA Viraf Dinshaw	AVU840	Licensed Representative (Provisional Licence)	1
MEI Jingping	AVV764	Licensed Representative (Provisional Licence)	4
MENG Hailing	AVT460	Licensed Representative (Provisional Licence)	4
MIN Sang Won	AEB935	Licensed Representative (Provisional Licence)	1
MOK Kai Yuen	AVX957	Licensed Representative (Provisional Licence)	1
MONK Philip David	AVV242	Licensed Representative (Provisional Licence)	1, 9
MOORE Baden James	AVX128	Licensed Representative (Provisional Licence)	4
MROZINSKI Matthew Thomas	AVZ081	Licensed Representative (Provisional Licence)	1, 6
MUI Kin Wai	AVY719	Licensed Representative (Provisional Licence)	4
MUKSCH Roland	AVV662	Licensed Representative (Provisional Licence)	1
MUNUSAMY Naysan	AVV100	Licensed Representative (Provisional Licence)	1, 2
MURRAY Francis James	AVV468	Licensed Representative (Provisional Licence)	1, 6

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
NADIG Preetham Dharmarao	AVR736	Licensed Representative (Provisional Licence)	1, 2
NAGASAKA Mia	AVY675	Licensed Representative (Provisional Licence)	1
NAKAUCHI Kozue	AVY319	Licensed Representative (Provisional Licence)	1
NANWANI Sanjiv Manohar	AVV405	Licensed Representative (Provisional Licence)	1, 2
NEUKIRCH Bruno Emmanuel Alexandre	AVY572	Licensed Representative (Provisional Licence)	1
NG Kai Him	AVY121	Licensed Representative (Provisional Licence)	1, 4, 6
NG Kar Yin, Derek	AVZ068	Licensed Representative (Provisional Licence)	1, 6
NG Kit Yan	AVX695	Licensed Representative (Provisional Licence)	1
NG Pan	AVV145	Licensed Representative (Provisional Licence)	1, 2
NG Sui Mui	AVY611	Licensed Representative (Provisional Licence)	1
NG Wai Lee	AVT313	Licensed Representative (Provisional Licence)	1, 2
NG Wing Sang	AVT530	Licensed Representative (Provisional Licence)	1, 6
NG Yiu Chung	AVW170	Licensed Representative (Provisional Licence)	1, 2
NGAI Chun Man, Edward	AVV324	Licensed Representative (Provisional Licence)	1
NGAN Kelvin Shing Wai	AVY760	Licensed Representative (Provisional Licence)	1
NHAN Ngoc Le	AVY677	Licensed Representative (Provisional Licence)	1
NI David Kang-Wen	AVW544	Licensed Representative (Provisional Licence)	1, 6
O'HARE Susan Julia	AVV685	Licensed Representative (Provisional Licence)	1, 4, 6
OVINGTON Derek Ramsay	AVV998	Licensed Representative (Provisional Licence)	4
PAK Sze Chai, Stephen	AEL321	Licensed Representative (Provisional Licence)	1
PAN Jin	AVV688	Licensed Representative (Provisional Licence)	1, 2
PAN Qiang	AVZ078	Licensed Representative (Provisional Licence)	1, 6
PANGALI Pawandeep	AVU841	Licensed Representative (Provisional Licence)	1
PEACH Nicholas Xavier Aidan	AVV327	Licensed Representative (Provisional Licence)	1, 2
PERRY JR James Arthur	AVV200	Licensed Representative (Provisional Licence)	1, 6
PERRY Michael David	AVW688	Licensed Representative (Provisional Licence)	1, 6
PLOOSTER Jeroen Poul	ARR905	Licensed Representative (Provisional Licence)	1, 2
POON Kei Hong Cecil	AVV493	Licensed Representative (Provisional Licence)	1, 4
POTLURI Lakshmi Naga Jyothi	AVY119	Licensed Representative (Provisional Licence)	1
POTTER Alexander Eugene	AVV904	Licensed Representative (Provisional Licence)	4
POWERS Timothy Mitchel	AVV561	Licensed Representative (Provisional Licence)	4
QIAN Keyang	AVY845	Licensed Representative (Provisional Licence)	1, 2
QIU Wangshu	AVW563	Licensed Representative (Provisional Licence)	1, 4
RAINA Nikhil	AVT528	Licensed Representative (Provisional Licence)	1
RASTOGI Gaurav	AVW436	Licensed Representative (Provisional Licence)	1, 2, 4, 5
REDBOURN James Robert	AVV777	Licensed Representative (Provisional Licence)	1
REID Jonathan Paul	AVU983	Licensed Representative (Provisional Licence)	1
RIGOUX Charles-Edouard Paul Guy	AVW305	Licensed Representative (Provisional Licence)	6
RITCHIE Christine Lenore	AVW557	Licensed Representative (Provisional Licence)	1, 2
SANKETH Ashwin Kumar Kumaraswamy	APA409	Licensed Representative (Provisional Licence)	4
SAU Miu Cheung	AVV612	Licensed Representative (Provisional Licence)	1
SCHMID Michael	AVY685	Licensed Representative (Provisional Licence)	1, 4
SCHNEIDER Paul Stephen	AVW695	Licensed Representative (Provisional Licence)	4
SCHWARTZ Leo Phillip Marco	AVV768	Licensed Representative (Provisional Licence)	1, 6
SEYBERT Audrey Francis	AVV139	Licensed Representative (Provisional Licence)	1, 4, 9
SHA Shimin	AVY729	Licensed Representative (Provisional Licence)	1, 2

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
SHAM Sharon Cylong	AVV406	Licensed Representative (Provisional Licence)	1, 2
SHAN Weijian	AEF366	Licensed Representative (Provisional Licence)	9
SHEK Wing Man	AVU639	Licensed Representative (Provisional Licence)	4
SHEN Xiaojing	AVX684	Licensed Representative (Provisional Licence)	4, 9
SICKLES JR Richard Winfield	AVT522	Licensed Representative (Provisional Licence)	1, 2
SIDDIQUI Nameer Ahmad	AVY120	Licensed Representative (Provisional Licence)	1, 6
SIN Wing Ngor	AVW560	Licensed Representative (Provisional Licence)	1, 2
SINHA Anjali	AVV577	Licensed Representative (Provisional Licence)	1
SISTERSON John Paul	ACS560	Licensed Representative (Provisional Licence)	1
SIU Cheuk Hung	AVX952	Licensed Representative (Provisional Licence)	1, 4
SIU Jason	AVV237	Licensed Representative (Provisional Licence)	4
SMITHIE Nicholas Dearden	AVY578	Licensed Representative (Provisional Licence)	4
SO Nga Ting, Bernadette	AVY580	Licensed Representative (Provisional Licence)	1
SO Tik Hong	ALN638	Licensed Representative (Provisional Licence)	4, 9
SO Wan Yi	AVT320	Licensed Representative (Provisional Licence)	1
STROVER Edward Jason	AUZ302	Licensed Representative (Provisional Licence)	1, 4
SUCHARITKUL Arddanai Marco	AVY225	Licensed Representative (Provisional Licence)	1, 4
SUEN Ka Po	AVY432	Licensed Representative (Provisional Licence)	1, 2
SUNG Yin Ling	AVY585	Licensed Representative (Provisional Licence)	1
SUPORNPAIBUL Jirawat	AVT440	Licensed Representative (Provisional Licence)	1, 2
SUSANTO Edward Tjahja	APF777	Licensed Representative (Provisional Licence)	1, 2, 7
SWEIJS Marcel	AVW224	Licensed Representative (Provisional Licence)	1, 2, 7
SZE Loi Yan	ATI831	Licensed Representative (Provisional Licence)	1
TAI Ka Lai	AVX905	Licensed Representative (Provisional Licence)	1
TAKAO Kentaro	AVW704	Licensed Representative (Provisional Licence)	1
TAKIKAWA Shoji	AVW681	Licensed Representative (Provisional Licence)	1, 2
TAM Kwong Lau, Larry	AAC093	Licensed Representative (Provisional Licence)	1
TAM Owen	AAF773	Licensed Representative (Provisional Licence)	1
TAM Pak Ho	AVX958	Licensed Representative (Provisional Licence)	1
TAM Ronald Hon Sum	AVV845	Licensed Representative (Provisional Licence)	1
TAN Doreen	AAK299	Licensed Representative (Provisional Licence)	1, 4
TAN Mei Lin	AVZ261	Licensed Representative (Provisional Licence)	1, 2
TANEDO Corrince Hazel Gan	AVV718	Licensed Representative (Provisional Licence)	4
TANG Chun Man	AVX572	Licensed Representative (Provisional Licence)	1
TANG Him, John	ALU515	Licensed Representative (Provisional Licence)	4
TANG Sau Wah	AVV150	Licensed Representative (Provisional Licence)	1
TARLEVE Samuel Jose	AVW217	Licensed Representative (Provisional Licence)	1
TAY Chien Thuan, Francis	APB099	Licensed Representative (Provisional Licence)	1, 4
TAY Lim How	AVV973	Licensed Representative (Provisional Licence)	1
TEO Kian Bin	AMK117	Licensed Representative (Provisional Licence)	6
TEW Yue Ying	AVW179	Licensed Representative (Provisional Licence)	1, 4, 9
TIFFIN Philip John	AFT499	Licensed Representative (Provisional Licence)	1, 2, 7
TINGA Dante Jr. Rodriguez	APG027	Licensed Representative (Provisional Licence)	4
TONG Lai Kuan	AVV554	Licensed Representative (Provisional Licence)	4, 6
TRENT James Lee	AVV613	Licensed Representative (Provisional Licence)	1, 2, 7
TSANG Ho Man, Richard	AVV532	Licensed Representative (Provisional Licence)	1, 4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
TSANG Tat Kong	AVW359	Licensed Representative (Provisional Licence)	1
TSAO Hui-shu	AVY646	Licensed Representative (Provisional Licence)	4, 6
TSE Wai Man	AJL009	Licensed Representative (Provisional Licence)	4, 9
TSENG Hsien Hsu	AVX017	Licensed Representative (Provisional Licence)	1, 2
TSOI Chi Ming	AVX934	Licensed Representative (Provisional Licence)	1
TSUI Kin Ling	AVY267	Licensed Representative (Provisional Licence)	1, 2
VALLABHANENI Navin Roy	AVV583	Licensed Representative (Provisional Licence)	1
VESPERINI Jean-Jacques	AMB585	Licensed Representative (Provisional Licence)	1, 2
WAINWRIGHT Lee Spencer	AVU977	Licensed Representative (Provisional Licence)	1
WALKER William	AVX195	Licensed Representative (Provisional Licence)	1, 6
WANG Bin	AVZ046	Licensed Representative (Provisional Licence)	2
WANG Chun-kai	AVY700	Licensed Representative (Provisional Licence)	1, 4
WANG Fei	AVW545	Licensed Representative (Provisional Licence)	1
WANG Hsiang-Chih	AOY182	Licensed Representative (Provisional Licence)	6
WANG Jin	AVY040	Licensed Representative (Provisional Licence)	4
WANG Min-hsiang	AVU583	Licensed Representative (Provisional Licence)	1
WANG Xun Christopher	AIL178	Licensed Representative (Provisional Licence)	1, 6
WENG Youyi	AVV680	Licensed Representative (Provisional Licence)	1, 4, 9
WESTON Simon Michael	AVU839	Licensed Representative (Provisional Licence)	4, 9
WHITECROSS Stuart James	AVX037	Licensed Representative (Provisional Licence)	9
WILSON Edward Paul	AVV362	Licensed Representative (Provisional Licence)	1
WOLF Matthias	AVZ099	Licensed Representative (Provisional Licence)	1
WONG Arthur Siu On	AFP365	Licensed Representative (Provisional Licence)	4
WONG Chi Hang	AVW142	Licensed Representative (Provisional Licence)	1
WONG Ching Yee	AVW456	Licensed Representative (Provisional Licence)	9
WONG Edwin Man Hoe	AVY118	Licensed Representative (Provisional Licence)	1
WONG Jovi Chi Wing	AEF778	Licensed Representative (Provisional Licence)	6
WONG Kin Yi	AVX933	Licensed Representative (Provisional Licence)	1
WONG Kit Yee	ADF731	Licensed Representative (Provisional Licence)	1, 4
WONG Lok Shan	AVV333	Licensed Representative (Provisional Licence)	1, 2
WONG Man Tak	AVY339	Licensed Representative (Provisional Licence)	1, 2
WONG Ming Yeung	AVY052	Licensed Representative (Provisional Licence)	1
WONG Pui Man, Keith	AVW856	Licensed Representative (Provisional Licence)	1
WONG Sheung Hung	AVV325	Licensed Representative (Provisional Licence)	1
WONG Sze Yan	AFO839	Licensed Representative (Provisional Licence)	1, 2
WONG Ting Pong	AVV939	Licensed Representative (Provisional Licence)	1, 6
WONG Tony Tin Wing	ALZ369	Licensed Representative (Provisional Licence)	1, 4
WONG WAI LUN	ALQ942	Licensed Representative (Provisional Licence)	1
WONG Wan To	AVX499	Licensed Representative (Provisional Licence)	1
WONG Ying Keung	AVT453	Licensed Representative (Provisional Licence)	1
WONG Yuet Ming, Elaine	AVV611	Licensed Representative (Provisional Licence)	1, 4
WONG Yuk Wa	AVY716	Licensed Representative (Provisional Licence)	1
WOO Yun Shing, Vincent	AQA799	Licensed Representative (Provisional Licence)	4, 9
WU Jie	AVV121	Licensed Representative (Provisional Licence)	1, 4, 6
Wong Yu Lung	ARG279	Licensed Representative (Provisional Licence)	1
XIE Na	AVV222	Licensed Representative (Provisional Licence)	4, 9

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
XU Nuo	APJ126	Licensed Representative (Provisional Licence)	1, 6
XU Shaoyi	AON008	Licensed Representative (Provisional Licence)	6
XU Yingbo	AVV560	Licensed Representative (Provisional Licence)	4
XUE Liang	AVV678	Licensed Representative (Provisional Licence)	1, 6
XUN Weiyu	AVT523	Licensed Representative (Provisional Licence)	1
YAM Yim Ling, Camila	ATH214	Licensed Representative (Provisional Licence)	1
YAN Gaojian	AVV553	Licensed Representative (Provisional Licence)	4
YAN Hao	AVV975	Licensed Representative (Provisional Licence)	1, 4, 6
YANG Bei	AVV546	Licensed Representative (Provisional Licence)	1, 6
YANG Da-Ching	AVV335	Licensed Representative (Provisional Licence)	4, 6, 9
YANG Yingqiu	AKI594	Licensed Representative (Provisional Licence)	1, 2
YAO Wei	AVW558	Licensed Representative (Provisional Licence)	4
YAU Vincent Wing Tsuen	AVV901	Licensed Representative (Provisional Licence)	1, 2, 7
YAU Yuk Lai	AVU828	Licensed Representative (Provisional Licence)	1, 2
YEUNG Chung Chiu	AVX303	Licensed Representative (Provisional Licence)	1, 2, 4
YEUNG King Fai	ASX278	Licensed Representative (Provisional Licence)	1
YEUNG Kwun Po	AVW215	Licensed Representative (Provisional Licence)	1, 4
YEUNG Mun Kin	AVY247	Licensed Representative (Provisional Licence)	1
YEUNG Wai Man	AVV140	Licensed Representative (Provisional Licence)	1, 4, 9
YEUNG Wing Sim	AVW463	Licensed Representative (Provisional Licence)	1
YEUNG Yi Ting, Eunice	AVX421	Licensed Representative (Provisional Licence)	1
YEUNG Yiu Hong	AVY335	Licensed Representative (Provisional Licence)	4
YING Kok Fu, Dennis	AVW561	Licensed Representative (Provisional Licence)	1
YIP Hin Chiu	AVY582	Licensed Representative (Provisional Licence)	1
YIP Ho Yin	ASU230	Licensed Representative (Provisional Licence)	4
YIP Man Ching	AVX198	Licensed Representative (Provisional Licence)	1, 4
YOUK Won Seok	AVV762	Licensed Representative (Provisional Licence)	1
YU Shanhu	AVW213	Licensed Representative (Provisional Licence)	4
YU So Man	AFG723	Licensed Representative (Provisional Licence)	1, 2
YU Wai Yin, Alice	APW434	Licensed Representative (Provisional Licence)	1, 2
YU Wong Ho	AST697	Licensed Representative (Provisional Licence)	1
YU Yue	AVW185	Licensed Representative (Provisional Licence)	1, 4, 6
YUEN Hiu Tung	AVW546	Licensed Representative (Provisional Licence)	1
YUEN Nathan Tin-Long	AVW177	Licensed Representative (Provisional Licence)	1
YUEN SUEN Ip Lan, Monita	AVY570	Licensed Representative (Provisional Licence)	1
YUNG Ka Mun, Karen	AVW500	Licensed Representative (Provisional Licence)	1, 2
YUSUI (BOURLET) Edward Kai	AVV364	Licensed Representative (Provisional Licence)	4
ZENG Yu	AVY463	Licensed Representative (Provisional Licence)	1, 6
ZHANG Jinliang	AVY896	Licensed Representative (Provisional Licence)	6
ZHANG Lucy Xiyuan	AVW644	Licensed Representative (Provisional Licence)	1, 6
ZHANG Tian	AVX132	Licensed Representative (Provisional Licence)	1, 6
ZHANG Zhen	AVV329	Licensed Representative (Provisional Licence)	1
ZHANG Zhi Hua	AVD057	Licensed Representative (Provisional Licence)	1
ZHAO Lunyu	AVX108	Licensed Representative (Provisional Licence)	1, 6
ZHAO Yang	ARS552	Licensed Representative (Provisional Licence)	1, 4
ZHAO Zhenyi	AVV675	Licensed Representative (Provisional Licence)	4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
ZHENG Yiwu	AVV326	Licensed Representative (Provisional Licence)	1, 2
ZHU Jia	AVX806	Licensed Representative (Provisional Licence)	4
ZOLKIEWICZ Kevin John	AVX106	Licensed Representative (Provisional Licence)	1, 2
ADCOCK Richard Paul	AVW987	Licensed Representative (Temporary Licence)	4
BARNARD David	AVD117	Licensed Representative (Temporary Licence)	4
BAYVEL Kirk Forrest	ATH621	Licensed Representative (Temporary Licence)	1, 2
BETTONI-TRAUBE Ernesto	AQO506	Licensed Representative (Temporary Licence)	4
BRISCOE Hayden Daniel	AVV090	Licensed Representative (Temporary Licence)	4
BURNS Brett Augustine	AVY298	Licensed Representative (Temporary Licence)	1
CHAPUT Nicolas, Philippe, Claude	AVX155	Licensed Representative (Temporary Licence)	4
COX Ashley James	AQS487	Licensed Representative (Temporary Licence)	1
DARST David Martin	AAB969	Licensed Representative (Temporary Licence)	1, 2
DEROLD Christian	AVW188	Licensed Representative (Temporary Licence)	1
DIAO Roy Wei-Chien	ATI404	Licensed Representative (Temporary Licence)	4
DRAPER Daniel Eugene	ACP012	Licensed Representative (Temporary Licence)	4
DUGGAL Sanjiv	APW681	Licensed Representative (Temporary Licence)	1
EMMETT Anthony James	AVX215	Licensed Representative (Temporary Licence)	1, 2
FALCETTI Emilia	AVY300	Licensed Representative (Temporary Licence)	1
FUKUSHIMA Daisuke	ASJ764	Licensed Representative (Temporary Licence)	4
GOLDSMITH Christian Guy	ANL061	Licensed Representative (Temporary Licence)	4
HALTERLEIN Dylan Stephen	AVX418	Licensed Representative (Temporary Licence)	1, 2
HAMURO Masayo	AVW066	Licensed Representative (Temporary Licence)	1, 2
HARADA Sonoko	APR256	Licensed Representative (Temporary Licence)	1
HELFER Paul Douglas	ARF416	Licensed Representative (Temporary Licence)	1
IKEUCHI Hajime	AVT131	Licensed Representative (Temporary Licence)	4
KIRILLOV Vladimir	AVX157	Licensed Representative (Temporary Licence)	4
LEE LI Elizabeth Shu	AUV482	Licensed Representative (Temporary Licence)	1
LIM Julian Frederick Yu	AVW353	Licensed Representative (Temporary Licence)	1
LUE-FONG Simon Nicolas	APE946	Licensed Representative (Temporary Licence)	4
MACPHERSON Skye Eva	AVA096	Licensed Representative (Temporary Licence)	4
MEANY Peter James	AUA480	Licensed Representative (Temporary Licence)	4
MISHRA Neelkanth	ALW780	Licensed Representative (Temporary Licence)	4
MORTON Craig	AVV948	Licensed Representative (Temporary Licence)	1
NAGAI Gilberto Hideo	ARH865	Licensed Representative (Temporary Licence)	4
NARITA Yasuhiro	ARQ487	Licensed Representative (Temporary Licence)	4
OKUBO Hiroshi	ATI154	Licensed Representative (Temporary Licence)	4
OTSUKA Wataru	AUS196	Licensed Representative (Temporary Licence)	4
PARK Se Hyun	AUR862	Licensed Representative (Temporary Licence)	4
POWER Michael David	ATO459	Licensed Representative (Temporary Licence)	4
RIVALDI Marcus Patrick	AVY078	Licensed Representative (Temporary Licence)	1
RUDDEN Patrick Joseph	ALQ729	Licensed Representative (Temporary Licence)	4
SAKAGUCHI Hiroaki	AVH395	Licensed Representative (Temporary Licence)	1, 2
SENATORE Sara Betty Harkavy	AVX217	Licensed Representative (Temporary Licence)	4
SHRIVASTAVA Deepak	AQA679	Licensed Representative (Temporary Licence)	1, 6
SIMMS Kevin Frederick	AUA284	Licensed Representative (Temporary Licence)	4
STREET Lee Alexander	AUE090	Licensed Representative (Temporary Licence)	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
TAKAMIYA Ken	AVX032	Licensed Representative (Temporary Licence)	4
TOGHER Anthony Michael	ANB173	Licensed Representative (Temporary Licence)	4
VOSPER Paul Andrew	ARU913	Licensed Representative (Temporary Licence)	4
VOSPER Paul Andrew	ARU913	Licensed Representative (Temporary Licence)	4
WARNER Joanne Kathleen	AOJ444	Licensed Representative (Temporary Licence)	4
WENZEL Michael Bruce	APU308	Licensed Representative (Temporary Licence)	1
WHITE James Patrick Wilder	AVW083	Licensed Representative (Temporary Licence)	4