

VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 02/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
Nomura Securities (Hong Kong) Limited	AAK382	Licensed Corporation	2	
Tanrich Securities Company Limited	ACB501	Licensed Corporation	4	
GCIS Limited	AOI914	Licensed Corporation		5
Huatai Financial Holdings (Hong Kong) Limited	AOK809	Licensed Corporation	4	
Tora Trading Services Limited	AQS127	Licensed Corporation	7	
LAU Chi Wai, Fred	AAA314	Licensed Representative	1	
SO Chi Ming, Jimmy	AAB915	Licensed Representative		2
LI Chok Sun, Sean	AAE952	Licensed Representative	2	
CHAM Yau Bun, Edmond	AAG162	Licensed Representative		4, 9
HO Kin Bor	AAV276	Licensed Representative		2
NGAN Man Kit	AAV957	Licensed Representative		5
YUEN Wai Fun	ABE241	Licensed Representative	2	
CHU Lai Wa, Joanna	ABG737	Licensed Representative		2, 5
TANG Kwok Chuen	ACA602	Licensed Representative	9	
TURCOTTE III Vincent Joseph	ACB834	Licensed Representative	1	
CHAN Siu Chun	ACO737	Licensed Representative	1	
TING Terence	ACQ679	Licensed Representative	9	2
YEUNG Tze Fung	ACS539	Licensed Representative	2	
WONG Doris Yuk Ying	ADA301	Licensed Representative		1
KETTERER Edward	ADE566	Licensed Representative	1, 7, 9	
YIP Chi Wing	ADI536	Licensed Representative	1	
MOWBRAY Stuart Maxwell	ADI945	Licensed Representative		6
ROEST Ronald Max Machiel	ADN298	Licensed Representative	9	
CHU Yeong Kang, Joseph Patrick	ADT125	Licensed Representative	4, 9	
KWONG Chi Kong, Andy	ADV456	Licensed Representative	1	
WONG Horg Wang, Howard	ADV962	Licensed Representative		1
MOK Chi Hoi	ADW644	Licensed Representative	1	4
FUNG Li Feng	ADY918	Licensed Representative	2	
CHAU Man Fai, Eric	AEA619	Licensed Representative	7	
WONG Poon Ming	AEK288	Licensed Representative	9	6
CHOW Kwok Wai	AEM266	Licensed Representative	4	
ROBERTSON Craig Anthony	AEP696	Licensed Representative	1	
HUI Chi Kong, Joseph	AEZ713	Licensed Representative	1	
TSANG Man Sang	AFC688	Licensed Representative	9	
HE Martin	AFD243	Licensed Representative	4	1
CHAN Yu Yin	AFL233	Licensed Representative	2	
TAM King Ho, Howard	AFN346	Licensed Representative		1, 9
LI Sai Yiu, Charles	AFN641	Licensed Representative		1
CHEUNG Pak Lun	AFU575	Licensed Representative	1	
YIM Kwok Man	AFW086	Licensed Representative	4, 9	
LUI Yee Man	AFW196	Licensed Representative	2	
TAM Pak Kin	AGE825	Licensed Representative	2	
HUI Yau Wing	AGH231	Licensed Representative	2	

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CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
SHUM Hing Hung	AGI234	Licensed Representative	1	4, 9
WAN Li	AHD514	Licensed Representative		2
ORR Joseph Wai Shing	AHF354	Licensed Representative	4	6
LIU Wing Cheong	AHJ985	Licensed Representative	4	
TOH Phool Fung	AHN108	Licensed Representative		1
TSANG Wai Ching	AHO170	Licensed Representative		1
NGAI Hoi Chun	AIH608	Licensed Representative		2
WU Tak Lung	AIR119	Licensed Representative	1	
KHAN Kaleem Airfan Mahmood	AIU292	Licensed Representative	4, 9	1, 2
LIN Tak Leung	AIU424	Licensed Representative		7
HO Kai Chung	AJD791	Licensed Representative	2, 4, 7	
CHEUNG King Wai	AJF454	Licensed Representative	1	
WONG Bart	AJJ538	Licensed Representative	4	
SARKIS David	AJN346	Licensed Representative	1, 2	9
HONG Joonkee	AJX178	Licensed Representative	4	
CHENG Tit Man	ALB284	Licensed Representative	2	
CHELAT Iqbal Ramiz	ALF336	Licensed Representative	4	9
LEUNG Kwok Kui	ALK112	Licensed Representative	1	
WONG Mang Nam	ALK612	Licensed Representative	4, 9	1
LOI Amy Siu Yan	ALL313	Licensed Representative	1	
LEUNG Ho Cheong, Barry	ALY163	Licensed Representative	2	
CHENG Chak Nam	ALZ880	Licensed Representative	2	
SO Chi Keung, Jeffrey	AMC258	Licensed Representative	6	4, 9
LUI Suk Yee, Annie	AME119	Licensed Representative	2	
LEUNG Man Ho	AMF525	Licensed Representative	1	
NG Wai Fung	AMH682	Licensed Representative	2	
ROUX-CHABERT Guillaume Jean Charles Marc	AMH684	Licensed Representative	1	
HO Hin Sing, Hanson	AMI554	Licensed Representative	3	
CHU Chak Chuen	AMI811	Licensed Representative	1	
WAN Lap Kei	AML156	Licensed Representative	6	
CHUNG Cheuk Hang	AMP100	Licensed Representative	1	
SO Sai Hung	AMP373	Licensed Representative	9	
LEUNG Kit Yee, Elka	AMW549	Licensed Representative	1	
LEE Patrick Maung	AMY547	Licensed Representative	1	4, 9
PANG Matthew Man Yat	ANE767	Licensed Representative		1, 2, 4, 5
CHAK Chi Man	ANG125	Licensed Representative	9	
PRITCHARD Perry	ANQ543	Licensed Representative		7
TANG Wai Sin	ANQ967	Licensed Representative	1	
WONG Tsz Cheung	ANR066	Licensed Representative	1	4
LO Chi Yuen, Boris	ANT954	Licensed Representative		2
FITHIAN Lance Thomas	ANU912	Licensed Representative	1	
WANG Yun Yu	AOB063	Licensed Representative	4	
SLAUGHTER J E Hoke	AOD190	Licensed Representative	9	6

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CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
YU Kin Lok	AOE771	Licensed Representative	2	
LEOW Chiun-Yi Jonathan	AOJ251	Licensed Representative	7	
WU Wai Pong	AOL081	Licensed Representative	9	4
TANG Hao	AOL324	Licensed Representative	9	
PHUA Tien Soon	AOM780	Licensed Representative		4
LEUNG Kin Wah, Kelvin	AOQ573	Licensed Representative	2	
CHEUNG Yin Lai	AOR820	Licensed Representative	1	
NG Hoi Dick	AOS243	Licensed Representative		6
CHAN Anthony	AOW801	Licensed Representative	1, 9	
ZHUANG Qi	AOX586	Licensed Representative	4	1
CHAN Mei Kwan	AOZ032	Licensed Representative	2, 4, 7	
AN Zhen	APB220	Licensed Representative	1	
MIU Fai Yan	APC633	Licensed Representative		2
LAI Yuen Yee	APF059	Licensed Representative	1	
GUAN Le	APG916	Licensed Representative	4	1, 6
LALGUDI GURUMURTHY Madhu Subramanian	APK589	Licensed Representative		2
MAK Chi Chung, Alex	APM055	Licensed Representative	2	
CHEUNG Tak Cheung	APO541	Licensed Representative	4	
KEUNG Long Ting, Ronald	APO664	Licensed Representative	1	
HUNG Sau Suen	APQ328	Licensed Representative	1	4
YAM Lai Ching	APR829	Licensed Representative	3	
CHOW Kin Wing, Stephen	APR842	Licensed Representative	1	
CHEUNG Man Wai	APV050	Licensed Representative	2	
CHAN Pui Wah	AQA733	Licensed Representative	1	
LUI Man Wah	AQA809	Licensed Representative	2	
YEUNG Lai Ping	AQC475	Licensed Representative	1, 9	
CHEUNG Chun Chuen	AQD462	Licensed Representative		4
CHEUNG Chun Tai	AQE177	Licensed Representative		6, 9
SY Wang Ngai, Gregory	AQE871	Licensed Representative	1	
CHEUNG Yue Sun, Clement	AQE950	Licensed Representative	4, 9	1
NGAI Shuk Wa, Summy	AQG751	Licensed Representative	1	
BAO Hui Ying	AQH585	Licensed Representative	2	
CHEUNG Tsz Wei, Michele	AQI408	Licensed Representative	3	
WILSON Jeff Downing	AQL195	Licensed Representative	1, 4	
KAO Yu-Hung	AQL856	Licensed Representative	1, 9	
LI Kit Ying	AQN003	Licensed Representative	2	
CHEUNG Yan	AQN588	Licensed Representative	3	
KWONG Chi Ping	AQN797	Licensed Representative		1
MUI Chau Kam	AQS335	Licensed Representative	1	
LIN Qian	AQU406	Licensed Representative	1, 2	4
LEWIS Paul Simon	AQU410	Licensed Representative	9	1, 2
LI Yifei	AQU599	Licensed Representative	1, 9	
HUNG Tin Yau, Andrew	AQU993	Licensed Representative	1	

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LAW Koon Kay, Louisa	AQV898	Licensed Representative	1	
TAI Ming Kong	AQW020	Licensed Representative	2	
WU Kun-Lung	AQY756	Licensed Representative	4	
BALDWIN Timothy Simon	ARB261	Licensed Representative		1
WONG Tak Hing	ARC134	Licensed Representative	4	
THOMAS Francois Ferdinand Adrien	ARF105	Licensed Representative		6
FAN Chiu Yan, Benevolence	ARG003	Licensed Representative	2	
CHEUNG King Wang	ARG403	Licensed Representative	1, 2	4
NG Whye Keong	ARG597	Licensed Representative	6	
TANG Thomas Yaw Fay	ARH348	Licensed Representative	1	
CHAN Yin	ARI164	Licensed Representative	1	
HUI Man Yan	ARJ492	Licensed Representative	1	
LIU Regina Alexandra	ARL101	Licensed Representative	4, 9	
FONG Wai Lun	ARL280	Licensed Representative	1	
LAM She Yan	ARN423	Licensed Representative	1	
ARMSTRONG Nicola Clare	ARN794	Licensed Representative	1, 9	
LAM Kam Wing	ARO382	Licensed Representative	9	
PUPALASINGAM Ahillan	ARO402	Licensed Representative	7	
GONG Jie	ARO415	Licensed Representative		4
FONG Kwun Wai, Matthew	ARS734	Licensed Representative	4	
SONG Tingting	ART003	Licensed Representative	9	
LAW Hong Shing, Ambrose Peter	ART299	Licensed Representative		4
LO Lok Kin	ARV565	Licensed Representative	1, 2	
CHUANG Alan Yik Fung	ARW185	Licensed Representative	1	
LAU Wai Man	ASE757	Licensed Representative	4	
WONG Ting Kwan	ASH430	Licensed Representative	1	
LING Cheuk Wing Henry	ASH431	Licensed Representative	1	
LAM Wai Yee Cammy	AST275	Licensed Representative	4, 6	
LI Xi	ASU033	Licensed Representative	4	
TSE Kwok Ting	ASZ213	Licensed Representative		9
SHEN Yiqian	ASZ667	Licensed Representative	1, 9	
XU Kali Laura	ATB615	Licensed Representative	1, 9	
PANG Shuk Ching	ATB977	Licensed Representative	2	
WU Nga Yin Adela	ATF053	Licensed Representative	2	
WONG Ngar Yee Frances	ATL621	Licensed Representative		2
CHAN Kwan Chun	ATN439	Licensed Representative	1, 2	4
YEUNG Bailey	ATN558	Licensed Representative		1, 2
LEUNG Chak Yan	ATO522	Licensed Representative	2	
WAN Cheuk Wing	ATP167	Licensed Representative	1, 9	
CHAN Lung Ming	ATT477	Licensed Representative	1, 2	
LAM Wai Na	ATT647	Licensed Representative	2	
LEUNG Kin Fan Robert	ATX603	Licensed Representative	1	
TSAI Yuen Ning	ATX780	Licensed Representative	1	9

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KOURETAS Panagiotis	ATY493	Licensed Representative	2, 7	
HO Kwong Yan	ATY797	Licensed Representative	3	
LOONG Yuen Tung, Cara	AUB981	Licensed Representative	3	
PANG Tsi Him, Clayton	AUD240	Licensed Representative	3	
LUK Tsun Kiu, Julian	AUG331	Licensed Representative	3	
HUI Wilfred Ka Tsun	AUG333	Licensed Representative	3	
HUNG Kap Keung	AUG766	Licensed Representative	2	
FAN Kin Ngai	AUI158	Licensed Representative	2, 3	
YAU Yin Hung	AUI767	Licensed Representative	3	
SO Kwan	AUJ767	Licensed Representative	3	
CHAN Tsz Shing Spenser	AUK266	Licensed Representative	2	
SHUEN Wesley	AUL626	Licensed Representative	3	
CHEONG Ying Chew, Henry	AAB214	Licensed Representative - Responsible Officer		5, 9
MAK Ming Ying, Charles	AAD209	Licensed Representative - Responsible Officer	7	
TAI Kwok Keung	AAE013	Licensed Representative - Responsible Officer		2
WONG Yee Hing	AAF918	Licensed Representative - Responsible Officer	1, 2, 4	
CHAM Yau Bun, Edmond	AAG162	Licensed Representative - Responsible Officer	1	
TONG Leung Sang	AAV322	Licensed Representative - Responsible Officer	2	
KHAN Ilyas Tariq	ABT603	Licensed Representative - Responsible Officer	6	
NIP Yiu Chuen	ABY425	Licensed Representative - Responsible Officer	4	
LI Kwok Tung	ABZ281	Licensed Representative - Responsible Officer	9	
QIU Jin	ACK859	Licensed Representative - Responsible Officer	4	
LAM Kin Wah, Kevin	ACW802	Licensed Representative - Responsible Officer	2	
WONG Doris Yuk Ying	ADA301	Licensed Representative - Responsible Officer	4	
KIHM Lutz Hans Michael	ADC898	Licensed Representative - Responsible Officer		5
MOWBRAY Stuart Maxwell	ADI945	Licensed Representative - Responsible Officer	1	
MATSUMURA Tsuyoshi	AFV936	Licensed Representative - Responsible Officer		9
KAN Kou Ming	AIC203	Licensed Representative - Responsible Officer	4	
LAM Chi Shing	AJG004	Licensed Representative - Responsible Officer	1	
XIANG Xinrong	AJJ462	Licensed Representative - Responsible Officer	4	
HA Jiming	AKS658	Licensed Representative - Responsible Officer	4	
TSANG Wing Yiu	AME242	Licensed Representative - Responsible Officer	4	
SONG Yangzhou	AOK810	Licensed Representative - Responsible Officer	4	
FIELD-MARSHAM Robert Scott	APH106	Licensed Representative - Responsible Officer	4	
COATHAM Samuel Martyn	APU459	Licensed Representative - Responsible Officer	1	
JEPSEN Brian P	AQS131	Licensed Representative - Responsible Officer	7	
DUCKER James Keith	AQS133	Licensed Representative - Responsible Officer	7	
SIVAPATHASUNDARAM Radeepan	ARF699	Licensed Representative - Responsible Officer	7	
POON Chin Hung	ATB613	Licensed Representative (Provisional Licence)	1	