

VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
Newedge Broker Hong Kong Limited	ABL495	Licensed Corporation		3
Overlook Investments Limited	ABS672	Licensed Corporation		4, 5
JAIC International (Hong Kong) Co., Limited	ACH601	Licensed Corporation		6
United Simsen Securities Limited	ACV085	Licensed Corporation	6	
Athens Capital Limited	ARN695	Licensed Corporation	1	
GORGES Richard Howard	AAA820	Licensed Representative		4
CHEUNG Chi Ming	AAA963	Licensed Representative	2	
LEE Kai Ming	AAH316	Licensed Representative	3	
ORDERS Jonathan Oliver Darcy	AAK390	Licensed Representative		1, 4
THORBURN Mark Alexander	AAS209	Licensed Representative	2	
MUSETTI Robert Cesare	AAZ177	Licensed Representative	7	
KO Tai Fun	ABD420	Licensed Representative		2, 4, 5
FUNG Sin Yee, Quean	ABF669	Licensed Representative		7
SQUIRE James St. John	ABM486	Licensed Representative		4, 5
CHAN Che Kan	ABO128	Licensed Representative	2	
TSE Ka Wai, Andy	ABR168	Licensed Representative	2	
MAK Clifford Siu Wing	ABV140	Licensed Representative		4, 9
NUTBEAM Melanie Jane	ABZ225	Licensed Representative	1	
LAI Sung Ziang, John	ACB606	Licensed Representative		1, 4, 5
SZE-TO May Ying, Gilda	ACG379	Licensed Representative	2	
TANG Wai Kee	ACG544	Licensed Representative	3	
CHOW Lap Keung	ACK316	Licensed Representative	3	
CHAN Wai Man	ACL111	Licensed Representative	2	
LOH Chee Sheng, Jack	ACN377	Licensed Representative	7	
HEFFNER Paul Lincoln	ACO619	Licensed Representative		1, 4, 5
FENG Bing	ACT141	Licensed Representative	7	
MILLER Daniel Owen	ACU447	Licensed Representative	7	
CHEUNG Chi Wing	ACV105	Licensed Representative	2	
LEE Siu Hung	ADH590	Licensed Representative	2	
LAM Man Hon, Geoffrey	ADI840	Licensed Representative		1, 4
WONG Tat Tung	ADJ144	Licensed Representative		1
YEUNG Chim Cheung	ADL300	Licensed Representative	2	
YIM Man Leong, Francis	ADN999	Licensed Representative	4	
CHEN Edward Shi	ADR552	Licensed Representative	7	
LEUNG Kam Pui	ADS532	Licensed Representative	3	
TUCKWELL Zachary Scott	ADT336	Licensed Representative	2, 4, 5, 7	
YIP Kin Chung	ADT599	Licensed Representative		1, 6
YIP Siu Kee	ADT749	Licensed Representative		4, 9
CHUNG Benny Koon Chung	ADV680	Licensed Representative	1, 4	
LEE Tin Yau, Eugene	ADV918	Licensed Representative		1
NGAN Wai Wah	ADY490	Licensed Representative		1
KWON Oh Kee, Peter	ADZ127	Licensed Representative	7	
STANTON III Walter Xavier	AEA621	Licensed Representative		2
LAI Wai Tsun, Paul	AED148	Licensed Representative	4, 6	1
CHAN Yiu Kwong	AED596	Licensed Representative	2	

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CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
TSANG Kit Mei	AED824	Licensed Representative		3
LAI Ka Yu, Karen	AEF744	Licensed Representative	1	
LEE Cliff Yee Gong	AEH826	Licensed Representative		2
WAN Ho Fung	AEI266	Licensed Representative	9	
CHEUNG Wing Kei, Winnie	AEM607	Licensed Representative	1, 9	
SHIU Yik Hung	AEP548	Licensed Representative		7
ROBERTSON Craig Anthony	AEP696	Licensed Representative		5
CHAN Chui Wa, Eva	AEY595	Licensed Representative		2
CHEUNG Chi Hung	AEY847	Licensed Representative	2	
SUSANTO Michael Tjahja	AFD442	Licensed Representative	6	
LAW Ka Po	AFE965	Licensed Representative	2	
LEUNG Jenkin Ching Kei	AFF887	Licensed Representative	1, 4	9
MCKEEVER Stephen James	AFH236	Licensed Representative	4	
WANG Lian	AFL878	Licensed Representative	7	
CHAN Chi Hung, Derek	AFM323	Licensed Representative		1
LAM Wing Yee, Veronica Ronnie	AFN278	Licensed Representative	1	
GAO Mei	AFS775	Licensed Representative	1, 9	
ZENG Weijing	AFS879	Licensed Representative	7	
HO Ping Nga, Derek	AFU158	Licensed Representative	1	
WU Frances	AFW032	Licensed Representative	2, 6	
WONG King Wai, Gilbert	AFW098	Licensed Representative	2, 7	4
CAVATONI Joseph Roland	AFY750	Licensed Representative	1	
PABLO Gerardo Gonzalez	AFZ873	Licensed Representative	2	
SHIUNG Eric Hsin-Yi	AGD983	Licensed Representative	9	4
KWONG Oi Ting	AGE086	Licensed Representative	2	
KWOK Wai Chu, Cindy	AGE351	Licensed Representative	1	
BRINK Natalie Ann	AGL521	Licensed Representative	4, 6	
CHU Ching	AGO224	Licensed Representative	1	
CHUI Tat Fai	AGO748	Licensed Representative		3, 4
YUNG Siu Hang	AHC979	Licensed Representative	4	
CHAN Choi Wah, Kanise	AHF667	Licensed Representative	9	
LAU Hon Wei	AHX658	Licensed Representative	7	
LI Shen	AIG162	Licensed Representative		4
NGAI Hoi Chun	AIH608	Licensed Representative	2	
KO Raymond	AIL123	Licensed Representative		2
YIU Suk Fan, Monica	AIR596	Licensed Representative	1	
STANNARD Kathryn Louise	AIR825	Licensed Representative	1	
FALLOON Benjamin John	AIS085	Licensed Representative	7	
KO Jae Yeon	AIU562	Licensed Representative	7	
LEE Wai Tsang, Rosa	AIZ436	Licensed Representative	9	
POON Chi Lik, Eric	AJA981	Licensed Representative	1	
LEE Yun Wing, Aaron	AJC168	Licensed Representative	2, 9	
CHI Rui	AJE393	Licensed Representative	7	
WONG Kam Kin	AJI597	Licensed Representative		2
TING Wai Wong, Vivian	AJI834	Licensed Representative	7	

VARIATIONS OF REGULATED ACTIVITIES OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 01/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
WONG Wai Man	AJJ168	Licensed Representative	2	
BARNARD Gawain Meredith	AJO022	Licensed Representative		4
MOORHOUSE Anthony James	AJO038	Licensed Representative	1, 2	
CHAO Sze Chung, Benjamin	AKW740	Licensed Representative		4
KAO Cheng-hui	ALB059	Licensed Representative	1, 9	
WONG Man Tai	ALB654	Licensed Representative		1, 2
CHAN Fung	ALI762	Licensed Representative	2	
CHIU Krystal Yu Pui	ALN581	Licensed Representative	2	
QU Huiyi	ALP627	Licensed Representative	1, 6	
CHOW Kin	ALP967	Licensed Representative		2
TSANG Kennedy Kin Tak	ALP977	Licensed Representative	1	
TAN Yun Yang	ALQ958	Licensed Representative	7	
CHUANG Kuo-Chang, Terry	ALS543	Licensed Representative	1	
KHAN Raihan Uzzaman	ALV143	Licensed Representative	7	
KONG Qingying	ALV398	Licensed Representative		4, 5
LEUNG Ho Cheong, Barry	ALY163	Licensed Representative	1	4
WONG Sau Man	ALY638	Licensed Representative	1	
GUO Yang	AMA891	Licensed Representative	7	
LO Kin Chung, Kendall	AME906	Licensed Representative	1, 2	9
KONG Ki Fung	AMF054	Licensed Representative	1	
NG Chau Po	AMI195	Licensed Representative	4, 9	
TSAUR En-hua	AMJ234	Licensed Representative	4, 6	
LIN Xin	AMJ471	Licensed Representative	4, 6	
CHEN Wei-Yin	AMJ754	Licensed Representative	9	2
HU Yuting	AMK006	Licensed Representative		6
WESTON Marcus Patrick	AML281	Licensed Representative	7	
NIP Wai Lin	AMM411	Licensed Representative		2
TEHAN David Anthony	AMN681	Licensed Representative	1	
KWONG Chui Ling, Jenny	AMO532	Licensed Representative	1	
DONOVAN Michael Joseph	AMQ645	Licensed Representative	1	
TONG Tze Kong	AMQ919	Licensed Representative		6
MANN David Isaac	AMV257	Licensed Representative	1	
LEUNG Kai Hung	AMX297	Licensed Representative		2
LEUNG Yee Man	ANA342	Licensed Representative	1	
WU Suk Yee	ANA407	Licensed Representative	9	
YEUNG Ka Lee	ANA541	Licensed Representative	1, 9	
NOKE Freddy	ANA934	Licensed Representative	1, 2	
NG Kut Yin, Jeffrey	ANE006	Licensed Representative	2	
LAU Tat Shing	ANG468	Licensed Representative	2	
LEUNG Wing Ying, Stephanie	ANG578	Licensed Representative	2	4
WU Hao	ANH766	Licensed Representative	2	
LIU Wai Hung	ANK399	Licensed Representative	2	
CHAN Yin Lam	ANM835	Licensed Representative		4
COLLETT Benjamin Robert	ANM944	Licensed Representative	2	
UCHIYAMA Akiko	ANQ462	Licensed Representative	2	

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CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
POON Shek Yam	ANR345	Licensed Representative	1	
DICKINSON Sheila	ANS128	Licensed Representative	1	
RUPP Daniel Wiskirchen	ANV191	Licensed Representative	9	4
CHAN Fung Chu	ANW378	Licensed Representative		1
TSANG Pui Fan, Karen	ANY064	Licensed Representative		2, 5
POH Tze Hua	ANZ960	Licensed Representative		2, 7
CHU Yu Man, Pricilla	AOA610	Licensed Representative	1	
NEWNHAM Stewart John	AOB646	Licensed Representative	7	
NG Michael Jark Man	AOD036	Licensed Representative	7	
CHAN Wai Chung	AOD117	Licensed Representative	4	
TAM Kam Kwok, Kenneth Leandro	AOH644	Licensed Representative	9	
YEUNG Yat Chuen	AOJ604	Licensed Representative		1
HUANG Yin	AOJ769	Licensed Representative	7	
LAM Ching Yin	AOK261	Licensed Representative	1	
AN Yuqing	AON940	Licensed Representative	7	
WANG Mimi Christine	AOO269	Licensed Representative	7	
XU Luyan	AOO806	Licensed Representative	1	
LEUNG Kin Wah, Kelvin	AOQ573	Licensed Representative		4
TAN Soon Hoe	AOQ585	Licensed Representative	4	
POON Man Kit	AOQ607	Licensed Representative	2	
ANG Marie Stephanie Duque	AOR577	Licensed Representative	2	4
CHANG Jason	AOR636	Licensed Representative		2, 5
LIN Bin Chuang	AOR638	Licensed Representative	1	
LUI Winnoc	AOS682	Licensed Representative	9	1
TSE Pak Yeung	AOU733	Licensed Representative		3
HO Cheong Yin	AOV368	Licensed Representative	2	
NG Ting Wai	AOV642	Licensed Representative		4
HUI Kevin Kam Sun	AOW902	Licensed Representative	6	
IP Chi Kong	AOX418	Licensed Representative		4
CHEN Jing	AOX943	Licensed Representative	1	
LEUNG King Lun	AOY478	Licensed Representative	1	
YEN Shuh-Der	AOY594	Licensed Representative	9	2
MO Siu Man, Lily	APB684	Licensed Representative	1	
YAU Fuk Yuk, Alice	APF540	Licensed Representative	2	
CHAN Man Bun	APG837	Licensed Representative		4
KWOK Yi Lam, Elaine	APH010	Licensed Representative	2	
LAM Lap Fai	APJ190	Licensed Representative	1	
WONG Alex Cher Bunn	APJ568	Licensed Representative	7	
SANGHVI Sneha Vijay	APL690	Licensed Representative	7	
GALBREATH III Charles Scott	APN793	Licensed Representative	7	
KIM Ju Young	APO902	Licensed Representative	9	
CHEUNG Sai Sai	APP369	Licensed Representative	2	
YIU Ka Lam	APP686	Licensed Representative	4	
SHEN Christopher Guantin	APQ272	Licensed Representative	4, 6	
WONG Ka Kuen	APQ326	Licensed Representative	1	

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CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
FONG Ivan James	APQ837	Licensed Representative	1, 9	
CHUNG Wing Kit	APR848	Licensed Representative	1	
WONG Kwok Cheung	APS176	Licensed Representative		2
KIM Steven Hyung	APU516	Licensed Representative	6	
CHENG Man Wai	APV050	Licensed Representative		4
CHAN Yuen Ting	APV572	Licensed Representative		2
NG Chee Leung, Bernard	APV582	Licensed Representative	7	
WANG Shou Jen	APY531	Licensed Representative	2	
LEVINSON Robert Arnold	AQA773	Licensed Representative	1, 2	9
WONG Hoi Ting	AQB046	Licensed Representative		2
CHENG Ye	AQD868	Licensed Representative	6	
HA Eric King Lun	AQD952	Licensed Representative	7	
KIM Hyun Taek	AQE046	Licensed Representative	1, 9	
MA Jun	AQE888	Licensed Representative	2	
YAP Kenneth Cheong Leng	AQF524	Licensed Representative	1	4
CHIU Pui Yu	AQF575	Licensed Representative	4	
WEN Xiao Jie	AQH518	Licensed Representative	2	
HUNTER William John	AQI398	Licensed Representative	1, 2	
GALLIGAN Jonathan Philip	AQM705	Licensed Representative	4	
LI Yan	AQM744	Licensed Representative	3	1, 4
DU Josh Sheng	AQO386	Licensed Representative	4	
NG Yee Boon	AQP680	Licensed Representative	7	
WAKAO Tetsuji	AQQ076	Licensed Representative	1	
HUI Siu Hung	AQQ506	Licensed Representative		4
FAURE Stephane	AQR524	Licensed Representative	2	
WOODFIN William Keith	AQU537	Licensed Representative	7	
CHIU Man Leong	AQV672	Licensed Representative		3
CHEUNG Tsz Leung	AQV769	Licensed Representative	2	
GU Xiaoying	AQV842	Licensed Representative		2, 7
TONG Hing Lung	AQW032	Licensed Representative	2	
HSIEH Kenny	AQX043	Licensed Representative	1	
DU Jia	AQX423	Licensed Representative	1, 9	
SCHANTZ Andrew Robertson	AQY133	Licensed Representative	9	1
SEXTON Angus John	AQY825	Licensed Representative	1	
WANG Xiaojie	ARB168	Licensed Representative	1	
HU Qian	ARB302	Licensed Representative	2	
LUI Kwok On	ARB702	Licensed Representative		2
CHEUNG Ming Hung	ARD601	Licensed Representative	2	
MENON Go Ashokh	ARD833	Licensed Representative	1	
LEUNG Chun Hei, Matthias	ARE214	Licensed Representative	1, 2	3
AGRAWAL Gaurav	ARF356	Licensed Representative	2	
CHAN Kam Chi	ARG347	Licensed Representative	2	
TRIVELLA Matthew Anthony	ARH064	Licensed Representative	1	
BRADLEY Pamela Anne	ARH944	Licensed Representative	1	
THOM Yvonne Elizabeth	ARI572	Licensed Representative	7	

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CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
CHEN Ren	ARJ094	Licensed Representative	1	4
GAO Weishan	ARJ845	Licensed Representative	7	
ZHOOU Chanyan	ARM234	Licensed Representative	7	
YUNG Wai Lun	ARN020	Licensed Representative	3	
PAK Tsz Hin	ARO895	Licensed Representative	1	4
CHEUNG Lai Fong	ARP127	Licensed Representative	1	
LUI Yee Kwun, Eva	ARQ313	Licensed Representative	4	
STRADMOOR Norman Alexanda	ARR597	Licensed Representative	2	
SONG Tingting	ART003	Licensed Representative		1
OKA Taikan	ARU690	Licensed Representative	2	
LAU Nai Meng, David	ARW768	Licensed Representative	7	
MCGOLDRICK Michael Sean	ARX028	Licensed Representative	7	
CHAN Kei Chi	ASD490	Licensed Representative	4	
CHAN Timothy William	ASE221	Licensed Representative	1	
WONG Shing Him	ASG434	Licensed Representative		2
GLYNN Stephen Andrew	ASK162	Licensed Representative	7	
KIM John Piljung	ASL857	Licensed Representative	2	
PUN Hang Sang	ASL912	Licensed Representative	2	
HAU Bun Ho	ASL913	Licensed Representative	9	1
YEUNG Yat Sing, Arvin	ASQ571	Licensed Representative		2
O'LEAR Christopher James	ASS488	Licensed Representative	7	
TANDEAN Rika	ASU349	Licensed Representative	7	
LIM Sen Ming	ATC356	Licensed Representative		4
TSE Perry	ATE080	Licensed Representative	3	
MAN Chun Kit	ATH765	Licensed Representative	2	
LIANG Hao	ATN174	Licensed Representative	2	
YIN Junhua	ATN431	Licensed Representative	4, 9	
WANG Tai-jen, Jeffrey	ATO198	Licensed Representative	7	
WONG Wing Cho	ATR473	Licensed Representative	2	
CHAN Wai Kin	ATR859	Licensed Representative	7	
SOPP Stuart Martin	ATS771	Licensed Representative	7	
PANG Wing Shing	ATW745	Licensed Representative	1	
YEUNG Shuen	ATX840	Licensed Representative	2	
MAK Ka Chung, Steven	ATY276	Licensed Representative	1	
WONG Cheuk Lam	AUA501	Licensed Representative	2	
OYO Hiroshi	AUA698	Licensed Representative	3	
CHAN Lung Sang	AUA794	Licensed Representative	2	
CHING Tsun Lung	AUA954	Licensed Representative	3	
CHUNG Lap Kei, Ken	AUB216	Licensed Representative	2	
CHAN Wai Kit	AUB414	Licensed Representative	2	
LEUNG Hong Lin	AUB540	Licensed Representative	2	
CHENG Yau Shing	AUD507	Licensed Representative	1	
TSE Tsz Kit	AUD977	Licensed Representative	2	
LO Yee Man	AUH450	Licensed Representative	2	
LIU Clement George	AAF615	Licensed Representative - Responsible Officer	1	

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CE Name	CE No.	Licence Type	Types of Regulated Activity Added	Types of Regulated Activity Removed
LAWRENCE Richard Hurd Jr.	AAJ719	Licensed Representative - Responsible Officer		4, 5
CHAN Chung Shing	AAZ019	Licensed Representative - Responsible Officer	5	
JACOBSEN William Keith	ABR188	Licensed Representative - Responsible Officer	1	
TOWFIGH Frederick	ADD816	Licensed Representative - Responsible Officer	7	
WONG Tat Tung	ADJ144	Licensed Representative - Responsible Officer	1	
LUCAS Timothy David	ADK334	Licensed Representative - Responsible Officer		3
LENTCHNER Jesse Hart	ADS586	Licensed Representative - Responsible Officer		7
CHEUNG Ting Kee	ADV963	Licensed Representative - Responsible Officer	1	
LEE Pak	ADX851	Licensed Representative - Responsible Officer	4	
CHANG Yan Wing	ADX897	Licensed Representative - Responsible Officer	4, 9	
LEUNG Wai Lim	AED091	Licensed Representative - Responsible Officer	1	
ROY Ranodeb	AEN824	Licensed Representative - Responsible Officer	7	
STEWART Kyle William	AFR853	Licensed Representative - Responsible Officer	4	
WONG Wai Leung	AFW562	Licensed Representative - Responsible Officer	4	
KAM Chi Wan, Sandy	AGI598	Licensed Representative - Responsible Officer	1	
WANG Chen	AKO788	Licensed Representative - Responsible Officer		6
LEE Sang Me	AKS778	Licensed Representative - Responsible Officer	4	
SU Wei-chia	ALN246	Licensed Representative - Responsible Officer		1
GAY Pierre Gilbert	AMO576	Licensed Representative - Responsible Officer		3, 7
NAITO Kazuma	AMW685	Licensed Representative - Responsible Officer		7
WINTER Jens Owe	AMW854	Licensed Representative - Responsible Officer		7
LI Yuezhong	AMX710	Licensed Representative - Responsible Officer	4	
REILLY Eugene T	ANH725	Licensed Representative - Responsible Officer		2, 5, 7
LONERGAN Michael John	ANQ006	Licensed Representative - Responsible Officer		4, 5
SO Ho Ching, Paul	AQD146	Licensed Representative - Responsible Officer	6	
LEE Eu Han	ARJ450	Licensed Representative - Responsible Officer	9	
Hongkong and Shanghai Banking Corporation Limited, The	AAA523	Registered Institution	2	