

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 02/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
Ancora Capital Management (Asia) Limited	ATJ291	Licensed Corporation	4
BWC Wealth Management Limited	AUH729	Licensed Corporation	1, 4
Chater Capital Advisors (Hong Kong) Limited	AUL500	Licensed Corporation	9
China Universal Asset Management (Hong Kong) Company Limited	AUI816	Licensed Corporation	4, 9
Granite Fund Advisors Limited	AUI261	Licensed Corporation	4, 9
Guosen Securities (HK) Brokerage Company, Limited	AUI491	Licensed Corporation	1, 4
Jimei Asset Management Limited	ATL797	Licensed Corporation	9
Luen Fat Futures (H.K.) Limited	AUG469	Licensed Corporation	2
Lunar Capital Management Limited	ATY487	Licensed Corporation	4
Oppenheimer Investments Asia Limited	AUG613	Licensed Corporation	1, 6
SCM Strategic Capital Management Asia Limited	AUN105	Licensed Corporation	4
Tong Yang Securities Hong Kong Limited	AUF132	Licensed Corporation	1, 4
Trafalgar Capital Management (HK) Limited	AUJ529	Licensed Corporation	9
ZBI Asia Limited	AUH607	Licensed Corporation	1, 4
AGARWAL Prasoon	AUN719	Licensed Representative	1
AGARWAL Yash	AUN893	Licensed Representative	1, 2
AKASAKA Naoko	AUI047	Licensed Representative	4, 9
AN Bin	AUN707	Licensed Representative	1, 6
AN Qi	AUM597	Licensed Representative	1
AU Shui Leung	AUI431	Licensed Representative	4
BARRETT Peter Richard Stephen	AUO108	Licensed Representative	4, 9
BHADRA Sagar	AUI981	Licensed Representative	1, 4, 6
BLANCHETTE Sean David Hardy	AJO166	Licensed Representative	9
BLUME Christopher Edward	AUM978	Licensed Representative	1, 2
BRIDOUX Christophe Francois	AUK048	Licensed Representative	1, 2
BUCHINSKI Trevor	AQM553	Licensed Representative	4
CHAK Hok Ming	AUM696	Licensed Representative	1, 2
CHAN Chun Fai	AUM731	Licensed Representative	1
CHAN Chun Yip	AUO102	Licensed Representative	1, 2, 3
CHAN Edmund Yik Man	AUM705	Licensed Representative	6
CHAN Fai	AUN872	Licensed Representative	1
CHAN Hing Yip, Bryan	AEK264	Licensed Representative	2
CHAN Ka Ying	AUM979	Licensed Representative	1
CHAN Kam Fung, Jone	AUP407	Licensed Representative	4
CHAN Kit Hang	AUN620	Licensed Representative	1, 6
CHAN Lai Ying	AUE985	Licensed Representative	4, 5, 9

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 02/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHAN Michael Man Tung	AQM110	Licensed Representative	1, 6
CHAN Pui Shuen	AQM267	Licensed Representative	1
CHAN Sau Han	AUM922	Licensed Representative	1, 4
CHAN Sheung Lai	ACE861	Licensed Representative	1, 4, 9
CHAN Tam Chuen, George	AUN815	Licensed Representative	1
CHAN Tin Wai	AUR573	Licensed Representative	1
CHAN Ting Bond, Michael	AUR970	Licensed Representative	4, 9
CHAN Toby Man Hon	AOX545	Licensed Representative	4
CHAN Wan Yan, Rachel	AUP390	Licensed Representative	1
CHAN Yat Tan	AUI433	Licensed Representative	1, 2
CHAN Yuk Ngai	APL733	Licensed Representative	1
CHANG Chun Lap	ALU225	Licensed Representative	1, 2
CHANG Hui Miao	AUP393	Licensed Representative	1
CHANG Tianjie	ALZ687	Licensed Representative	9
CHANG Wan-Ling	AUP742	Licensed Representative	1
CHAU Kwong Lui	AUI437	Licensed Representative	1, 2
CHE Ming	AUO122	Licensed Representative	1, 9
CHEN Bing	AUN864	Licensed Representative	1, 4, 6
CHEN Evan Wai Man	ALP918	Licensed Representative	4
CHEN Shih Chieh	AOV514	Licensed Representative	1
CHEN Tak Yeaw, Collin	AUQ035	Licensed Representative	1
CHEN Xi	AUN143	Licensed Representative	1, 2
CHEN Yinhua	ARW892	Licensed Representative	1, 4
CHEN Yufei	AUM509	Licensed Representative	1, 6
CHENG Chien-Nan	AUQ044	Licensed Representative	1
CHENG Chun Hei	ANK163	Licensed Representative	4
CHENG Jazreel Yeun Yee	AHT093	Licensed Representative	1
CHENG Yuen Hong	AUP358	Licensed Representative	4
CHEUNG Chak Sun	AUG410	Licensed Representative	1
CHEUNG King Hei	AUP907	Licensed Representative	4
CHEUNG Kwok Ting, Adolf	AAV286	Licensed Representative	1, 2
CHEUNG So Ching, Regal	AUM160	Licensed Representative	4
CHEUNG Sze Chung	AUM379	Licensed Representative	1, 2
CHEUNG Wai Ching, Vancy	AFB036	Licensed Representative	1
CHEUNG Wai Man	AUN089	Licensed Representative	1, 4
CHEUNG Wing Lam	AUP820	Licensed Representative	1, 2

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 02/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHEUNG Yan To	AUM188	Licensed Representative	1, 6
CHIN Ke-vin	APL191	Licensed Representative	1
CHING Pak To	AJE763	Licensed Representative	4, 9
CHIU Kar Son, Kayson	AUL783	Licensed Representative	4
CHO Soo Ah Ran	AUQ203	Licensed Representative	1, 9
CHOI Heung Shing Frederick	AUR572	Licensed Representative	1, 2
CHOI O Hyun	AUM536	Licensed Representative	1, 2
CHOI Shing Yan	AUM819	Licensed Representative	1
CHOI Yunna	ANB474	Licensed Representative	1, 6
CHONG Louis Siu Kei	AUQ039	Licensed Representative	1, 4, 6
CHONG Sze Wai	AFV783	Licensed Representative	1, 2
CHOY Yin Nga	ANU415	Licensed Representative	1
CHUANG Christopher Jin-gee	AUM542	Licensed Representative	1, 2
CHUE Man Ying, Connie	AUP392	Licensed Representative	1, 6
CHUE Soon Seng, Kenneth	AUN087	Licensed Representative	1
CHUI Tsan Kit	AMS324	Licensed Representative	1, 2
CHUI Wai Fong	AUQ988	Licensed Representative	3
CHUNG Yi Tung	AUP364	Licensed Representative	1
CHUNG Yiu Kin, Nancy	AUO125	Licensed Representative	1
COHEN Yossi	AUM359	Licensed Representative	1
COWAN Paul Anthony John	AUC914	Licensed Representative	1
CREEDON Tom	APL757	Licensed Representative	1
DAVIES Andrew Michael	AUL682	Licensed Representative	1, 2
DELLOYE Renaud Nicolas Yves	ATW568	Licensed Representative	1
DONG Liqing	AUJ100	Licensed Representative	4, 9
DONNE Jonathan Geraint	AUM976	Licensed Representative	1, 2
DSOUZA Vanessa Agnes	AUJ958	Licensed Representative	1, 4
DU Chao	AUM373	Licensed Representative	1, 6
DU Heng	AUJ843	Licensed Representative	1
EDE-GOLIGHTLY Sally Ann	AUP885	Licensed Representative	4, 6
EELMAN Robert Garrett	AQA091	Licensed Representative	1
ENG Matthew Hunkee	AOO870	Licensed Representative	1, 4, 6
FERRIERE Pierre-andre Jacques	AUN705	Licensed Representative	9
FLETCHER Elizabeth Jane	AUN566	Licensed Representative	1, 2
FROISSART Julien Sebastien	ATR371	Licensed Representative	1, 2
FU Hsin Chang	AUJ844	Licensed Representative	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 02/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
FUJII Ken	ABM992	Licensed Representative	1, 2, 4, 5
FUNG Hin Kit	AUN708	Licensed Representative	1
FUNG Ka Yee	AUL683	Licensed Representative	1, 2, 4, 5
FUNG Kam Yin, Kenneth	AUN817	Licensed Representative	1, 2
FUNG Man Tak	AUJ066	Licensed Representative	1
FUNG Siu Lai, Florence	AUM743	Licensed Representative	1
GAO Bin	AUJ829	Licensed Representative	1, 2
GAO Jiasui	ASQ439	Licensed Representative	1, 4, 6
GAUDOIS Nicolas Junel	AUE035	Licensed Representative	4
GIBSON James David Almond	AUM716	Licensed Representative	1, 4
GONG Yiyang	AUN894	Licensed Representative	4, 9
GUO Jingjing	AUN104	Licensed Representative	4, 9
GUO Yupeng	AMK101	Licensed Representative	1
HA Chi Wah, Terence	AUN870	Licensed Representative	1, 2
HADDEN Todd William	AUL925	Licensed Representative	1
HAIG Alistair Peter	AUH935	Licensed Representative	4
HAN Hanting	ARQ970	Licensed Representative	1
HE Li	AUL729	Licensed Representative	1, 6
HIRAZUMI Noriaki	AUM179	Licensed Representative	9
HO Chin Chung	AUM525	Licensed Representative	1
HO Garrick Sai Man	AUM347	Licensed Representative	1
HO Leslie Sai Kit	AUM348	Licensed Representative	1
HO May Wai, Judy	AUM594	Licensed Representative	1, 4, 9
HO Wai Han	AUP538	Licensed Representative	4
HOUGHTON-HARDY Philip James	AUM599	Licensed Representative	1, 2
HSU Min Chieh	AUQ473	Licensed Representative	1
HUANG Ling Kwan	AUQ372	Licensed Representative	1, 2
HUANG Ruohai	AUM544	Licensed Representative	1
HUANG Weili	AUM306	Licensed Representative	1
HUI Chuen Kei	AUN813	Licensed Representative	1
HUNG Brian Lap Hei	ARA631	Licensed Representative	1, 4, 6
HUNG Cheung Chi	AUM469	Licensed Representative	1
HUSSEY Nadia	AUQ297	Licensed Representative	1, 7
JI Yehong	ALU479	Licensed Representative	1, 6
JIANG Hao	AUP713	Licensed Representative	9
JIN Yan	AUN102	Licensed Representative	1

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CE Name	CE No.	Licence Type	Types of Regulated Activity
JOUBERT Pierre Delmar	ATI743	Licensed Representative	1, 6
KAM Wai Ming	ARI519	Licensed Representative	1, 4
KAMYAR Adam	AUN905	Licensed Representative	9
KANGA Zal Darius	AUN710	Licensed Representative	1, 4
KATO Masayuki	AUK158	Licensed Representative	1, 4, 6
KAWASE Makoto	AUQ289	Licensed Representative	1, 4
KHAN Carina	ACE320	Licensed Representative	9
KHAN Imran	AUJ803	Licensed Representative	1
KIM Hyung Gyun	AUP709	Licensed Representative	1, 6
KIM Ivy Kang	AUQ300	Licensed Representative	1, 4
KING Kalina Shaw Tsang-jia	ARL029	Licensed Representative	4, 9
KIRST Marcus Wulf Horst	AUO212	Licensed Representative	4, 5, 9
KLAINGUTI Andreas Giorgio	ACJ013	Licensed Representative	1, 4
KO Ling Mang	AUP535	Licensed Representative	1
KO Richard Guanlin	AUQ665	Licensed Representative	9
KONG Jingxian	AUM349	Licensed Representative	1
KONG Ruomeng	AUJ848	Licensed Representative	1
KUMAR Sanjeev	AUN624	Licensed Representative	1, 6
KUNG Hin Shun	AUL624	Licensed Representative	1
KWAN Chun Kit	AUM545	Licensed Representative	1
KWAN Kai Ming	AAW394	Licensed Representative	1
KWAN Yuen On	AUL761	Licensed Representative	1
KWOK Ka Man Carmen	AUL688	Licensed Representative	1, 2
LAI Gar Ho, Karl	AUK295	Licensed Representative	1
LAI Hau Ming	AUQ291	Licensed Representative	9
LAI Kam Lam	AUP818	Licensed Representative	1
LAI Wai Ming	AUP361	Licensed Representative	1
LAI Yuen Fong	AMD159	Licensed Representative	1
LAM Chi Yung	AUL895	Licensed Representative	4
LAM Chit Wui	AUN975	Licensed Representative	1, 2, 4
LAM Chun Yim	AUO078	Licensed Representative	1
LAM Jane Tak-Jun	AUK183	Licensed Representative	1
LAM Kuen	ANJ657	Licensed Representative	9
LAM Lap Yan	AUQ929	Licensed Representative	1, 2
LAM Pik Lin	AUM940	Licensed Representative	1, 4, 9
LAM Yu Fung, Derek	AUL625	Licensed Representative	1, 2

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 02/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
LAM Yuen Ching	AUK296	Licensed Representative	1
LAM Yuen Yee, Doris	AUM216	Licensed Representative	1
LAM Yui Long	AUP540	Licensed Representative	4
LAOSOMBOON Pramote	AUL681	Licensed Representative	1, 4, 9
LAU Chi Kin	AUN078	Licensed Representative	1, 2
LAU Chung Yin	AUQ034	Licensed Representative	1, 4
LAU Hei Man	AUK451	Licensed Representative	1
LAU Kwan Fai	AOU962	Licensed Representative	1
LAU Ming Ho	AUQ041	Licensed Representative	9
LAU Tak Wa	AUP819	Licensed Representative	1
LAU Yuk Leung, Darwin	AUM452	Licensed Representative	1
LEE Chi Ho	AHJ474	Licensed Representative	4
LEE Gary	AUP537	Licensed Representative	1
LEE Hoi Hei	AUP539	Licensed Representative	4
LEE Hong Yee, Kenneth	AUN369	Licensed Representative	1, 2, 4, 5
LEE Pak Seng	AUN115	Licensed Representative	4
LEE SHYU Mei-Lan	AMJ459	Licensed Representative	1
LEE Ying Kin	AUO103	Licensed Representative	1, 6
LEONG Gary Douglas	AFF729	Licensed Representative	1
LEONG Kin Fan	AUL499	Licensed Representative	1, 4
LEUNG Chun Hung	AUP391	Licensed Representative	1, 2
LEUNG Ho Pong, Ronald	AGN975	Licensed Representative	1, 6
LEUNG Ka Wai	AUN113	Licensed Representative	1, 4, 6
LEUNG Ka Wai, Billy	APJ774	Licensed Representative	4
LEUNG Kam Fai	AGQ493	Licensed Representative	1, 4
LEUNG Kam Sing	AOD220	Licensed Representative	4, 9
LEUNG Kin Ling, Karen	APS510	Licensed Representative	1, 2, 4, 5
LEUNG King Hei	AQE889	Licensed Representative	1
LEUNG Kwok Kit, Donald	ALF251	Licensed Representative	1, 6
LEUNG Lai Ping, Gloria	ANK512	Licensed Representative	4
LEUNG Lisa	APZ443	Licensed Representative	1
LEUNG Ngo Sheung	AUI676	Licensed Representative	1, 2
LEUNG Wilson	AUM484	Licensed Representative	1
LI Chi Man	AIR529	Licensed Representative	1, 4
LI Jack C F	AIB172	Licensed Representative	1, 4, 6
LI Man Wai, Jasmine	AMF470	Licensed Representative	1, 4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 02/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
LI Qi	AUM913	Licensed Representative	1
LI Sung Tat	AUN103	Licensed Representative	1, 2
LI Xianlin	AUN096	Licensed Representative	1
LI Yuan	AUN720	Licensed Representative	1, 9
LIANG Fu Po	AUQ145	Licensed Representative	9
LIANG Jianwen	ATW865	Licensed Representative	4
LIANG Liang	AUM947	Licensed Representative	6
LIM Harvey Man Chuen	AUJ979	Licensed Representative	1, 2
LIM Kwee Tee	AUP360	Licensed Representative	1, 2
LIN Yang-ming	ANQ718	Licensed Representative	1
LING Kim Keung	ACS615	Licensed Representative	1, 2
LING Xinyuan	AUM712	Licensed Representative	4, 9
LIU Kit Ling	AUI936	Licensed Representative	1, 2
LIU Man Lai, Manly	ADI698	Licensed Representative	1
LIU Shih-Hun	ASX532	Licensed Representative	1, 2
LIU Yin	AUO116	Licensed Representative	1
LIU Zhihong	AEC891	Licensed Representative	9
LO Kai Tung	AGV227	Licensed Representative	6
LO Ting Sit	AUR826	Licensed Representative	3
LOCK Pik Shan, Ivy	AIU532	Licensed Representative	6
LOU loi Leong	AUI991	Licensed Representative	1
LU Chibin	AUI023	Licensed Representative	9
LU Jessica Zi Jie	AUJ946	Licensed Representative	1, 6
LU Long	AUL894	Licensed Representative	4
LU Yapeng	AUP546	Licensed Representative	4
LUI Chi Man, Alan	AML882	Licensed Representative	1, 2
LUI Hung Sun	AUQ332	Licensed Representative	3
LUI Man Wah	AQA809	Licensed Representative	1, 2
LUK Fei Ling	AUM614	Licensed Representative	4
LUK Wai Tat	AUP822	Licensed Representative	1, 2
MA Siu Yan	AUL974	Licensed Representative	1, 4
MA Sze Ming	AUO208	Licensed Representative	3
MAH Serene	AUP368	Licensed Representative	1, 2
MAK Chi Wah, Aaron	AUP951	Licensed Representative	1
MAK Yuen Man, Marian	AID159	Licensed Representative	1, 2
MAN Hok Leung	AUN664	Licensed Representative	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 02/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
MAQSOOD Omer	AUQ290	Licensed Representative	1, 7
MARTIN Hubert Charles	AUM955	Licensed Representative	2
MAU Jason Ka Hang	AUK137	Licensed Representative	1, 2
MC LAUGHLIN Timothy John	AUN327	Licensed Representative	1
MCALINDEN Barry	APF630	Licensed Representative	1, 4
MENG Jincong	AUN915	Licensed Representative	4, 9
MENG Mingyi	AUJ849	Licensed Representative	1, 4, 6
MENG Po	AUQ325	Licensed Representative	1, 6
MENG Song	AUP792	Licensed Representative	1, 6
MOK Hin Ting	AUJ961	Licensed Representative	1
MU Er	ASL540	Licensed Representative	1, 4, 6
MUIR Thibault Jean Paul	AMR678	Licensed Representative	1, 2
MUNDIGIAN Vatche Vartan	AUP689	Licensed Representative	1, 7
NG Ching Man	AUM833	Licensed Representative	1, 2
NG Chor Yam	ASL429	Licensed Representative	1
NG Chun Man	AUM147	Licensed Representative	2
NG Hin Yeung	AEY930	Licensed Representative	1
NG Ka Ying	AFU399	Licensed Representative	1
NG Kit Mo	ALY615	Licensed Representative	1
NG Kwan Shing	ALZ730	Licensed Representative	1
NG Ming Hang	AUQ159	Licensed Representative	4, 5, 9
NG Shun, Shara	AUM730	Licensed Representative	1, 4
NG Sui Wa, Alyssa	AEE670	Licensed Representative	1, 4, 6
NG Ting Chi	AUP953	Licensed Representative	1
NGA Shang Jie Dorcas	AUM928	Licensed Representative	1, 2
NGAI Ting Huen	ACI584	Licensed Representative	1, 2
O'SHEA Matthew Paul	AUL623	Licensed Representative	1, 7
OH Moon-Suk	AUO123	Licensed Representative	1, 4
OR Chun Chung	AUP536	Licensed Representative	4
PAN Bingqing	AUL784	Licensed Representative	4
PANG See Kit, Alwyn	ACJ317	Licensed Representative	4
PARK Sung Wan	ADQ242	Licensed Representative	1
PAROT Matthieu William Christian Henri	AUM827	Licensed Representative	1, 2
PELHAM Miles Christian	APL696	Licensed Representative	1, 2
PERRETT David Michael	AFF191	Licensed Representative	1, 2
PODDAR Prashant Kumar	AUN819	Licensed Representative	9

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 02/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
POON Chin Hung	ATB613	Licensed Representative	1, 4
POON Chun Hing	ALZ479	Licensed Representative	1
POON Tsz Yuen	AUM378	Licensed Representative	1, 6
POON Wai Yip, Albert	AUQ296	Licensed Representative	6
PRICE Thomas Martin	AUN888	Licensed Representative	4
PRITCHARD Callum Gary	AOD054	Licensed Representative	1
QIAN Junwei	AUJ847	Licensed Representative	1, 4, 6
QIU Ling	AQH577	Licensed Representative	9
RAUTUREAU Jean-claude Michel	ASL076	Licensed Representative	1
REN Jia	ASF520	Licensed Representative	1, 6
ROBERTS Matthew Vaughan	AUJ980	Licensed Representative	1, 2, 7
RUAN Wei	AUP541	Licensed Representative	4
SADHWANI Rashmi Ramesh	AUM930	Licensed Representative	1, 2
SARGEANT Ronald Thomas	ALZ314	Licensed Representative	1
SEARSON Sarah Margaret	AUM920	Licensed Representative	1
SEE Ching, Jennifer	AEQ054	Licensed Representative	1
SEET Eng Khan	AUN897	Licensed Representative	4
SHANG Xiaoting	AUL942	Licensed Representative	1
SHEPHERD Daniel Themis	ADX267	Licensed Representative	2, 5
SHIM Chi Wing	AUQ930	Licensed Representative	1, 2
SHIMADA Shunsuke	AUH908	Licensed Representative	1, 4
SHIU King On	AUM146	Licensed Representative	4
SIEW Chen Yei	AUL981	Licensed Representative	1, 4, 6
SINGH Aditya	AUP889	Licensed Representative	1, 2, 4, 5
SIT Kin Ho	AUN899	Licensed Representative	1
SIU Shui Lin	AUM189	Licensed Representative	1, 9
SO Ho Kei, Vicky	AUN873	Licensed Representative	1, 4
SONNENBERG Nicholas Matthew	AUI264	Licensed Representative	1, 2
STAMBULICH Aaron John	AUQ301	Licensed Representative	1
SUNG Siu Hang, Sennen	AOR113	Licensed Representative	1, 2
TADELIS Jamie Hal	ASO236	Licensed Representative	1
TAI Ching	AUK182	Licensed Representative	4
TAI Seung Chung	AUM208	Licensed Representative	1, 2
TAI Sheung Lam	AUN904	Licensed Representative	1, 2
TAM Chun Leung	AUP883	Licensed Representative	1, 2
TAM Hing Man	AUL943	Licensed Representative	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 02/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
TAM Lai Chung	AUM932	Licensed Representative	1, 9
TAN Teng Yee	AUN079	Licensed Representative	4
TAN Tze Huay	AUL628	Licensed Representative	1
TANG Stephen Man Yiu	AUN660	Licensed Representative	1, 6
TANG Ye	ANQ032	Licensed Representative	1, 6
TEO Kwee Theng	AUM015	Licensed Representative	1
TO Hang Ming	ADK169	Licensed Representative	2
TO Wing Fai, Raymond	AIF602	Licensed Representative	1
TONG Tsz Ying	AUP534	Licensed Representative	4
TSAI Meng-chen	AUM660	Licensed Representative	1
TSANG Heng Cheong	AUP884	Licensed Representative	1, 2
TSE Ka Man	AUM718	Licensed Representative	1, 4
TSE Si Wai	AUP890	Licensed Representative	1, 2
TSO Ka Sing	AUR286	Licensed Representative	1, 2
TUNG Chai Chor	AUL634	Licensed Representative	1
VERMA Shirish Ramesh	AUL983	Licensed Representative	1, 4, 6
WADHERA Karan Dharam	ANH727	Licensed Representative	1, 2
WAN Ching Pong	APP030	Licensed Representative	1
WANG Benjamin	AUP570	Licensed Representative	4
WANG Bo	AUJ114	Licensed Representative	4, 9
WANG Kankan	AUP532	Licensed Representative	4
WANG Qian	AUN076	Licensed Representative	1, 2
WIDDICOMBE Daniel	AAY700	Licensed Representative	1
WISWELL William Fitzgerald	AUK115	Licensed Representative	1
WONG Chi Ho	ANZ779	Licensed Representative	1, 4
WONG Chi Lok, Eric	AUJ960	Licensed Representative	1
WONG Chun Wah	AUP359	Licensed Representative	1, 4, 9
WONG Hiu Sing	AUJ155	Licensed Representative	1
WONG Kah Kiat Roy	AUM481	Licensed Representative	1
WONG Man Fai	AUN668	Licensed Representative	1
WONG Shih Wei	ANQ621	Licensed Representative	1, 2
WONG Shirley Yee Men	AUM931	Licensed Representative	1, 2
WONG Sze Chai	AUQ666	Licensed Representative	1
WONG Wai Ho	AUQ931	Licensed Representative	1, 2
WONG Wing Yin	AUM442	Licensed Representative	1
WONG Yin Chun	AUM624	Licensed Representative	4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 02/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
WONG Yiu Kui	AUJ952	Licensed Representative	1, 2
WOO Diana	APC367	Licensed Representative	1, 4
WOO Sum Ling	ALQ474	Licensed Representative	1, 2
WOO Ying, Elaine	AFT765	Licensed Representative	1, 2
WOOD Hugo Henry	AUI775	Licensed Representative	1, 2, 7
WOODS John Joseph	AUN839	Licensed Representative	4
XIAN Yi	AUM360	Licensed Representative	1, 4, 6
YAM Ying	ARK577	Licensed Representative	1, 2
YAN Sin Hang	AUL971	Licensed Representative	6
YAN Siu Kim	ALQ128	Licensed Representative	1
YAU Yuk Kuen	AUM480	Licensed Representative	1
YE Xiao	AUM476	Licensed Representative	1, 6
YEE Suk Ping	AUN579	Licensed Representative	1, 2
YEUNG Hiu Chit	AML649	Licensed Representative	9
YEUNG Wing Yi	AUM518	Licensed Representative	1
YI Choonshik	AUM311	Licensed Representative	4, 9
YIP Man Wai	AUM750	Licensed Representative	1
YU Amy Hangshin	AUJ850	Licensed Representative	1, 2
YU Baijing	AUL598	Licensed Representative	1, 4, 6
YUE Haw Ran David	AUI184	Licensed Representative	1
YUEN Chi Kwong	ART642	Licensed Representative	1
YUEN Queenie Miu Ling	AUN328	Licensed Representative	1, 2
YUEN Tak Wai, Alexander	ASP425	Licensed Representative	4
YUEN Wai Kin	AUL965	Licensed Representative	1, 2
YUNG Munh A, Flora	AGO950	Licensed Representative	1
ZENG Keke	ARJ832	Licensed Representative	1, 4, 6
ZHANG Juying Jerry	AFA127	Licensed Representative	1, 4, 6
ZHANG Wei	APK769	Licensed Representative	1, 6
ZHANG Ying	AUM577	Licensed Representative	1, 2
ZHAO Tian	ANR067	Licensed Representative	1, 6
ZHENG Shuzhao	AUM151	Licensed Representative	4
ZHENG Wen	AUH934	Licensed Representative	1, 2
ZHU Xuhua	AUK284	Licensed Representative	1
ZLOT Andrew Edward	AHK662	Licensed Representative	9
ZONENSHINE Moshe Mark	AUP714	Licensed Representative	9
AARONS Christopher James	AUJ530	Licensed Representative - Responsible Officer	9

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 02/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
BERNSTEIN Steven A	AUQ299	Licensed Representative - Responsible Officer	1, 6
BHATIA Chetan	AUG618	Licensed Representative - Responsible Officer	6
BLANK Alexander	AUN107	Licensed Representative - Responsible Officer	4
CHAN Kevin Evelyn	AHA565	Licensed Representative - Responsible Officer	9
CHANG Koon Chung, Joseph	AHV465	Licensed Representative - Responsible Officer	4
CHANG Yung Kang, Peter	AGU143	Licensed Representative - Responsible Officer	9
CHENG Jason Aun Minn	AQL466	Licensed Representative - Responsible Officer	4
CHUN Jwa Yul	AUG128	Licensed Representative - Responsible Officer	1, 4
COOK III Thomas Crawford	ASI335	Licensed Representative - Responsible Officer	1
EDWARDS Alexander Tristan	AUJ531	Licensed Representative - Responsible Officer	9
GAO Sheldon	AUJ097	Licensed Representative - Responsible Officer	4, 9
GONG Lixun	AKX873	Licensed Representative - Responsible Officer	4
HAN Xianwang	AUJ099	Licensed Representative - Responsible Officer	4, 9
HAO Wei Chieh	ALG480	Licensed Representative - Responsible Officer	9
HASAN Ramiz	ATO445	Licensed Representative - Responsible Officer	4, 9
HEJE Gregard Knutson	AUH701	Licensed Representative - Responsible Officer	1, 4
HEPP Stefan Wolfgang Otto	AUN108	Licensed Representative - Responsible Officer	4
HOLMES Charles Broadfoot	AUG616	Licensed Representative - Responsible Officer	1
LAFLAMME Mark Thomas	AUH694	Licensed Representative - Responsible Officer	1, 4
LAM Frank Pun Yuen	AFU929	Licensed Representative - Responsible Officer	4, 6
LAU Matthew Kai Cheong	AIR626	Licensed Representative - Responsible Officer	9
LEONI Jean Pierre	AST291	Licensed Representative - Responsible Officer	1, 4, 5, 9
LI Kai	ASF502	Licensed Representative - Responsible Officer	4, 9
LIU Gar Lon	ATJ435	Licensed Representative - Responsible Officer	4
LO Xu Yu, Felix	AUI262	Licensed Representative - Responsible Officer	4, 9
MINESUK Thanachai	AUI263	Licensed Representative - Responsible Officer	4, 9
NG Chi Fai	ACR411	Licensed Representative - Responsible Officer	6
NG Hoi Kit, Michael	ATY490	Licensed Representative - Responsible Officer	4
O'DWYER Catherine Deirdre	AUH638	Licensed Representative - Responsible Officer	1, 4
OVERLANDER Michael	AQE853	Licensed Representative - Responsible Officer	2
SULGER Derek Nelsen	ATY489	Licensed Representative - Responsible Officer	4
SULGER LEUNG Michelle Anne Quan Yue	ADW966	Licensed Representative - Responsible Officer	4
TOWFIGHI Ali Reza	AOV143	Licensed Representative - Responsible Officer	1, 4
WONG Foelan	ADQ592	Licensed Representative - Responsible Officer	4, 9
WONG Timothy	AUG576	Licensed Representative - Responsible Officer	1, 2, 3
YOON Sung Jin	AUN972	Licensed Representative - Responsible Officer	1, 4, 6

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 02/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
-- Lakshmi Kailas	AUR846	Licensed Representative (Provisional Licence)	1, 6
AGARWAL Yash	AUN893	Licensed Representative (Provisional Licence)	1, 2
AHN Chae Young	AUS848	Licensed Representative (Provisional Licence)	1, 2
AHN Seong Soo	AUQ481	Licensed Representative (Provisional Licence)	4
ANDREW Timothy William	ACQ044	Licensed Representative (Provisional Licence)	1, 4
AU Kin Fai	AUT369	Licensed Representative (Provisional Licence)	1, 2
BADENHOP Henning	AUR975	Licensed Representative (Provisional Licence)	4, 9
BAI Xiao	AUQ996	Licensed Representative (Provisional Licence)	1, 6
BAILDON Ross Francis	AUT133	Licensed Representative (Provisional Licence)	1, 4, 6
BARKER Catherine Yung-wen	AUR978	Licensed Representative (Provisional Licence)	1, 4, 9
BENOMAR Youssef	AUR589	Licensed Representative (Provisional Licence)	1, 4
BOJARSKI Justin Curtis	AUT131	Licensed Representative (Provisional Licence)	1, 2, 7
BOLTON Anthony John	AAV490	Licensed Representative (Provisional Licence)	4, 9
BRAMAH Callum	AUR637	Licensed Representative (Provisional Licence)	4
BRIDGEWATER George Spencer	AUS002	Licensed Representative (Provisional Licence)	1, 2, 7
CHAKHTOURA Andree	AUS130	Licensed Representative (Provisional Licence)	1, 4, 6
CHAN Fu Wah, Anthony	AKP780	Licensed Representative (Provisional Licence)	1, 2
CHAN Kin Man	AUQ963	Licensed Representative (Provisional Licence)	1, 3
CHAN Kwan Yiu, Nelson	AUS154	Licensed Representative (Provisional Licence)	1, 2
CHAN Lok Fung	AUR102	Licensed Representative (Provisional Licence)	1, 2
CHAN Tat Shing	AUS311	Licensed Representative (Provisional Licence)	1, 4
CHAN Tin Wai	AUR573	Licensed Representative (Provisional Licence)	1
CHAN Tsz Pan, Henry	AUT165	Licensed Representative (Provisional Licence)	1, 2
CHAN Yat Fung	AUS131	Licensed Representative (Provisional Licence)	1, 2
CHANG Charlene-Jayne Wei-Ying	AUQ670	Licensed Representative (Provisional Licence)	1, 6
CHANG Feng	AUQ474	Licensed Representative (Provisional Licence)	1, 2, 7
CHANG Hui Miao	AUP393	Licensed Representative (Provisional Licence)	1
CHAPMAN Patrick Dylan	AUR996	Licensed Representative (Provisional Licence)	1, 2, 7
CHAU Hubert	AUS198	Licensed Representative (Provisional Licence)	1
CHAUDHRY Wahid	AUS834	Licensed Representative (Provisional Licence)	1, 2
CHEN Zi Yun, Charlotte	AQA158	Licensed Representative (Provisional Licence)	1
CHEN Zibo	AUR285	Licensed Representative (Provisional Licence)	4
CHENG Adrian Chun Ying	AUS087	Licensed Representative (Provisional Licence)	1, 6
CHENG Bowei	AUQ984	Licensed Representative (Provisional Licence)	1, 4
CHENG Kim Wa	AGE884	Licensed Representative (Provisional Licence)	1, 4, 9
CHEUNG Hoi Yip, Herbert	AUT506	Licensed Representative (Provisional Licence)	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 02/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHEUNG Huai Yun, Candy	AUS580	Licensed Representative (Provisional Licence)	9
CHEUNG Kam Wing	AUU995	Licensed Representative (Provisional Licence)	1
CHEUNG Kin Keung, Jocelyn	ADI990	Licensed Representative (Provisional Licence)	1, 2
CHEUNG Tsz Kit	AIX574	Licensed Representative (Provisional Licence)	4
CHEUNG Tsz Wai	AUT495	Licensed Representative (Provisional Licence)	1
CHEUNG Wang	AMF506	Licensed Representative (Provisional Licence)	1
CHIAO Hsuan Shih	AUQ667	Licensed Representative (Provisional Licence)	1, 4, 6
CHIN Chung Hing	AUR132	Licensed Representative (Provisional Licence)	1
CHIN Ke-vin	APL191	Licensed Representative (Provisional Licence)	1
CHIN Szu Yi	ASE564	Licensed Representative (Provisional Licence)	4, 9
CHOI Chi Ho	AUS180	Licensed Representative (Provisional Licence)	1, 2
CHOI Heung Shing Frederick	AUR572	Licensed Representative (Provisional Licence)	1, 2
CHONG Ting Piu	AUO117	Licensed Representative (Provisional Licence)	1
CHOW Wai Ping	AUU996	Licensed Representative (Provisional Licence)	1
CHOW Wai Yee	AUQ748	Licensed Representative (Provisional Licence)	1
CHUANG Yu	AUT128	Licensed Representative (Provisional Licence)	4
CHUI Henry Kar-Kea	AQI323	Licensed Representative (Provisional Licence)	1
CHUNG Hon Kee	AEP533	Licensed Representative (Provisional Licence)	1
CHYE Nyit Shin	AUS310	Licensed Representative (Provisional Licence)	1
COHEN Ylan Joseph Steven	ATV805	Licensed Representative (Provisional Licence)	1, 4
CONNOLLY CARBO Trevor James	AUT134	Licensed Representative (Provisional Licence)	9
COOK James Gerard	AUQ934	Licensed Representative (Provisional Licence)	1
COWPERTHWAITTE Adam Aaron	AIB753	Licensed Representative (Provisional Licence)	1, 2
CUI Can	AUQ924	Licensed Representative (Provisional Licence)	1, 9
CUNIN Laurent, Jacques	AUU917	Licensed Representative (Provisional Licence)	1, 2
DAURES Christophe, Pascal	AUQ925	Licensed Representative (Provisional Licence)	1, 2
DEO Stephane Alfred	AUQ990	Licensed Representative (Provisional Licence)	4
DEVEREUX WONG Virginia	AAJ666	Licensed Representative (Provisional Licence)	1, 9
DR. SCHMITZ-MORKRAMER Patrick Walter	AUV004	Licensed Representative (Provisional Licence)	1, 4, 6
DRAYTON Iain Nicholas	AUS877	Licensed Representative (Provisional Licence)	1, 6
EL HICHERI Fayez	ANH083	Licensed Representative (Provisional Licence)	1
FAN Liwei	AUS995	Licensed Representative (Provisional Licence)	1, 4
FAN Wenchao	AUQ956	Licensed Representative (Provisional Licence)	1, 2, 4, 5
FERREIRA Michael John	AUP419	Licensed Representative (Provisional Licence)	1, 2
FLAMAND Philippe Francois	AUS996	Licensed Representative (Provisional Licence)	1, 2
FONG Joseph J	AUQ951	Licensed Representative (Provisional Licence)	4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 02/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
FOO Yin Pheng	AUQ510	Licensed Representative (Provisional Licence)	4, 9
FU Tan Yip	AUT505	Licensed Representative (Provisional Licence)	1
FUNG Chi Ping	AUU924	Licensed Representative (Provisional Licence)	1
GHOSH Sharmila	AUS854	Licensed Representative (Provisional Licence)	1, 4
GRISEL Albert Jan	AUR748	Licensed Representative (Provisional Licence)	6
GROVER Madhu	AUM426	Licensed Representative (Provisional Licence)	1
GRUNAUER Xavier Mieles	ARE996	Licensed Representative (Provisional Licence)	4
GUNNS Christopher Michael Adrian	APC679	Licensed Representative (Provisional Licence)	1, 4, 9
GUO Yan	AUS955	Licensed Representative (Provisional Licence)	1, 2, 7
HARVEY Neil Anthony Shaun	AUT093	Licensed Representative (Provisional Licence)	1, 4
HAU Woon Ki	AUR983	Licensed Representative (Provisional Licence)	1, 2
HERRMANN Simon Fabian	AUQ923	Licensed Representative (Provisional Licence)	1, 6
HO Suk Chun	AUT164	Licensed Representative (Provisional Licence)	1, 2
HOO Emily Lye Lyn	AUS209	Licensed Representative (Provisional Licence)	1, 4
HOUDEYE Cedric Abraham Avi	AUN368	Licensed Representative (Provisional Licence)	1, 2, 7
HSIEH Siou-Ping	AUR646	Licensed Representative (Provisional Licence)	1
HSU Mabel Ming	ANT724	Licensed Representative (Provisional Licence)	1, 4, 6
HU Zhengwei	AUQ995	Licensed Representative (Provisional Licence)	1, 6
HUANG Lingzi	AUR855	Licensed Representative (Provisional Licence)	1, 6
HUANG Wenjun	AUT504	Licensed Representative (Provisional Licence)	1, 6
HUI Wai Fat, Philip	AUS126	Licensed Representative (Provisional Licence)	1, 2
HUNG Chiu Loi	AUS181	Licensed Representative (Provisional Licence)	1, 2
HUNG Wesley Yi Kuo	AUR863	Licensed Representative (Provisional Licence)	1, 2, 7
HUNG Yat On	AUS182	Licensed Representative (Provisional Licence)	1
INE Hiroaki	AUU992	Licensed Representative (Provisional Licence)	1
IP Chit Yin	AUR651	Licensed Representative (Provisional Licence)	4
IP Po San, Joyce	AFF506	Licensed Representative (Provisional Licence)	1
IP Wai Shan	AUR645	Licensed Representative (Provisional Licence)	3
ISGROVE Paul Brian	AIZ559	Licensed Representative (Provisional Licence)	1
IU Pak Fan	AUS619	Licensed Representative (Provisional Licence)	1, 2
JENG Ming-tzung	AUS471	Licensed Representative (Provisional Licence)	4
JOHNSON Christopher Lind	AGA971	Licensed Representative (Provisional Licence)	1, 2
KABIGTING Caroline Llave	AUQ338	Licensed Representative (Provisional Licence)	4
KANG John Brian	AFW034	Licensed Representative (Provisional Licence)	1, 2
KHAN Asad Rahman	AUS963	Licensed Representative (Provisional Licence)	1, 2
KHAN Carina	ACE320	Licensed Representative (Provisional Licence)	9

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 02/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
KHANDELWAL Abhishek	AUQ154	Licensed Representative (Provisional Licence)	1, 4, 6
KHOO Wen Wen Michelle	AUQ669	Licensed Representative (Provisional Licence)	1, 6
KIM Gil Hyung	AUQ480	Licensed Representative (Provisional Licence)	4
KIM Hyung Jin	AUU988	Licensed Representative (Provisional Licence)	1
KING Wen-Herng Henry	AUR993	Licensed Representative (Provisional Licence)	1, 4
KIRST Marcus Wulf Horst	AUO212	Licensed Representative (Provisional Licence)	4, 5, 9
KOH Yen Hwa, Jasmine	AFW968	Licensed Representative (Provisional Licence)	1
KU Kwan, Patrick	AUR318	Licensed Representative (Provisional Licence)	1, 4, 6
KUNG Ho Bun	AUS202	Licensed Representative (Provisional Licence)	1
KWOK Yim Fan	AUR654	Licensed Representative (Provisional Licence)	3
LACEY JR Donald Edward	AUQ978	Licensed Representative (Provisional Licence)	1, 6
LAI Lap Yan	AUR101	Licensed Representative (Provisional Licence)	1, 2
LAI Tsz Wo, Wanda	AUQ526	Licensed Representative (Provisional Licence)	1, 4
LAI Yat Hoi	AHS158	Licensed Representative (Provisional Licence)	2
LAI Yee Chung	AUR977	Licensed Representative (Provisional Licence)	1, 2
LAM Hoi Sing	AUR383	Licensed Representative (Provisional Licence)	1, 2
LAM Lai Yuun Meng	AUS150	Licensed Representative (Provisional Licence)	9
LAM Lap Yan	AUQ929	Licensed Representative (Provisional Licence)	1, 2
LAM Sai Lap	APW631	Licensed Representative (Provisional Licence)	9
LAM Tim Yi, Emily	AUS277	Licensed Representative (Provisional Licence)	1
LAM Yin Fung Preston	AUS828	Licensed Representative (Provisional Licence)	1, 2
LAU Chi Chiu, Terry	AUQ993	Licensed Representative (Provisional Licence)	1
LAU Hamilton Atsumi	AUR856	Licensed Representative (Provisional Licence)	1, 6
LAU Kai Wing	AUS656	Licensed Representative (Provisional Licence)	1
LAU Muk Hoi	AUQ375	Licensed Representative (Provisional Licence)	1, 4
LAU Sheung Yuen	AUR615	Licensed Representative (Provisional Licence)	1, 6
LAU Suk Yu	AAG214	Licensed Representative (Provisional Licence)	1, 2
LAW Chi Yeung	AUS143	Licensed Representative (Provisional Licence)	1, 2
LEE Allen Cheng-Luan	ANK425	Licensed Representative (Provisional Licence)	9
LEE Chung Hei	AUQ941	Licensed Representative (Provisional Licence)	9
LEE Deborah Susan	APU511	Licensed Representative (Provisional Licence)	1
LEE Donald Sang	AUT132	Licensed Representative (Provisional Licence)	1, 2, 7
LEE Frank I-J	AJL237	Licensed Representative (Provisional Licence)	1, 4
LEE Ha Yan	AUS843	Licensed Representative (Provisional Licence)	1, 4
LEE Hwa Shin	AUQ985	Licensed Representative (Provisional Licence)	1
LEE Hyun Woo	AUR839	Licensed Representative (Provisional Licence)	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 02/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
LEE Jina	AUT717	Licensed Representative (Provisional Licence)	4
LEE Lap Tak, Alfred	AUQ739	Licensed Representative (Provisional Licence)	1, 4, 9
LEE Wai Chu	AUR338	Licensed Representative (Provisional Licence)	1
LEE Wai Sum	AUR858	Licensed Representative (Provisional Licence)	4, 9
LEE Wing	AUR872	Licensed Representative (Provisional Licence)	1
LEE Yan Lun	AUR845	Licensed Representative (Provisional Licence)	2, 3
LEONG Wai Ip	AFV784	Licensed Representative (Provisional Licence)	1
LEUNG Chi Loen	AUQ948	Licensed Representative (Provisional Licence)	3
LEUNG Kam Sing	AOD220	Licensed Representative (Provisional Licence)	4, 9
LEUNG Kwok Kit, Donald	ALF251	Licensed Representative (Provisional Licence)	1, 6
LEUNG Man Kit	ANW505	Licensed Representative (Provisional Licence)	1, 2
LEUNG Wai Ming	AUR822	Licensed Representative (Provisional Licence)	1, 2
LEUNG Wing Kuen	AUR979	Licensed Representative (Provisional Licence)	1
LEUNG Yu Hang	AUT166	Licensed Representative (Provisional Licence)	1
LI Shujie	AUR549	Licensed Representative (Provisional Licence)	1
LI Yanjie	AUS278	Licensed Representative (Provisional Licence)	1, 6
LI Yuk Ping	ADV175	Licensed Representative (Provisional Licence)	1, 2
LIANG Xin	AUQ994	Licensed Representative (Provisional Licence)	1, 7
LIN Alex	AUQ475	Licensed Representative (Provisional Licence)	1, 4
LIN Carol Iris	AFX854	Licensed Representative (Provisional Licence)	1, 7
LIN Chi Long, Danny	ADD804	Licensed Representative (Provisional Licence)	1
LIN Derek Tin-fu	AUQ490	Licensed Representative (Provisional Licence)	1, 2, 7
LIU Wei	AUS655	Licensed Representative (Provisional Licence)	1
LIU Xi	AUQ721	Licensed Representative (Provisional Licence)	1
LO Eva	ANQ384	Licensed Representative (Provisional Licence)	4
LO John	AUS158	Licensed Representative (Provisional Licence)	1, 2
LO Sin Au	AUR649	Licensed Representative (Provisional Licence)	3
LOH Jacinda Ee Wenn	AUS201	Licensed Representative (Provisional Licence)	4
LU Chaoqi	AUR998	Licensed Representative (Provisional Licence)	1, 4
LU Hongbo	AUS615	Licensed Representative (Provisional Licence)	4
LUI Kit Chun, Michelle	AUS687	Licensed Representative (Provisional Licence)	1, 4
MA Chao	AUR848	Licensed Representative (Provisional Licence)	1, 6
MA Hei Ming	AUV005	Licensed Representative (Provisional Licence)	1, 2
MA Henry Lig	AUR629	Licensed Representative (Provisional Licence)	1
MA Hing Yan	AUQ493	Licensed Representative (Provisional Licence)	2
MA Yunpeng	AUR465	Licensed Representative (Provisional Licence)	4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 02/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
MAESTRI Sergio	AUT780	Licensed Representative (Provisional Licence)	1, 4, 9
MAK Kai Chun, Kevin	ANG151	Licensed Representative (Provisional Licence)	6
MAN Ka Mei	AUR547	Licensed Representative (Provisional Licence)	1, 6
MCDONALD Liam Patrick	AUQ456	Licensed Representative (Provisional Licence)	1
MCFERRAN Jack Howard Egar	AIN733	Licensed Representative (Provisional Licence)	1, 2
MCLAUGHLIN Gregory John	AUT903	Licensed Representative (Provisional Licence)	1, 4
MENG Po	AUQ325	Licensed Representative (Provisional Licence)	1, 6
MIAO Kaizhou	ALZ811	Licensed Representative (Provisional Licence)	1, 9
MING Chi Ho, Edward	AUS686	Licensed Representative (Provisional Licence)	9
MIZUNO Atsushi	AUQ472	Licensed Representative (Provisional Licence)	1, 4, 6
MOHAN Santhosh Kumar	AUR104	Licensed Representative (Provisional Licence)	1, 6
MOTWANI Natasha Murli	AUR655	Licensed Representative (Provisional Licence)	1, 2
MUKHERJI Ranobir	AUS447	Licensed Representative (Provisional Licence)	1, 4, 6
NAJI Ramin	APH952	Licensed Representative (Provisional Licence)	1, 4, 6
NATARAJAN Neeraja	AUT496	Licensed Representative (Provisional Licence)	4
NG Chi Ho	AUR825	Licensed Representative (Provisional Licence)	1, 4, 9
NG Kok Ming	AMN905	Licensed Representative (Provisional Licence)	4
NG Man Chun	AML619	Licensed Representative (Provisional Licence)	1
NG Miu Ping	AUS643	Licensed Representative (Provisional Licence)	1, 2
NG Tze Ling	AUR843	Licensed Representative (Provisional Licence)	1
NICHOLSON Gareth	AUR823	Licensed Representative (Provisional Licence)	1, 4
O'CONNELL Jared Stockton	AUQ513	Licensed Representative (Provisional Licence)	1, 4
OETOMO Teddy Nuryanto	ATH918	Licensed Representative (Provisional Licence)	4
PANG Ka Fai, Andy	AUT321	Licensed Representative (Provisional Licence)	1, 2
PARK Sun Jong	AUS811	Licensed Representative (Provisional Licence)	1, 4
PARKER Michael Wade	AUR866	Licensed Representative (Provisional Licence)	1, 4
POON Tsze kay	AUT893	Licensed Representative (Provisional Licence)	4, 5, 9
PRASAD Simple	AUA964	Licensed Representative (Provisional Licence)	1
PRITCHARD Callum Gary	AOD054	Licensed Representative (Provisional Licence)	1
PUN Ka Yau	AUQ953	Licensed Representative (Provisional Licence)	1, 2, 3
RAZMILOVIC Ante	AUR148	Licensed Representative (Provisional Licence)	1
RITZ Stephane Marcel Marie Bernard	AUS617	Licensed Representative (Provisional Licence)	1, 2
ROBERTSON Toby Neil	AUR287	Licensed Representative (Provisional Licence)	1
ROEDER Sabine Monika	ATN822	Licensed Representative (Provisional Licence)	1, 6
SABOT Etienne Gabriel	APP680	Licensed Representative (Provisional Licence)	1, 2
SASSO Aira	AUR745	Licensed Representative (Provisional Licence)	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 02/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
SHAH Jennifer Sarah Clark	AUR660	Licensed Representative (Provisional Licence)	1, 9
SHAH Junaid Hussain	AUR999	Licensed Representative (Provisional Licence)	1, 2
SHAN Miao	AUT412	Licensed Representative (Provisional Licence)	1, 6
SHEN Tao	AUS961	Licensed Representative (Provisional Licence)	4
SHI Dawei	AUR997	Licensed Representative (Provisional Licence)	1, 4
SHI Gaoyang	AUS417	Licensed Representative (Provisional Licence)	4
SHI Zhensong	AUR648	Licensed Representative (Provisional Licence)	2
SHIM Chi Wing	AUQ930	Licensed Representative (Provisional Licence)	1, 2
SHUK Lap	ALB297	Licensed Representative (Provisional Licence)	1, 2
SHUTO Takashi	AUT376	Licensed Representative (Provisional Licence)	1, 4, 6
SIM Chantara	AUT129	Licensed Representative (Provisional Licence)	1, 2
SIN Kin Hong, Edward	AUU993	Licensed Representative (Provisional Licence)	1, 2
SO Koon On	AUR647	Licensed Representative (Provisional Licence)	1
SO Yu Yuk	AUQ747	Licensed Representative (Provisional Licence)	1
SOHN Hyunho	ANB380	Licensed Representative (Provisional Licence)	4, 9
SRINIVASAN Kandarp	AUQ668	Licensed Representative (Provisional Licence)	1, 6
STAMBULICH Aaron John	AUQ301	Licensed Representative (Provisional Licence)	1
STIRIS Alexander Jarl	AUR834	Licensed Representative (Provisional Licence)	1, 6
SUN Kam Ming	AUT130	Licensed Representative (Provisional Licence)	1, 6
SUTTIE Ben Charles	AFW867	Licensed Representative (Provisional Licence)	1, 7
SZE Chiu Yu, Dominic	AUS423	Licensed Representative (Provisional Licence)	1, 4
TAI Nai	AUS628	Licensed Representative (Provisional Licence)	1, 2
TAM Chun Leung	AUP883	Licensed Representative (Provisional Licence)	1, 2
TAM Lup Yun, Yoko	AUS003	Licensed Representative (Provisional Licence)	1, 2
TAM Tsz Tuen, Arthur	AUS140	Licensed Representative (Provisional Licence)	1, 2
TAM Yee Hang	AUT514	Licensed Representative (Provisional Licence)	4, 9
TAN Yi-ming, Darryl	AUR864	Licensed Representative (Provisional Licence)	1, 2, 7
TANG Luk Cheung	AUU976	Licensed Representative (Provisional Licence)	1, 2
TANG Pan Shing	AUT592	Licensed Representative (Provisional Licence)	1, 2
TANG Peter Jee Ho	ACP853	Licensed Representative (Provisional Licence)	4
TANG Wai Chi Ricky	AUS271	Licensed Representative (Provisional Licence)	1, 9
TANG Yik Lun	AUS633	Licensed Representative (Provisional Licence)	1, 2
TANTRI Ami	AUR746	Licensed Representative (Provisional Licence)	4
TAY Jasper Choon Hean	AUS298	Licensed Representative (Provisional Licence)	1
TAYLOR Timothy	ADA513	Licensed Representative (Provisional Licence)	4
THUKRAL Jatin	AUN816	Licensed Representative (Provisional Licence)	1, 2

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 02/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
TO Kam Lung, Danny	ARA334	Licensed Representative (Provisional Licence)	4
TONG Tsz Wai	AUT494	Licensed Representative (Provisional Licence)	1
TORY Richard Marshall	AUT094	Licensed Representative (Provisional Licence)	1, 4, 6
TSANG Cheuk Fung	AUS314	Licensed Representative (Provisional Licence)	1, 2
TSANG Jason Ka Chun	AUT168	Licensed Representative (Provisional Licence)	1, 2
TSANG Wai Tak, Victor	ACP649	Licensed Representative (Provisional Licence)	1
TSAO Philip	AEF812	Licensed Representative (Provisional Licence)	1, 2, 4, 5, 7
TSE Albert Yeuk Kuk	AUQ329	Licensed Representative (Provisional Licence)	6
TSE Betty Shui Hing	AUR711	Licensed Representative (Provisional Licence)	1
TSE Kim Hung	AUR388	Licensed Representative (Provisional Licence)	4
TSO Ka Sing	AUR286	Licensed Representative (Provisional Licence)	1, 2
VALDISOLO Mattia	AUS156	Licensed Representative (Provisional Licence)	1
VATCHKOVA Denitza Plamenova	AUS969	Licensed Representative (Provisional Licence)	1, 2, 7
WAN Ho Lam	AUR976	Licensed Representative (Provisional Licence)	3
WAN Hung Ha	AUQ942	Licensed Representative (Provisional Licence)	1
WANA Arief Cahyadi	ATH915	Licensed Representative (Provisional Licence)	4
WANG Jing	AUQ482	Licensed Representative (Provisional Licence)	1, 2, 4, 5
WANG Miao	AUR623	Licensed Representative (Provisional Licence)	1
WEINGARTH John Nicholas Grant	APB774	Licensed Representative (Provisional Licence)	1
WERNER Michael Joseph	AUO124	Licensed Representative (Provisional Licence)	1, 4
WONG Hoi Yan	AFR863	Licensed Representative (Provisional Licence)	1
WONG Ka Chun	AUU925	Licensed Representative (Provisional Licence)	1
WONG Ka Fai	AEA628	Licensed Representative (Provisional Licence)	1
WONG Kam Ka	AUR988	Licensed Representative (Provisional Licence)	1, 2
WONG See Wah, Eva	AUR982	Licensed Representative (Provisional Licence)	1
WONG Wai Ho	AUQ931	Licensed Representative (Provisional Licence)	1, 2
WONG Wai Man	AUR713	Licensed Representative (Provisional Licence)	1
WONG Yun Tong Anton	AUR625	Licensed Representative (Provisional Licence)	1
WOO Lai Ming Raymond	AUS410	Licensed Representative (Provisional Licence)	1, 6
WU Jennifer Qian	AUR749	Licensed Representative (Provisional Licence)	6
WU Jian	AUS973	Licensed Representative (Provisional Licence)	1, 6
WU Lea	AUR710	Licensed Representative (Provisional Licence)	6
YAMAGUCHI Marie	AUS179	Licensed Representative (Provisional Licence)	9
YIP Ho Yan	AUS286	Licensed Representative (Provisional Licence)	2
YIP Kai Sun	AUR622	Licensed Representative (Provisional Licence)	1, 2
YIP Melody	AUS176	Licensed Representative (Provisional Licence)	3

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 02/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
YIP Yuen Man, Letitia	AIY988	Licensed Representative (Provisional Licence)	6
YIP Yuk Wah, Candy	AUR844	Licensed Representative (Provisional Licence)	1
YOON Dong Hyuk	AOJ335	Licensed Representative (Provisional Licence)	1, 4
YU Ka Fan	AUR829	Licensed Representative (Provisional Licence)	1, 2
YU Kai	AUQ952	Licensed Representative (Provisional Licence)	4
YU Miao	AUS315	Licensed Representative (Provisional Licence)	1, 2
YU Yinghua	AUQ932	Licensed Representative (Provisional Licence)	1, 4, 6
YUAN Ding	AUQ989	Licensed Representative (Provisional Licence)	4
YUNG King Shing	AUS299	Licensed Representative (Provisional Licence)	4
ZHANG Peng	AUP569	Licensed Representative (Provisional Licence)	1, 2, 7
ZHOU Peng	AUS211	Licensed Representative (Provisional Licence)	1, 4, 6
ANTONELLI Christopher George	AQJ320	Licensed Representative (Temporary Licence)	1
BENDALL Victoria Jane	AUS994	Licensed Representative (Temporary Licence)	1
FUKUSHIMA Daisuke	ASJ764	Licensed Representative (Temporary Licence)	4
GODET Martial Herve Paul	ARU049	Licensed Representative (Temporary Licence)	1, 4
GRIFFITHS Graeme Derek Victor	AOA583	Licensed Representative (Temporary Licence)	4
HAGEMEIER Jan Patric	AUB442	Licensed Representative (Temporary Licence)	4
HODGSON Holden Kirk	AOS400	Licensed Representative (Temporary Licence)	1, 2
HUGHES Michael Warren	AQV262	Licensed Representative (Temporary Licence)	1
IMMEL Andreas Wolfram Peter	AMR653	Licensed Representative (Temporary Licence)	1
MC MAKIN III Benjamin Reese	AUS203	Licensed Representative (Temporary Licence)	1, 2
NOJIMA Susumu	AUT633	Licensed Representative (Temporary Licence)	1, 2
PARK Se Hyun	AUR862	Licensed Representative (Temporary Licence)	4
SHIU Susan Woon Ying	AUA244	Licensed Representative (Temporary Licence)	1, 2
SIMON Denise Sarah	AUQ758	Licensed Representative (Temporary Licence)	1
SLIFIRSKI Michael Jarek	AUT661	Licensed Representative (Temporary Licence)	4
TOTH Gina Marie	ARV876	Licensed Representative (Temporary Licence)	4
WILLIAMS Andrew James	AUR747	Licensed Representative (Temporary Licence)	4