

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
ARA Asset Management (Fortune) Limited	AUW716	Licensed Corporation	9
American Century Investment Management (Asia Pacific) Limited	ATW644	Licensed Corporation	1, 4
Capstone Financial (HK) Limited	AUK184	Licensed Corporation	4
Charles-Lim Capital Limited	AUV540	Licensed Corporation	9
Coventry Capital HK Limited	AUG861	Licensed Corporation	1
DIAM Asset Management (HK) Limited	ATO969	Licensed Corporation	4, 9
Dragonfly Investment Management Co., Limited	AUK298	Licensed Corporation	9
Hana Asia Limited	ARQ668	Licensed Corporation	4
Keefe, Bruyette & Woods Asia Limited	AUI281	Licensed Corporation	1, 4, 6
Murtsa Capital Partners Limited	AUG837	Licensed Corporation	9
Oriental Dynasty Asset Management (HK) Company Limited	AUK449	Licensed Corporation	9
Phoenix Capital Management Limited	AUP362	Licensed Corporation	4, 9
SC Lowy Asset Management (HK) Limited	AUA833	Licensed Corporation	9
StormHarbour Securities (Hong Kong) Limited	AUK151	Licensed Corporation	1, 4, 6
Tiresias Capital Hong Kong Limited	AUN772	Licensed Corporation	9
Winco Securities Company Limited	AUG476	Licensed Corporation	1
-- Lakshmi Kailas	AUR846	Licensed Representative	1, 6
AGARWALA Amod Kumar	AUS128	Licensed Representative	4, 9
AHN Chae Young	AUS848	Licensed Representative	1, 2
AHN Seong Soo	AUQ481	Licensed Representative	4
ALLARD JR Charles John	AUM178	Licensed Representative	9
ANDREW Timothy William	ACQ044	Licensed Representative	1, 4
ATTRUX Joseph Frank	AUJ528	Licensed Representative	1, 4, 7, 9
AU Kin Fai	AUT369	Licensed Representative	1, 2
AU YEUNG Yuen Ting	AUQ943	Licensed Representative	6
BADENHOP Henning	AUR975	Licensed Representative	4, 9
BAI Huawei	AUZ024	Licensed Representative	1
BARKER Catherine Yung-wen	AUR978	Licensed Representative	1, 4, 9
BOLTON Anthony John	AAV490	Licensed Representative	4, 9
BOSCO Xavier Armand	AUV356	Licensed Representative	1
BRADLEY Simon Joseph	AUN770	Licensed Representative	1, 2
BRAMAH Callum	AUR637	Licensed Representative	4
BRILLE Brian Joseph	AUN752	Licensed Representative	1, 2, 4, 6, 7
CHAFER Amine	AUN334	Licensed Representative	1, 2
CHAKHTOURA Andree	AUS130	Licensed Representative	1, 4, 6
CHAN Chi Fai	ANU258	Licensed Representative	4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHAN Chiu Yat	AQZ722	Licensed Representative	1
CHAN Chun Fai	AUR704	Licensed Representative	1, 4, 7
CHAN Ho Wai Howard	ATJ294	Licensed Representative	1, 2
CHAN Ka Yeung	ALH659	Licensed Representative	4, 9
CHAN Kai Ho	AUV332	Licensed Representative	1
CHAN Kam Lin	AUS422	Licensed Representative	1
CHAN Kin Ho	AUW493	Licensed Representative	1, 2, 4, 9
CHAN Kin Kwan	AUN432	Licensed Representative	1
CHAN Kin Man	AUQ963	Licensed Representative	1, 3
CHAN Kwan Yiu, Nelson	AUS154	Licensed Representative	1, 2
CHAN Lok Fung	AUR102	Licensed Representative	1, 2
CHAN Man Tat	AUS301	Licensed Representative	1
CHAN Shing Jee	AUN761	Licensed Representative	1, 2
CHAN Sonya Wing Kuan	AUQ040	Licensed Representative	6
CHAN Tat Shing	AUS311	Licensed Representative	1, 4
CHAN Tin Wing	AUJ846	Licensed Representative	1
CHAN Tsz Pan, Henry	AUT165	Licensed Representative	1, 2
CHAN Wang Lak	AUV575	Licensed Representative	4
CHAN Yat Fung	AUS131	Licensed Representative	1, 2
CHANG Charlene-Jayne Wei-Ying	AUQ670	Licensed Representative	1, 6
CHANG Feng	AUQ474	Licensed Representative	1, 2, 7
CHANG Tzy Fay	AUV944	Licensed Representative	9
CHAPMAN Patrick Dylan	AUR996	Licensed Representative	1, 2, 7
CHAU Hubert	AUS198	Licensed Representative	1
CHAUDHRY Wahid	AUS834	Licensed Representative	1, 2
CHE Wai Hang	AJI758	Licensed Representative	1
CHEN Haibo	AUN340	Licensed Representative	1
CHEN Liangyun	ARJ432	Licensed Representative	6
CHEN Yu-Cheng	ATR465	Licensed Representative	4
CHEN Zhenyuan	ALZ069	Licensed Representative	1
CHEN Zi Yun, Charlotte	AQA158	Licensed Representative	1
CHEN Zibo	AUR285	Licensed Representative	4
CHENG Adrian Chun Ying	AUS087	Licensed Representative	1, 6
CHENG Bowei	AUQ984	Licensed Representative	1, 4
CHENG Chun Kit	AUQ335	Licensed Representative	3
CHENG Hing	AUM436	Licensed Representative	1, 4, 6

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHENG Hoi Yin	AGC463	Licensed Representative	1, 6
CHENG Kim Wa	AGE884	Licensed Representative	1, 4, 9
CHENG Wing Sum	AUT137	Licensed Representative	1, 4, 9
CHEUNG Hoi Yip, Herbert	AUT506	Licensed Representative	1
CHEUNG Huai Yun, Candy	AUS580	Licensed Representative	9
CHEUNG Kam Wing	AUU995	Licensed Representative	1
CHEUNG Kin Keung, Jocelyn	ADI990	Licensed Representative	1, 2
CHEUNG Lee	AUM823	Licensed Representative	4
CHEUNG Pui Yan	AUR989	Licensed Representative	1, 4, 9
CHEUNG Tsz Kit	AIX574	Licensed Representative	4
CHEUNG Tsz Wai	AUT495	Licensed Representative	1
CHEUNG Wai Hung	AUN717	Licensed Representative	6
CHEUNG Wai Lun	ALZ471	Licensed Representative	1
CHI Tien-Wei	AUV422	Licensed Representative	1, 2
CHIAO Hsuan Shih	AUQ667	Licensed Representative	1, 4, 6
CHIN Chung Hing	AUR132	Licensed Representative	1
CHIN Szu Yi	ASE564	Licensed Representative	4, 9
CHIU Man Yung	AUV119	Licensed Representative	1
CHIU Wing Nga, Rita	AUR827	Licensed Representative	1, 4, 7, 9
CHO Keum Taek	AUV511	Licensed Representative	1
CHOI Chi Ho	AUS180	Licensed Representative	1, 2
CHOI Sheung Hang	AUP568	Licensed Representative	9
CHOI Wai Lun	AOY503	Licensed Representative	4
CHONG Ka Lun, Joseph	AIZ562	Licensed Representative	1, 4
CHONG Ting Piu	AUO117	Licensed Representative	1
CHOW Hoi Pan	AUS566	Licensed Representative	4
CHOW Wai Ping	AUU996	Licensed Representative	1
CHOW Wai Yee	AUQ748	Licensed Representative	1
CHOW Yu Hin	AUT759	Licensed Representative	3
CHUANG Yu	AUT128	Licensed Representative	4
CHUI Henry Kar-Kea	AQI323	Licensed Representative	1
CHUNG Hon Kee	AEP533	Licensed Representative	1
CHYE Nyit Shin	AUS310	Licensed Representative	1
COHEN Ylan Joseph Steven	ATV805	Licensed Representative	1, 4
CONNOLLY CARBO Trevor James	AUT134	Licensed Representative	9
COOK James Gerard	AUQ934	Licensed Representative	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
COWPERTHWAIT Adam Aaron	AIB753	Licensed Representative	1, 2
CUI Can	AUQ924	Licensed Representative	1, 9
CUNIN Laurent, Jacques	AUU917	Licensed Representative	1, 2
CUNNINGTON Guillaume, Serge, Charles	AUP691	Licensed Representative	1, 2
DAURES Christophe, Pascal	AUQ925	Licensed Representative	1, 2
DAY Donald Kurt	AUN917	Licensed Representative	1
DEO Stephane Alfred	AUQ990	Licensed Representative	4
DEVEREUX WONG Virginia	AAJ666	Licensed Representative	1, 9
DOONG Chui Yee, Wendy	AEU516	Licensed Representative	1, 2
DOYLE Matthias William	AUP815	Licensed Representative	1, 2, 7
DU Yiqing	ARJ440	Licensed Representative	6
DUBEY Preeti	AUP812	Licensed Representative	1
EL HICHERI Fayez	ANH083	Licensed Representative	1
EME Philippe Jean	AEX901	Licensed Representative	1, 2
FAN Charrissa Wing Sze	AOA842	Licensed Representative	1, 4
FAN Liwei	AUS995	Licensed Representative	1, 4
FAN Ruijin	AUQ160	Licensed Representative	4, 6, 9
FAN Yang	AUT752	Licensed Representative	4
FAUCHEUR Sebastien, Noel, Philippe	AUP952	Licensed Representative	1, 2, 7
FERREIRA Michael John	AUP419	Licensed Representative	1, 2
FLAMAND Philippe Francois	AUS996	Licensed Representative	1, 2
FONG Chung Loon, David	AUT314	Licensed Representative	1, 2
FONG Hung Yiu	AUR560	Licensed Representative	1, 7
FONG Joseph J	AUQ951	Licensed Representative	4
FONG Yee Tat	AUP910	Licensed Representative	1, 4
FOO Yin Pheng	AUQ510	Licensed Representative	4, 9
FU Tan Yip	AUT505	Licensed Representative	1
FUKUHARA Yuko	AUM369	Licensed Representative	1
FUNG Chi Ping	AUU924	Licensed Representative	1
GALVIN Donal Joseph	AOK745	Licensed Representative	1, 2, 4, 9
GAO Xing	AUH962	Licensed Representative	1, 4, 6
GE Xin	ALI170	Licensed Representative	1, 4
GHOSH Sharmila	AUS854	Licensed Representative	1, 4
GINESTA VAZQUEZ Guillermo Francisco	AUU967	Licensed Representative	1, 4
GODDING Christopher	AJO484	Licensed Representative	1
GOODWIN Douglas Samuel	AUI207	Licensed Representative	1, 2

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CE Name	CE No.	Licence Type	Types of Regulated Activity
GOVE Jennifer Anne	AUS998	Licensed Representative	9
GOYAL Vishal	AUU965	Licensed Representative	4
GRABOWSKI Ernst-gerrit Alexander	AMP319	Licensed Representative	1, 6
GRISEL Albert Jan	AUR748	Licensed Representative	6
GRUNAUER Xavier Mieles	ARE996	Licensed Representative	4
GUNN Marcus Charles	AUN364	Licensed Representative	1, 2, 7
GUNNS Christopher Michael Adrian	APC679	Licensed Representative	1, 4, 9
GUO Yan	AUS955	Licensed Representative	1, 2, 7
GUPTA Vishal	AUV188	Licensed Representative	4
HAN Xintong	ATT451	Licensed Representative	1
HAU Woon Ki	AUR983	Licensed Representative	1, 2
HE Wei	ARP598	Licensed Representative	4
HENTZ Jean-Samuel, Etienne	AUN320	Licensed Representative	1, 2, 7
HERRMANN Simon Fabian	AUQ923	Licensed Representative	1, 6
HIGHFIELD Andrew Francis	APP193	Licensed Representative	4, 9
HISHIDA Wataru	AUS316	Licensed Representative	1, 2
HO Chak Pong	AUW250	Licensed Representative	1, 2, 4
HO Chi Lun Barry	AUQ143	Licensed Representative	4, 6, 9
HO Kin Chung, Kelvin	AFR360	Licensed Representative	1, 2
HO Suk Chun	AUT164	Licensed Representative	1, 2, 3
HO Tang Yue, Tony	ANQ192	Licensed Representative	6
HO Yuen Wah, Pat	ATR212	Licensed Representative	1, 4
HODULIK John Christopher	AUQ991	Licensed Representative	4
HONG Yun	AUQ146	Licensed Representative	4, 6, 9
HOO Emily Lye Lyn	AUS209	Licensed Representative	1, 4
HOUDEYE Cedric Abraham Avi	AUN368	Licensed Representative	1, 2, 7
HOWIE Rochelle Jeanne	AMS322	Licensed Representative	1, 6
HSIAO Monica Lo-Ching	AUR356	Licensed Representative	4, 9
HSIEH Siou-Ping	AUR646	Licensed Representative	1
HSU Mabel Ming	ANT724	Licensed Representative	1, 4, 6
HU CHAI Yong Wei	AUQ515	Licensed Representative	1, 6
HUANG Chen	AUV437	Licensed Representative	1, 2
HUANG Lingzi	AUR855	Licensed Representative	1, 6
HUANG Shasha	AUV734	Licensed Representative	1, 6
HUANG Wenjun	AUT504	Licensed Representative	1, 6
HUANG Yifan	AUT756	Licensed Representative	1

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CE Name	CE No.	Licence Type	Types of Regulated Activity
HUI Daniel Ka Chung	AUP690	Licensed Representative	2
HUI Man Kit	AUN918	Licensed Representative	1, 2
HUI Wai Fat, Philip	AUS126	Licensed Representative	1, 2
HUNG Chiu Loi	AUS181	Licensed Representative	1, 2
HUNG Deonry	AUT627	Licensed Representative	1
HUNG Wesley Yi Kuo	AUR863	Licensed Representative	1, 2, 7
HUNG Yat On	AUS182	Licensed Representative	1, 3
IP Chit Yin	AUR651	Licensed Representative	4
IP Hing Nin	AUV129	Licensed Representative	1
IP Po San, Joyce	AFF506	Licensed Representative	1
IP Wai Shan	AUR645	Licensed Representative	3
IU Pak Fan	AUS619	Licensed Representative	1, 2
JESSON Arthur Michael	AUQ043	Licensed Representative	1, 4
JOHNSON Christopher Lind	AGA971	Licensed Representative	1, 2
JOTE Vijay C	AKS783	Licensed Representative	1, 2
KABIGTING Caroline Llave	AUQ338	Licensed Representative	4
KAKEHASHI Sayaka	AUV636	Licensed Representative	1, 4
KANG John Brian	AFW034	Licensed Representative	1, 2
KANG Zhaoyang	ARN401	Licensed Representative	6
KEYES Justin S	AQD163	Licensed Representative	1
KHAN Asad Rahman	AUS963	Licensed Representative	1, 2
KHANDELWAL Abhishek	AUQ154	Licensed Representative	1, 4, 6
KHOO Wen Wen Michelle	AUQ669	Licensed Representative	1, 6
KIM Gil Hyung	AUQ480	Licensed Representative	4
KIM Hyung Jin	AUU988	Licensed Representative	1
KIM So Yeon	AMM348	Licensed Representative	1
KIM Taehong	AUV123	Licensed Representative	1, 2, 7
KING Wen-Herng Henry	AUR993	Licensed Representative	1, 4
KNIPPER Jonathan Paul	AUN771	Licensed Representative	1, 6
KOENEN JR Austin Voorhees	AQA803	Licensed Representative	1, 6
KONG Lee Hung	AUS997	Licensed Representative	1
KOU Chin Pang	AUQ156	Licensed Representative	1, 2
KU Kwan, Patrick	AUR318	Licensed Representative	1, 4, 6
KUNG Ho Bun	AUS202	Licensed Representative	1
KWAN Ting Gee	AUR559	Licensed Representative	1, 7
KWOK Yim Fan	AUR654	Licensed Representative	3

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CE Name	CE No.	Licence Type	Types of Regulated Activity
KWONG Ben Man Yip	AUS297	Licensed Representative	1, 2
KWONG Michael	AQS646	Licensed Representative	4
KWONG Yee Kin, Samuel	APX279	Licensed Representative	4
LACEY JR Donald Edward	AUQ978	Licensed Representative	1, 6
LAI Lap Yan	AUR101	Licensed Representative	1, 2
LAI Maureen	AUU966	Licensed Representative	1
LAI Tsz Wo, Wanda	AUQ526	Licensed Representative	1, 4
LAI Yat Hoi	AHS158	Licensed Representative	2
LAI Yee Chung	AUR977	Licensed Representative	1, 2
LAM Chi Wai, Dave	ABB057	Licensed Representative	1
LAM Ching Man	AUQ940	Licensed Representative	4, 9
LAM Chun Kit	AQU092	Licensed Representative	4
LAM Hoi Sing	AUR383	Licensed Representative	1, 2
LAM Ka Lai	AUT719	Licensed Representative	1, 2
LAM Lai Yuun Meng	AUS150	Licensed Representative	9
LAM Sai Lap	APW631	Licensed Representative	9
LAM Tim Yi, Emily	AUS277	Licensed Representative	1
LAM Wing Ki	AUT952	Licensed Representative	1
LAM Yin Fung Preston	AUS828	Licensed Representative	1, 2
LAU Chi Chiu, Terry	AUQ993	Licensed Representative	1
LAU Hoi Man, Mable	AUP378	Licensed Representative	1, 2, 7
LAU Kai Wing	AUS656	Licensed Representative	1
LAU Mimi	AUS099	Licensed Representative	1, 4
LAU Muk Hoi	AUQ375	Licensed Representative	1, 4
LAU Sheung Yuen	AUR615	Licensed Representative	1, 6
LAU Suk Yu	AAG214	Licensed Representative	1, 2
LAW Chi Yeung	AUS143	Licensed Representative	1, 2
LEE Allen Cheng-Luan	ANK425	Licensed Representative	9
LEE Arthur	AUR556	Licensed Representative	1
LEE Chin Keng	APH298	Licensed Representative	1
LEE Chung Hei	AUQ941	Licensed Representative	9
LEE Deborah Susan	APU511	Licensed Representative	1
LEE Ha Yan	AUS843	Licensed Representative	1, 4
LEE Han Shin	ANH564	Licensed Representative	1
LEE Hwa Shin	AUQ985	Licensed Representative	1
LEE Hyun Woo	AUR839	Licensed Representative	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
LEE Jina	AUT717	Licensed Representative	4
LEE Lap Tak, Alfred	AUQ739	Licensed Representative	1, 4, 9
LEE Man Hung	AUV610	Licensed Representative	1
LEE Mei Shuen	AUV606	Licensed Representative	1, 2
LEE Sheung Hung	AKJ073	Licensed Representative	1, 2
LEE Suk Mai, Fanny	AUR554	Licensed Representative	1
LEE Wai Chu	AUR338	Licensed Representative	1
LEE Wai Shing	AUT722	Licensed Representative	4
LEE Wai Sum	AUR858	Licensed Representative	4, 9
LEE Wing	AUR872	Licensed Representative	1
LEE Yan Lun	AUR845	Licensed Representative	2, 3
LEE Yi Kei	ATR213	Licensed Representative	1, 4
LEI Ming	AUV623	Licensed Representative	1, 6
LEONG Wai Ip	AFV784	Licensed Representative	1
LEUNG Chi Loen	AUQ948	Licensed Representative	3
LEUNG Man Kit	ANW505	Licensed Representative	1, 2
LEUNG Men Ching	AUV725	Licensed Representative	9
LEUNG Wai Ming	AUR822	Licensed Representative	1, 2
LEUNG Wing Kuen	AUR979	Licensed Representative	1
LEUNG Yu Hang	AUT166	Licensed Representative	1
LEWIS Nicholas John	AUJ419	Licensed Representative	1, 2
LI Bonan	AUV512	Licensed Representative	4
LI Ka Yu	AUR693	Licensed Representative	1
LI Shanshan	AUJ405	Licensed Representative	4
LI Yanjie	AUS278	Licensed Representative	1, 6
LI Yuk Ping	ADV175	Licensed Representative	1, 2
LIANG Hao	AUX018	Licensed Representative	4
LIANG Xin	AUQ994	Licensed Representative	1, 7
LIM Kian Lee, Bernard	AUM596	Licensed Representative	1, 4, 9
LIM Kin Heng	AUV550	Licensed Representative	1
LIN Alex	AUQ475	Licensed Representative	1, 4
LIN Carol Iris	AFX854	Licensed Representative	1, 7
LIN Chi Long, Danny	ADD804	Licensed Representative	1
LIN Derek Tin-fu	AUQ490	Licensed Representative	1, 2, 7
LIN Shijia	AUQ938	Licensed Representative	4
LIU Charlene Cheuk Lam Racheal	AUO044	Licensed Representative	4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
LIU Hanhua	AUW243	Licensed Representative	6
LIU Hong	ARI623	Licensed Representative	4
LIU Wan Lung	ARJ408	Licensed Representative	1
LIU Wei	AUS655	Licensed Representative	1
LIU Xi	AUQ721	Licensed Representative	1
LO Eva	ANQ384	Licensed Representative	4
LO John	AUS158	Licensed Representative	1, 2
LO Kwok On	AUQ664	Licensed Representative	1, 4
LO Seak Kwan	AHT781	Licensed Representative	1
LO Sin Au	AUR649	Licensed Representative	3
LO Yim Ping, May	AUS562	Licensed Representative	4
LOH Jacinda Ee Wenn	AUS201	Licensed Representative	4
LOU Meng	AUN916	Licensed Representative	1, 2, 7
LOUARN Thomas Pierre Guy Felix	AUV893	Licensed Representative	1, 2, 7
LU Chaoqi	AUR998	Licensed Representative	1, 4
LU Hongbo	AUS615	Licensed Representative	4
LUI Kit Chun, Michelle	AUS687	Licensed Representative	1, 4
LUO Wei	AUQ322	Licensed Representative	1
MA Chao	AUR848	Licensed Representative	1, 6
MA Hei Ming	AUV005	Licensed Representative	1, 2
MA Henry Lig	AUR629	Licensed Representative	1
MA Ivan Man Chun	AJI673	Licensed Representative	1
MA Lai No, Dilys	AUR357	Licensed Representative	4
MA Yunpeng	AUR465	Licensed Representative	4
MAESTRI Sergio	AUT780	Licensed Representative	1, 4, 9
MAK Kai Chun, Kevin	ANG151	Licensed Representative	6
MAN Ka Mei	AUR547	Licensed Representative	1, 6
MANI Praveen Ayyappa	AUV603	Licensed Representative	4, 5
MANLEY Richard Matthew	AUU994	Licensed Representative	1, 4
MCCORMACK James	AUV518	Licensed Representative	1
MCDONALD Liam Patrick	AUQ456	Licensed Representative	1
MCFERRAN Jack Howard Egar	AIN733	Licensed Representative	1, 2
MCLAUGHLIN Gregory John	AUT903	Licensed Representative	1, 4
MENG Weihuan	AOL218	Licensed Representative	1, 4, 6
MIAO Fan	ATB864	Licensed Representative	4
MIN Kyeung Won	ANX745	Licensed Representative	1, 4, 6

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
MING Chi Ho, Edward	AUS686	Licensed Representative	9
MIYAMOTO Tsutomu	AUJ263	Licensed Representative	4
MIZUNO Atsushi	AUQ472	Licensed Representative	1, 4, 6
MOHAN Santhosh Kumar	AUR104	Licensed Representative	1, 6
MOK Hoi Chung	AEE172	Licensed Representative	1, 2
MOK Ka Ki	AUS554	Licensed Representative	1, 2
MOK Yu Tung	AUQ336	Licensed Representative	3
MOTWANI Natasha Murli	AUR655	Licensed Representative	1, 2
MOU Man Kit, Suny	AHX161	Licensed Representative	1, 2, 7
MOWDAY Angela Wong	AUQ038	Licensed Representative	4
MU Tong	AUQ183	Licensed Representative	1, 2
MUKHERJI Ranobir	AUS447	Licensed Representative	1, 4, 6
MULCAHY John Michael	AAD651	Licensed Representative	4
MYRON Jason Louis	AUV506	Licensed Representative	1
NAJI Ramin	APH952	Licensed Representative	1, 4, 6
NEWTON Linda Maree	AUU968	Licensed Representative	4
NG Alice Pui Shan	AUV477	Licensed Representative	1
NG Cheuk Kin	AUV180	Licensed Representative	1
NG Chi Ho	AUR825	Licensed Representative	1, 4, 9
NG Chun Tung	AQZ711	Licensed Representative	1
NG Hing Cheung	ACK470	Licensed Representative	3
NG Ho Wai	AUS555	Licensed Representative	1, 2
NG Kai Shing	ADN163	Licensed Representative	6
NG Kok Ming	AMN905	Licensed Representative	4
NG Man Chun	AML619	Licensed Representative	1
NG Man Yan Natalie	AJE224	Licensed Representative	1
NG Manhoe	AUT769	Licensed Representative	1, 2
NG Miu Ping	AUS643	Licensed Representative	1, 2
NG Sin Ting, Joanne	AUT770	Licensed Representative	1, 4, 6
NG Tze Ling	AUR843	Licensed Representative	1
NG Wai Sum	AJD565	Licensed Representative	2
NG Yi Ching Joven	AUQ033	Licensed Representative	1, 2
NICHOLSON Gareth	AUR823	Licensed Representative	1, 4
O'CONNELL Jared Stockton	AUQ513	Licensed Representative	1, 4
OETOMO Teddy Nuryanto	ATH918	Licensed Representative	4
PALMA Jeffrey A	AUT364	Licensed Representative	4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
PANG Ka Fai, Andy	AUT321	Licensed Representative	1, 2
PARK Soo Jin	AUT784	Licensed Representative	1
PARK Sun Jong	AUS811	Licensed Representative	1, 4
PARKER Michael Wade	AUR866	Licensed Representative	1, 4
PENG Gangxiang	AOA661	Licensed Representative	4
PETIT-JEAN Guillaume, Christian	AUP738	Licensed Representative	1, 2
PRASAD Simple	AUA964	Licensed Representative	1
PUN Wai Ying	AOB919	Licensed Representative	1, 4, 7
QUEK Tzu Chye	AUQ534	Licensed Representative	4
RAZMILOVIC Ante	AUR148	Licensed Representative	1
REN Zhengwei	ARB770	Licensed Representative	1, 4, 6
ROBERTSON Toby Neil	AUR287	Licensed Representative	1
ROEDER Sabine Monika	ATN822	Licensed Representative	1, 6
RONG Baiding	AUJ708	Licensed Representative	4
ROSSWICK Benjamin Simeon Henry	AUJ409	Licensed Representative	1, 2
ROULIN Emmanuel Pierre Michel	AUV182	Licensed Representative	1
RYU Ho Kyung	AUV471	Licensed Representative	1, 6
SABOT Etienne Gabriel	APP680	Licensed Representative	1, 2
SAKAI Fumiyoshi	AUO101	Licensed Representative	4
SAKAMOTO Yusuke	AUV633	Licensed Representative	1
SASSO Aira	AUR745	Licensed Representative	1
SAWAI Ankit Kumar	AUV595	Licensed Representative	1, 6
SCHMOLL Alan	ATS544	Licensed Representative	1
SHAH Jennifer Sarah Clark	AUR660	Licensed Representative	1, 9
SHAH Junaid Hussain	AUR999	Licensed Representative	1, 2
SHAN Miao	AUT412	Licensed Representative	1, 6
SHEN Tao	AUS961	Licensed Representative	4
SHI Dawei	AUR997	Licensed Representative	1, 4
SHI Gaoyang	AUS417	Licensed Representative	4
SHI Zhensong	AUR648	Licensed Representative	2
SHIH Jun Wei Francis	AUV643	Licensed Representative	1, 2
SHIU Lai Man	AKQ640	Licensed Representative	1, 3
SHUK Lap	ALB297	Licensed Representative	1, 2
SHUM Wai Lam, William	AUV735	Licensed Representative	1, 6
SIM Chantara	AUT129	Licensed Representative	1, 2
SIM Emily Shao Hua	AUM601	Licensed Representative	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
SIN Kai Hin	AUQ939	Licensed Representative	1
SIN Kin Hong, Edward	AUU993	Licensed Representative	1, 2
SO Koon On	AUR647	Licensed Representative	1
SO Yu Yuk	AUQ747	Licensed Representative	1
SOHN Hyunho	ANB380	Licensed Representative	4, 9
SONG Yan	AUT858	Licensed Representative	4, 9
SRINIVASAN Kandarp	AUQ668	Licensed Representative	1, 6
SRIVASTAV Pankaj Kumar	AUU964	Licensed Representative	4
STIRIS Alexander Jarl	AUR834	Licensed Representative	1, 6
SUEN Wing Sze	AUS412	Licensed Representative	4
SUH Jung Won	AUS548	Licensed Representative	1, 4, 6
SUH Young Suk	AFO928	Licensed Representative	1
SUN Kam Ming	AUT130	Licensed Representative	1, 6
SUTTIE Ben Charles	AFW867	Licensed Representative	1, 7
SZE Chiu Yu, Dominic	AUS423	Licensed Representative	1, 4
SZE Kam Po	ANJ011	Licensed Representative	1
TABATA Shinichi	AUV637	Licensed Representative	1, 4
TAI Nai	AUS628	Licensed Representative	1, 2
TAM Ces'ario Selwyn	AUN337	Licensed Representative	1, 2
TAM Lup Yun, Yoko	AUS003	Licensed Representative	1, 2
TAM Tsz Tuen, Arthur	AUS140	Licensed Representative	1, 2
TAM Yee Hang	AUT514	Licensed Representative	4, 9
TAN Meng Wee, Kendrew	AUV519	Licensed Representative	1, 6
TAN Yi-ming, Darryl	AUR864	Licensed Representative	1, 2, 7
TANG Luk Cheung	AUU976	Licensed Representative	1, 2
TANG Peter Jee Ho	ACP853	Licensed Representative	4
TANG Wai Chi Ricky	AUS271	Licensed Representative	1, 9
TANG Wing Hang	AUQ663	Licensed Representative	1
TANG Yik Lun	AUS633	Licensed Representative	1, 2
TAO Feiran	AUN714	Licensed Representative	1, 2
TAO Wing Cheong	AUU990	Licensed Representative	1
TARIQ Natasha	AUI293	Licensed Representative	1
TAY Jasper Choon Hean	AUS298	Licensed Representative	1
TAYLOR Timothy	ADA513	Licensed Representative	4
THUKRAL Jatin	AUN816	Licensed Representative	1, 2
TO Ching Sze, Cecilia	APA899	Licensed Representative	4, 5

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
TO Kam Lung, Danny	ARA334	Licensed Representative	4
TO Kin On	AUN902	Licensed Representative	1, 4
TOKUYAMA Tomoaki	AUN114	Licensed Representative	1, 2
TONG Tsz Wai	AUT494	Licensed Representative	1
TRECOURT Pierre Jean Daniel	AUV127	Licensed Representative	1
TSANG Cheuk Fung	AUS314	Licensed Representative	1, 2
TSANG Hing Yu	AHN528	Licensed Representative	1
TSANG Jason Ka Chun	AUT168	Licensed Representative	1, 2
TSANG Wai Tak, Victor	ACP649	Licensed Representative	1
TSANG Wai Ting, Teresa	AUT724	Licensed Representative	6
TSAO Philip	AEF812	Licensed Representative	1, 2, 4, 5, 7
TSE Albert Yeuk Kuk	AUQ329	Licensed Representative	6
TSE Betty Shui Hing	AUR711	Licensed Representative	1
TSE Kim Hung	AUR388	Licensed Representative	4
TSE Yau Ling	AUV604	Licensed Representative	1
TSO Ka Man	AUX002	Licensed Representative	1
TSOI Ying Ching	AUP909	Licensed Representative	1, 4
TULK Philip W	ADZ105	Licensed Representative	4
VALDISOLO Mattia	AUS156	Licensed Representative	1
VATCHKOVA Denitza Plamenova	AUS969	Licensed Representative	1, 2, 7
WAN Hung Ha	AUQ942	Licensed Representative	1
WAN Li	AUK434	Licensed Representative	4
WAN Man Wai	AUT723	Licensed Representative	1, 4
WANA Arief Cahyadi	ATH915	Licensed Representative	4
WANG Jing	AUQ482	Licensed Representative	1, 2, 4, 5
WANG Lei	ATV187	Licensed Representative	1, 4, 6
WANG Miao	AUR623	Licensed Representative	1
WANG Yee Ching, Juliana	AUV615	Licensed Representative	1, 4, 7
WEI Jie	AUT751	Licensed Representative	1, 6
WERNER Michael Joseph	AUO124	Licensed Representative	1, 4
WILKINS Clare Rosina	AUV326	Licensed Representative	9
WONG Brenda Sze Man	AUS090	Licensed Representative	4, 9
WONG Hoi Yan	AFR863	Licensed Representative	1
WONG Ka Chun	AUU925	Licensed Representative	1
WONG Ka Fai	AEA628	Licensed Representative	1
WONG Kam Ka	AUR988	Licensed Representative	1, 2

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
WONG Kok Wai	AUS414	Licensed Representative	4
WONG Man Chung, Stephen	ATO970	Licensed Representative	4, 9
WONG Man Kit	AUS296	Licensed Representative	4
WONG Mender	AUT548	Licensed Representative	1
WONG Sau Chun, Carrie	ACX079	Licensed Representative	1, 4
WONG See Wah, Eva	AUR982	Licensed Representative	1
WONG Sun Ming, Simon	AMX405	Licensed Representative	1, 4
WONG Wai Man	AUR713	Licensed Representative	1
WONG Wing Yuk	AUO161	Licensed Representative	1
WONG Yun Tong Anton	AUR625	Licensed Representative	1
WOO Lai Ming Raymond	AUS410	Licensed Representative	1, 6
WOODS Jason Liam Thomas	AUL716	Licensed Representative	1, 2, 7
WU Jennifer Qian	AUR749	Licensed Representative	6
WU Jian	AUS973	Licensed Representative	1, 6
WU Ka Yu	AUQ483	Licensed Representative	4
WU Lea	AUR710	Licensed Representative	6
YAMAOKU Takahiro	AUM127	Licensed Representative	1, 4, 6
YANG Ka Shui	AOW796	Licensed Representative	1
YANG Lizhi	AUQ155	Licensed Representative	9
YANG Naijun	ARL777	Licensed Representative	1, 4
YANG Shijing	AUU963	Licensed Representative	1, 2, 4, 5
YAU Tak Chi	AUP712	Licensed Representative	1
YEUNG Tsz Tik	AUW143	Licensed Representative	9
YIM Yun Hung	AQV797	Licensed Representative	1
YIP Chui Ping, Lisa	AUW141	Licensed Representative	1, 6
YIP Ho Yan	AUS286	Licensed Representative	2
YIP Kai Sun	AUR622	Licensed Representative	1, 2
YIP Melody	AUS176	Licensed Representative	3
YIP Yuen Man, Letitia	AIY988	Licensed Representative	6
YIP Yuk Wah, Candy	AUR844	Licensed Representative	1
YOKOSUKA Takashi	AUV635	Licensed Representative	1, 4
YOON Dong Hyuk	AOJ335	Licensed Representative	1, 4
YOSHIDA Gotaro	AUQ202	Licensed Representative	1, 2, 7
YOW Chee Kim	AUN750	Licensed Representative	1, 2, 4, 5, 7
YU Chi Chiu, Andrew	AGI481	Licensed Representative	6
YU Hiu To	AGM902	Licensed Representative	6

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
YU Ka Fan	AUR829	Licensed Representative	1, 2
YU Kai	AUQ952	Licensed Representative	4
YU Miao	AUS315	Licensed Representative	1, 2
YU Ming Lung	AUT720	Licensed Representative	6
YU Peijun	AUQ324	Licensed Representative	1, 2
YU Yinghua	AUQ932	Licensed Representative	1, 4, 6
YUAN Ding	AUQ989	Licensed Representative	4
YUAN Huiqin	ASP711	Licensed Representative	1
YUEN Siu Lun	AJA304	Licensed Representative	3
YUNG Johnnie Ka Sing	AUV614	Licensed Representative	4, 9
YUNG King Shing	AUS299	Licensed Representative	4
Yeung Pak Keung	ANX912	Licensed Representative	1
ZHANG Disheng	AOY784	Licensed Representative	1
ZHANG Fan	AUT824	Licensed Representative	4
ZHANG Jingxin	AUS542	Licensed Representative	1, 4, 6
ZHANG Peng	AUP569	Licensed Representative	1, 2, 7
ZHANG Qin	AUV596	Licensed Representative	4
ZHANG Wenxian	AJC736	Licensed Representative	4
ZHAO Huiying	ATX474	Licensed Representative	1
ZHAO Qian	AUQ180	Licensed Representative	1, 2
ZHENG Ye	AUP687	Licensed Representative	9
ZHOu Meng	AUO120	Licensed Representative	1, 4, 6
ZHU Anne Rui	AUM639	Licensed Representative	1, 4, 6
AZIZ Abid	APR931	Licensed Representative - Responsible Officer	9
BAILEY Grant Andrew	AFB241	Licensed Representative - Responsible Officer	1, 4, 9
BUSARAKAMWONG Justin	ALY339	Licensed Representative - Responsible Officer	1, 4, 6
CHAN Ho Sun, Sunny	ABG920	Licensed Representative - Responsible Officer	1
CHARLES Keiren	AUV598	Licensed Representative - Responsible Officer	9
CHAU Li Hau	AAA142	Licensed Representative - Responsible Officer	1
CHIU Francis	AUV238	Licensed Representative - Responsible Officer	9
CHIU Yu, Justina	ANI924	Licensed Representative - Responsible Officer	9
DE LACY STAUNTON David Charles H.	AUK185	Licensed Representative - Responsible Officer	4
FUKAMI Goro	ATO972	Licensed Representative - Responsible Officer	4, 9
GOLDMAN Paul Clarke	AUM804	Licensed Representative - Responsible Officer	3
GREEN Michael Simon	ATX222	Licensed Representative - Responsible Officer	1, 4
GRIFFITHS Simon David	AUK078	Licensed Representative - Responsible Officer	4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
GUPTA Pranay	AGT051	Licensed Representative - Responsible Officer	1, 4, 9
HALLEY David Michael	AUK187	Licensed Representative - Responsible Officer	4
HAN Akinori	ACP931	Licensed Representative - Responsible Officer	4, 9
HANCOCK Paul Brian	AND583	Licensed Representative - Responsible Officer	1, 4, 9
HUANG Jason	ANG554	Licensed Representative - Responsible Officer	3
HUNG Yuen Chun	AUW719	Licensed Representative - Responsible Officer	9
KEMP Andrew John	APQ856	Licensed Representative - Responsible Officer	4, 9
KOO Kwok Cheung, Kelvin	ALA263	Licensed Representative - Responsible Officer	9
LIM Do Kyoon	AUI379	Licensed Representative - Responsible Officer	4
LIM Shueh Yung	AUV601	Licensed Representative - Responsible Officer	9
LIN Hsiu Mei	AFQ674	Licensed Representative - Responsible Officer	6
LLEWELYN-WILLIAMS Gareth John	AUK186	Licensed Representative - Responsible Officer	4
LOWNDES William David	ASP321	Licensed Representative - Responsible Officer	1
NAGAI Motoshi	ATO971	Licensed Representative - Responsible Officer	4, 9
NG Hou Man, Roderick	ACZ999	Licensed Representative - Responsible Officer	4, 9
NIJZIEL Martijn Jacob Christiaan	ATW749	Licensed Representative - Responsible Officer	1
SCHILLINGER Julian Moritz	AUG869	Licensed Representative - Responsible Officer	1
SZEKELY Peter James	AJB204	Licensed Representative - Responsible Officer	1, 4, 6
TRIVEDI Jaymin Jagdishchandra	AUP363	Licensed Representative - Responsible Officer	4, 9
URATA Yoshio	AUT774	Licensed Representative - Responsible Officer	1, 4
WANG Qiang	ALH701	Licensed Representative - Responsible Officer	9
WEINGARTEN Assaf Vivian	AUN855	Licensed Representative - Responsible Officer	4, 9
WON Yong Min	AUI376	Licensed Representative - Responsible Officer	4
WONG Charles Teng-iao	AUG868	Licensed Representative - Responsible Officer	1
ZHENG Weiwei	ARG416	Licensed Representative - Responsible Officer	9
ANTICO Jason Mark	AUW704	Licensed Representative (Provisional Licence)	1
BAJAJ Kunal Rajan	AUW986	Licensed Representative (Provisional Licence)	4
BALASUBRAMANIAN Bharathan Kanthimathinathan	AUW418	Licensed Representative (Provisional Licence)	1, 2
BARTHES Johann Brian Robin	AUW077	Licensed Representative (Provisional Licence)	1, 2
BENCHAVITVILAI Chate	AUW102	Licensed Representative (Provisional Licence)	4
BENSMIHEN Jordane	AUW919	Licensed Representative (Provisional Licence)	1, 2
BONAMY Ludivine Madeleine Chantal	AUT894	Licensed Representative (Provisional Licence)	1, 2
BOSCO Xavier Armand	AUV356	Licensed Representative (Provisional Licence)	1
BRILLE Brian Joseph	AUN752	Licensed Representative (Provisional Licence)	1, 2, 4, 6, 7
BRODHEAD III Charles Dingman	AUW882	Licensed Representative (Provisional Licence)	1, 2, 7
BURDIS James	AUX142	Licensed Representative (Provisional Licence)	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
CAI Yingwei	AUU962	Licensed Representative (Provisional Licence)	1, 4, 6
CAI Yu	AUW213	Licensed Representative (Provisional Licence)	1
CHADA Rohin	AUW125	Licensed Representative (Provisional Licence)	9
CHAN Chi Keung	AUY945	Licensed Representative (Provisional Licence)	1
CHAN Christian James	ARQ002	Licensed Representative (Provisional Licence)	1
CHAN Ka Yee	AUZ470	Licensed Representative (Provisional Licence)	1, 2
CHAN Kai Ho	AUV332	Licensed Representative (Provisional Licence)	1
CHAN Koon Tak	AUW649	Licensed Representative (Provisional Licence)	1
CHAN Man Hon	AEI555	Licensed Representative (Provisional Licence)	4
CHAN Oi Ying	AUX438	Licensed Representative (Provisional Licence)	1
CHAN Pui Man	AUT998	Licensed Representative (Provisional Licence)	1, 4, 9
CHAN Shui Yi, Florence	AUW491	Licensed Representative (Provisional Licence)	1, 4, 9
CHAN Tin Wing	AUJ846	Licensed Representative (Provisional Licence)	1
CHAN Ting	APO009	Licensed Representative (Provisional Licence)	1
CHAN Wai Leung	AUX093	Licensed Representative (Provisional Licence)	1
CHAN Wang Lak	AUV575	Licensed Representative (Provisional Licence)	4
CHAN Wing Kin	AUW795	Licensed Representative (Provisional Licence)	1, 6
CHAN Yan Lung	AUX220	Licensed Representative (Provisional Licence)	9
CHANG Bo	AUX307	Licensed Representative (Provisional Licence)	9
CHANG Tzy Fay	AUV944	Licensed Representative (Provisional Licence)	9
CHANG Yuan-wei	AUX365	Licensed Representative (Provisional Licence)	1
CHARNSETHIKUL Pimpaval	AUT124	Licensed Representative (Provisional Licence)	1
CHAU Lap Shun	AUY922	Licensed Representative (Provisional Licence)	1
CHAU Sing Yan	AUX634	Licensed Representative (Provisional Licence)	1, 4
CHEAH Sim Ee	ANM987	Licensed Representative (Provisional Licence)	1, 2, 7
CHEN Hua	AUZ009	Licensed Representative (Provisional Licence)	1, 4
CHEN Jianping	AUV177	Licensed Representative (Provisional Licence)	4
CHEN Jing Yi	ARN454	Licensed Representative (Provisional Licence)	9
CHEN Lei	AMP422	Licensed Representative (Provisional Licence)	1, 4, 6
CHEN Qianqian	AUV895	Licensed Representative (Provisional Licence)	4
CHEN Tsung-chien	AUY923	Licensed Representative (Provisional Licence)	1
CHEN Xiaoyu	AUX564	Licensed Representative (Provisional Licence)	1, 2, 7
CHENG Hoi Yin	AGC463	Licensed Representative (Provisional Licence)	1, 6
CHENG Kwok Wai	AUX349	Licensed Representative (Provisional Licence)	1
CHENG Lok Hang	AUZ464	Licensed Representative (Provisional Licence)	1, 9
CHENG Michael Godwin	AUX377	Licensed Representative (Provisional Licence)	1, 2

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHENG Virgil	AUX418	Licensed Representative (Provisional Licence)	1
CHER Jonathan Yves Louis William	AUV738	Licensed Representative (Provisional Licence)	1, 2
CHEUNG Ka Hang	AUW248	Licensed Representative (Provisional Licence)	1, 2
CHEUNG Kin Hang	ARA266	Licensed Representative (Provisional Licence)	1, 2
CHEUNG King Tak, Candy	AQX898	Licensed Representative (Provisional Licence)	1
CHEUNG Mang	AKW755	Licensed Representative (Provisional Licence)	4
CHEUNG Wai Leung	AUW129	Licensed Representative (Provisional Licence)	1
CHEUNG Wing Chow	AUW530	Licensed Representative (Provisional Licence)	1, 2
CHEUNG Yan Fai, Paddy	AUW251	Licensed Representative (Provisional Licence)	1
CHIU Chih Ning	AUW231	Licensed Representative (Provisional Licence)	1, 2
CHIU Man Yung	AUV119	Licensed Representative (Provisional Licence)	1
CHIU Sai Lun	AUX102	Licensed Representative (Provisional Licence)	1
CHO Hiu Yeung	AUX366	Licensed Representative (Provisional Licence)	1
CHO Keum Taek	AUV511	Licensed Representative (Provisional Licence)	1
CHO Sollo	AUW639	Licensed Representative (Provisional Licence)	1, 6
CHOI King Wang	AUV489	Licensed Representative (Provisional Licence)	1
CHOI Stephen Joon	AJH431	Licensed Representative (Provisional Licence)	1, 2
CHOI Yung Yung, Joyce	AUW531	Licensed Representative (Provisional Licence)	1, 2
CHONG Petrina Pek Ling	AUV851	Licensed Representative (Provisional Licence)	4
CHOW Chu Sing	AUV530	Licensed Representative (Provisional Licence)	1
CHOW Ka Yiu, Martin	AUX375	Licensed Representative (Provisional Licence)	1, 2
CHOY Shu Wah	ADS119	Licensed Representative (Provisional Licence)	1
CHU Ho	AUW246	Licensed Representative (Provisional Licence)	1, 2, 4
CHU Hoi Yee	AUW786	Licensed Representative (Provisional Licence)	1, 6
CHU Kang Ming	AUX009	Licensed Representative (Provisional Licence)	1, 2
CHU Kwok Hong	ALZ579	Licensed Representative (Provisional Licence)	1
CHU Long Wai	AUW253	Licensed Representative (Provisional Licence)	1, 2
CHU Richard Shan Yao	AUW031	Licensed Representative (Provisional Licence)	9
CHU Sing Wai	AUV781	Licensed Representative (Provisional Licence)	1, 4, 6
CHU TSE Alina Sui Han	ARI952	Licensed Representative (Provisional Licence)	4, 9
CHU Ying	AQY614	Licensed Representative (Provisional Licence)	1, 4, 6
CLAPPIER John Frederick	AGL393	Licensed Representative (Provisional Licence)	1, 2
CLARKE James Hamilton	ACF149	Licensed Representative (Provisional Licence)	4
CLARKSON Brian Patrick	AUZ084	Licensed Representative (Provisional Licence)	1, 2, 7
COATES David Lee	ARJ844	Licensed Representative (Provisional Licence)	1, 2, 7
Castrounis George Alexander	ARF619	Licensed Representative (Provisional Licence)	9

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
DABOUZ Lies	AUV764	Licensed Representative (Provisional Licence)	1
DAFFORN Michael James	AUX135	Licensed Representative (Provisional Licence)	1
DING Xiao	AUW138	Licensed Representative (Provisional Licence)	1, 6
DONG Mei	AUX150	Licensed Representative (Provisional Licence)	1, 4, 9
DOO Sai Fong	AAY722	Licensed Representative (Provisional Licence)	1
DOONG Chui Yee, Wendy	AEU516	Licensed Representative (Provisional Licence)	1, 2
DUAN Hongyu	AEW345	Licensed Representative (Provisional Licence)	1, 4, 9
DUNNE Terry K	AUW515	Licensed Representative (Provisional Licence)	4
DUONG Thanh-mai	AUW527	Licensed Representative (Provisional Licence)	6
ENGEL James Andrew	AUZ510	Licensed Representative (Provisional Licence)	4
FAN Ruijin	AUQ160	Licensed Representative (Provisional Licence)	4, 6, 9
FAN Yi	AUV739	Licensed Representative (Provisional Licence)	1, 2
FENG Xin	AUV420	Licensed Representative (Provisional Licence)	6
FINEMAN Daniel Mark	AEP441	Licensed Representative (Provisional Licence)	4
FONG Chin Yi, Tansy	AUZ346	Licensed Representative (Provisional Licence)	1, 2
FONG Chung Loon, David	AUT314	Licensed Representative (Provisional Licence)	1, 2
FOO Tzi Chun, Wallace	ADC298	Licensed Representative (Provisional Licence)	1, 6
FROST Michael	AHQ485	Licensed Representative (Provisional Licence)	1
FUJIWARA Sari	AUV639	Licensed Representative (Provisional Licence)	1, 4
FUNG Shu Fai	AUZ059	Licensed Representative (Provisional Licence)	1, 2
FUNG Wing Tsan	ADQ913	Licensed Representative (Provisional Licence)	4, 9
FUNG Yuen Yan	AUX016	Licensed Representative (Provisional Licence)	1, 2
GAO Yang	AUV974	Licensed Representative (Provisional Licence)	1, 2
GENG Cong	AUW030	Licensed Representative (Provisional Licence)	1, 6
GEORGE Nicholas James	AUW532	Licensed Representative (Provisional Licence)	1, 2
GHOUILA-HOURI Lionel, Joseph	AUW774	Licensed Representative (Provisional Licence)	1, 2
GINESTA VAZQUEZ Guillermo Francisco	AUU967	Licensed Representative (Provisional Licence)	1, 4
GLEESON Jamie Alexander Loveland	AUZ306	Licensed Representative (Provisional Licence)	1, 2
GONG Rui	AUX420	Licensed Representative (Provisional Licence)	1, 2
GOVE Jennifer Anne	AUS998	Licensed Representative (Provisional Licence)	9
GOYAL Vishal	AUU965	Licensed Representative (Provisional Licence)	4
GUAN Bin	AGL097	Licensed Representative (Provisional Licence)	1, 4
GUPTA Vishal	AUV188	Licensed Representative (Provisional Licence)	4
HAN Min	AUW029	Licensed Representative (Provisional Licence)	1, 2, 7
HANNAN David James	AMS327	Licensed Representative (Provisional Licence)	1, 2
HAYAKAWA Hitoshi	AUW514	Licensed Representative (Provisional Licence)	4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
HAYAMA Tetsuhiro	AUW110	Licensed Representative (Provisional Licence)	1
HE Sijia	AUV102	Licensed Representative (Provisional Licence)	1
HENNINGSEN Michael	AUW140	Licensed Representative (Provisional Licence)	1
HEUNG Chun Kit	AUY929	Licensed Representative (Provisional Licence)	1
HIRST David A	AUY976	Licensed Representative (Provisional Licence)	1
HO Chi Hang, Jeffrey	AUZ020	Licensed Representative (Provisional Licence)	1, 2
HO Chi Lun Barry	AUQ143	Licensed Representative (Provisional Licence)	4, 6, 9
HO Ernest	AOM535	Licensed Representative (Provisional Licence)	1, 4
HO Kin Chung, Kelvin	AFR360	Licensed Representative (Provisional Licence)	1, 2
HO Lek Yee	AUW056	Licensed Representative (Provisional Licence)	1
HO Lok Man, Tiffany	AUV994	Licensed Representative (Provisional Licence)	1, 2
HO Wing Sze, Ada	ACJ281	Licensed Representative (Provisional Licence)	1, 4
HOARE Geoffrey Peter	AUW124	Licensed Representative (Provisional Licence)	4, 5, 9
HODULIK John Christopher	AUQ991	Licensed Representative (Provisional Licence)	4
HOLGATE Benjamin David	ARW891	Licensed Representative (Provisional Licence)	1
HONG Yun	AUQ146	Licensed Representative (Provisional Licence)	4, 6, 9
HOSKIN Todd Edward	AUZ154	Licensed Representative (Provisional Licence)	1, 6
HOU Jing	AUW633	Licensed Representative (Provisional Licence)	1, 4
HU Nyree Nai-wen	AUW511	Licensed Representative (Provisional Licence)	4, 9
HU Yingqing	AUW137	Licensed Representative (Provisional Licence)	1, 4, 6
HUANG Chen	AUV437	Licensed Representative (Provisional Licence)	1, 2
HUANG Dawei	AUV855	Licensed Representative (Provisional Licence)	1, 4, 6
HUANG Hiu Tan	AOQ960	Licensed Representative (Provisional Licence)	4
HUANG Shasha	AUV734	Licensed Representative (Provisional Licence)	1, 6
HUANG Yisha	AUY926	Licensed Representative (Provisional Licence)	1
HUANG Zhaojie	AUV510	Licensed Representative (Provisional Licence)	1, 4, 6
HUI Hing Cheung, Brian	AUX308	Licensed Representative (Provisional Licence)	1
HUI Ting Fong	AUX111	Licensed Representative (Provisional Licence)	4
HULAC Charles Ridgeway	AGK054	Licensed Representative (Provisional Licence)	1, 4, 6
HUNG Hilary Yi Jeng	APU944	Licensed Representative (Provisional Licence)	1
IBARA Yoshinao	AUX140	Licensed Representative (Provisional Licence)	1
IP Kim Hung	AUX356	Licensed Representative (Provisional Licence)	1
IP Pui Shan, Sarah	AGI952	Licensed Representative (Provisional Licence)	1, 4
ITAYA Masashi	AUW884	Licensed Representative (Provisional Licence)	4
JACOB Michael Edward	AUW510	Licensed Representative (Provisional Licence)	1
JACOB Vijay Thomas	AUV355	Licensed Representative (Provisional Licence)	1, 4, 6

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
JAMES Shane Charles	ATL423	Licensed Representative (Provisional Licence)	9
JEFFERY Anchan Khay	AUX357	Licensed Representative (Provisional Licence)	1, 2
JIANG Jiang	AUW635	Licensed Representative (Provisional Licence)	9
KAKEHASHI Sayaka	AUV636	Licensed Representative (Provisional Licence)	1, 4
KAN Kei Nap	ANL969	Licensed Representative (Provisional Licence)	1
KANNO Kunihiro	AUW980	Licensed Representative (Provisional Licence)	4
KEE Chen Hou	AUW834	Licensed Representative (Provisional Licence)	1, 2, 7
KEVALEE Thaniya	AFB035	Licensed Representative (Provisional Licence)	4
KEYES Justin S	AQD163	Licensed Representative (Provisional Licence)	1
KHAN Usman Sohail	AUX411	Licensed Representative (Provisional Licence)	1, 4, 6
KIM Hyung Eun	AUW502	Licensed Representative (Provisional Licence)	1
KIM So Yeon	AMM348	Licensed Representative (Provisional Licence)	1
KIM Taehong	AUV123	Licensed Representative (Provisional Licence)	1, 2, 7
KOGAR Samir	AUT095	Licensed Representative (Provisional Licence)	1
KOLL Kathy Mitsuko	AUV515	Licensed Representative (Provisional Licence)	1, 4
KONDO Ken	AUY917	Licensed Representative (Provisional Licence)	1, 2
KONG Wai Choi, William	AUX112	Licensed Representative (Provisional Licence)	1, 2
KOTHARI Sejal Kirit	AUX306	Licensed Representative (Provisional Licence)	1, 6
KULKARNI Manoj Dilipkumar	AUW573	Licensed Representative (Provisional Licence)	4
KUNG Kit Yee	AUZ023	Licensed Representative (Provisional Licence)	1
KUO Marc	AUY932	Licensed Representative (Provisional Licence)	1, 2
KWAN Kit Yan, Anderson	AUX006	Licensed Representative (Provisional Licence)	1
KWAN Pui Chee	AUW887	Licensed Representative (Provisional Licence)	1
KWAN Wai Sum	AUX266	Licensed Representative (Provisional Licence)	1
KWOK Ka Chi	AUW800	Licensed Representative (Provisional Licence)	4
KWOK Ka Yan Karen	AUX313	Licensed Representative (Provisional Licence)	1
LA RUE Robert Scott	AUW237	Licensed Representative (Provisional Licence)	6
LAI Shing Hong, Ronny	AUX096	Licensed Representative (Provisional Licence)	9
LAM Brian	AUW751	Licensed Representative (Provisional Licence)	1
LAM Cheuk Fung	AUZ013	Licensed Representative (Provisional Licence)	1, 2
LAM Chi Hsin	ALO052	Licensed Representative (Provisional Licence)	1
LAM Chi Wai, Dave	ABB057	Licensed Representative (Provisional Licence)	1
LAM Chiu Kei, Banny	AGH217	Licensed Representative (Provisional Licence)	4
LAM Ka Lai	AUT719	Licensed Representative (Provisional Licence)	1, 2
LAM Ka Wai	AOV836	Licensed Representative (Provisional Licence)	1
LAM Melody Wai Yan	AUV751	Licensed Representative (Provisional Licence)	1, 4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
LAM Pui Pui	AQN699	Licensed Representative (Provisional Licence)	1
LAM Tat Shing	AUV992	Licensed Representative (Provisional Licence)	1, 2
LAM Wai Cheng	AUV176	Licensed Representative (Provisional Licence)	1, 4, 9
LAM Wing Ki	AUT952	Licensed Representative (Provisional Licence)	1
LAMOTHE-CHARLEBOIS Francois	AUX287	Licensed Representative (Provisional Licence)	4
LAMRINI Mohammed Mehdi	AUW123	Licensed Representative (Provisional Licence)	1, 2, 7
LANE David Adrian	AUX153	Licensed Representative (Provisional Licence)	4
LASKY Peter Andrew	ANT960	Licensed Representative (Provisional Licence)	1
LAU Cheung Ka, Daniel	AIB406	Licensed Representative (Provisional Licence)	1
LAU Chi Ming	AUW146	Licensed Representative (Provisional Licence)	9
LAU Chi On	AUZ017	Licensed Representative (Provisional Licence)	1
LAU Chun Sing	ANQ367	Licensed Representative (Provisional Licence)	1, 4
LAU Chun Yu	ANK121	Licensed Representative (Provisional Licence)	1, 4, 9
LAU Kai Fung, Edward	AUW118	Licensed Representative (Provisional Licence)	1, 4, 6
LAU Nam Fung, Henry	AUW417	Licensed Representative (Provisional Licence)	2
LAU Sai Kit Dennis	AUV774	Licensed Representative (Provisional Licence)	1
LAU Siu Fai	ADA388	Licensed Representative (Provisional Licence)	1
LAU Valerie Wai Chee	AUX419	Licensed Representative (Provisional Licence)	1
LAU Wai Ping, Cathy	AUX352	Licensed Representative (Provisional Licence)	1, 4
LEE Chun Yip	AUW445	Licensed Representative (Provisional Licence)	1, 2
LEE Ka Wo	AUX259	Licensed Representative (Provisional Licence)	1
LEE Man Hung	AUV610	Licensed Representative (Provisional Licence)	1
LEE Mei Shuen	AUV606	Licensed Representative (Provisional Licence)	1, 2
LEE Ngai Yee	AUZ008	Licensed Representative (Provisional Licence)	1
LEE Sheung Hung	AKJ073	Licensed Representative (Provisional Licence)	1, 2
LEE Siu Kei	AUZ365	Licensed Representative (Provisional Licence)	4
LEE So Ryung	ARG849	Licensed Representative (Provisional Licence)	1, 2
LEI Ming	AUV623	Licensed Representative (Provisional Licence)	1, 6
LEUNG Chung Hang	AMN680	Licensed Representative (Provisional Licence)	1, 2
LEUNG Issac Kam Lung	AUV993	Licensed Representative (Provisional Licence)	1
LEUNG Karen Ka Ying	AUX242	Licensed Representative (Provisional Licence)	4
LEUNG Kwan Hoo	AUW512	Licensed Representative (Provisional Licence)	4
LEUNG Man Hon, Ivan	ANG301	Licensed Representative (Provisional Licence)	1, 2
LEUNG Wing Yan	AUW488	Licensed Representative (Provisional Licence)	1, 2
LEVINE Robert Peter	AGL783	Licensed Representative (Provisional Licence)	1
LI Andrew Sing-tsze	ANK159	Licensed Representative (Provisional Licence)	4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
LI Bing	AUV179	Licensed Representative (Provisional Licence)	1, 4, 9
LI Bonan	AUV512	Licensed Representative (Provisional Licence)	4
LI Shulu	AUW640	Licensed Representative (Provisional Licence)	1, 6
LI Wenjie	AUY931	Licensed Representative (Provisional Licence)	1, 4
LI Youdan	AUV418	Licensed Representative (Provisional Licence)	6
LIM Kin Heng	AUV550	Licensed Representative (Provisional Licence)	1
LIM Serene	AUW836	Licensed Representative (Provisional Licence)	1, 4
LIM Wen-tzen	ALN484	Licensed Representative (Provisional Licence)	4, 6, 9
LIU Danqing	AUZ101	Licensed Representative (Provisional Licence)	1, 4, 9
LIU Jia	AUZ157	Licensed Representative (Provisional Licence)	1, 4
LIU Jing	ART641	Licensed Representative (Provisional Licence)	1, 4
LIU Shuk Hin	AUW342	Licensed Representative (Provisional Licence)	1, 2
LIU Wai Ming	AUW051	Licensed Representative (Provisional Licence)	4
LIU Yaping	AUX497	Licensed Representative (Provisional Licence)	1, 4, 6
LIU Yin Tai	AUW247	Licensed Representative (Provisional Licence)	1, 2
LO Philip Yee Chuen	AUY865	Licensed Representative (Provisional Licence)	1, 2
LO Yi Pin	ALJ988	Licensed Representative (Provisional Licence)	1
LONG David Jason Junor	AUW238	Licensed Representative (Provisional Licence)	1, 2
LOUARN Thomas Pierre Guy Felix	AUV893	Licensed Representative (Provisional Licence)	1, 2, 7
LOUIE Kwun Yin, David	AUV181	Licensed Representative (Provisional Licence)	1, 4, 5, 9
LU Chih-Heng Jack	AUX378	Licensed Representative (Provisional Licence)	4
LU Yachong	ARG826	Licensed Representative (Provisional Licence)	1, 6
LUI Malcolm O	AUT119	Licensed Representative (Provisional Licence)	1
LUI Wai Chiu	AIH680	Licensed Representative (Provisional Licence)	1
LUO Xun	AUW916	Licensed Representative (Provisional Licence)	1, 4, 9
LUO Yang	AUV152	Licensed Representative (Provisional Licence)	4
MA Hoi Sze	AUW529	Licensed Representative (Provisional Licence)	2
MAEKAWA Hideyuki	AUW526	Licensed Representative (Provisional Licence)	4
MAK Cheuk Hong	AUZ340	Licensed Representative (Provisional Licence)	1, 2
MAK Ka Yan, Jennifer	AUW603	Licensed Representative (Provisional Licence)	1, 2
MAK Wai Shing	AUX263	Licensed Representative (Provisional Licence)	1
MALIK Jasween	AUW634	Licensed Representative (Provisional Licence)	4
MAN Ho Yeung, Eric	AUW648	Licensed Representative (Provisional Licence)	1, 9
MAN Wai Keung	AUX154	Licensed Representative (Provisional Licence)	1, 2
MAN Yi Yan	AUX241	Licensed Representative (Provisional Licence)	1, 2
MANI Praveen Ayyappa	AUV603	Licensed Representative (Provisional Licence)	4, 5

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
MANLEY Richard Matthew	AUU994	Licensed Representative (Provisional Licence)	1, 4
MAO Beichen	ATS704	Licensed Representative (Provisional Licence)	1, 4, 6
MAO Yifeng	AMT627	Licensed Representative (Provisional Licence)	9
MATHIE Robbi	ANQ501	Licensed Representative (Provisional Licence)	1
MCCALLUM Colin James	ADX863	Licensed Representative (Provisional Licence)	4
MCCORMACK James	AUV518	Licensed Representative (Provisional Licence)	1
MCMURTRAY Nathan Noel	ALW212	Licensed Representative (Provisional Licence)	1, 6
MIAO Fan	ATB864	Licensed Representative (Provisional Licence)	4
MINACK Gerard John	AMN708	Licensed Representative (Provisional Licence)	1
MINARIK David Matthew	AUW513	Licensed Representative (Provisional Licence)	1
MOCHIZUKI Masahiro	AUW524	Licensed Representative (Provisional Licence)	4
MOHLA Abhishek Dushyant	AUZ081	Licensed Representative (Provisional Licence)	1
MOK Hoi Chung	AEE172	Licensed Representative (Provisional Licence)	1, 2
MOK Leung Hung, Leon	AOM521	Licensed Representative (Provisional Licence)	1
MOSER Kent Sanford	ALF653	Licensed Representative (Provisional Licence)	1
MOTT Jonathan James	AUW134	Licensed Representative (Provisional Licence)	4
MUI Pang Kin, Patrick	ARM775	Licensed Representative (Provisional Licence)	1
MUI Yim Yin	AUW230	Licensed Representative (Provisional Licence)	4
MYRON Jason Louis	AUV506	Licensed Representative (Provisional Licence)	1
NAKAMURA Miley	AUW130	Licensed Representative (Provisional Licence)	1, 2
NEMA Naoshi	ANH179	Licensed Representative (Provisional Licence)	1
NEWTON Linda Maree	AUU968	Licensed Representative (Provisional Licence)	4
NG Alice Pui Shan	AUV477	Licensed Representative (Provisional Licence)	1
NG Cheuk Kin	AUV180	Licensed Representative (Provisional Licence)	1
NG Fan	AUW419	Licensed Representative (Provisional Licence)	1, 2
NG Manhoe	AUT769	Licensed Representative (Provisional Licence)	1, 2
NG Shui King, Yvonne	AGE338	Licensed Representative (Provisional Licence)	1
NG Shui To, Eleanor	AJF482	Licensed Representative (Provisional Licence)	1
NG Sin Ting, Joanne	AUT770	Licensed Representative (Provisional Licence)	1, 4, 6
NG Wai Sum	AJD565	Licensed Representative (Provisional Licence)	2
NG Wing Tai	AUZ073	Licensed Representative (Provisional Licence)	4
NG Yuen Ling	AUX004	Licensed Representative (Provisional Licence)	1, 2
NORONHA Cecilia	AUW055	Licensed Representative (Provisional Licence)	1, 6
NORRIS Jeremy Anthony	ABM977	Licensed Representative (Provisional Licence)	1
O'NEILL John Daniel	AUV896	Licensed Representative (Provisional Licence)	1
ONG Choo Lian, Stephanie	AUW604	Licensed Representative (Provisional Licence)	1, 7

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
OXLADE Michael James	AUW121	Licensed Representative (Provisional Licence)	1, 2
PADGALSKAS Nicholas Keith	AUV978	Licensed Representative (Provisional Licence)	1, 6
PALMA Jeffrey A	AUT364	Licensed Representative (Provisional Licence)	4
PANG Kwai Yuk, Stella	AUW522	Licensed Representative (Provisional Licence)	1
PANG Lai Kwan	AUV853	Licensed Representative (Provisional Licence)	1
PARK Sang Sun	ALR978	Licensed Representative (Provisional Licence)	4, 9
PARK Soo Jin	AUT784	Licensed Representative (Provisional Licence)	1
PATKAR Rahul Pradeep	AUW133	Licensed Representative (Provisional Licence)	1
PHILIPS Christiana Marie	AUX021	Licensed Representative (Provisional Licence)	9
POLGE DE COMBRET Marguerite Prune Coralie	AUV736	Licensed Representative (Provisional Licence)	1, 6
POON Chun Bong	AUW799	Licensed Representative (Provisional Licence)	1
PRADO MIGUELEZ Aranzazu	AUX114	Licensed Representative (Provisional Licence)	4
PRASERTSINTANAH Pornchai	AUT099	Licensed Representative (Provisional Licence)	1
PU Jimmy	AUX546	Licensed Representative (Provisional Licence)	1, 6
QIN Xiao	AOY193	Licensed Representative (Provisional Licence)	1, 4, 6
QUEK Chin Hung	AUX104	Licensed Representative (Provisional Licence)	1, 2
RADHAKRISHNAN Srinivas	AUX024	Licensed Representative (Provisional Licence)	4
RHEE Jae Kyung	AUZ166	Licensed Representative (Provisional Licence)	1
ROULIN Emmanuel Pierre Michel	AUV182	Licensed Representative (Provisional Licence)	1
RYAN Patrick M	AUW198	Licensed Representative (Provisional Licence)	1
RYU Ho Kyung	AUV471	Licensed Representative (Provisional Licence)	1, 6
SAKAMOTO Yusuke	AUV633	Licensed Representative (Provisional Licence)	1
SANGER Paul John	ASH952	Licensed Representative (Provisional Licence)	1, 2, 7
SAWAI Ankit Kumar	AUV595	Licensed Representative (Provisional Licence)	1, 6
SEE Wee Phing, Eric	AQU543	Licensed Representative (Provisional Licence)	1
SEO Jong Dae	AUV972	Licensed Representative (Provisional Licence)	1, 2
SHAM Ho Lun, Hans	AUX151	Licensed Representative (Provisional Licence)	1
SHARMA Mrinal	AUZ153	Licensed Representative (Provisional Licence)	1, 4, 6
SHEN Xudong	AUV175	Licensed Representative (Provisional Licence)	4
SHI Changyong	AUX573	Licensed Representative (Provisional Licence)	4
SHIGEZAKI Ayako	ASZ506	Licensed Representative (Provisional Licence)	1
SHIN Young-suk	AUW244	Licensed Representative (Provisional Licence)	1
SHIU Lai Man	AKQ640	Licensed Representative (Provisional Licence)	3
SHUM Wai Lam, William	AUV735	Licensed Representative (Provisional Licence)	1, 6
SHUM Yuk Yee	AEJ175	Licensed Representative (Provisional Licence)	1, 2
SINGLETON Paul Hugh	AUW528	Licensed Representative (Provisional Licence)	1, 2, 7

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
SIU Chak Foon	AUW608	Licensed Representative (Provisional Licence)	1, 2
SIU Kin Man	AEE259	Licensed Representative (Provisional Licence)	1
SIU Wilson Wai Lum	AIZ698	Licensed Representative (Provisional Licence)	4, 9
SLADIC Ales	AUV740	Licensed Representative (Provisional Licence)	1
SO Ha Yan	AUW352	Licensed Representative (Provisional Licence)	1
SO Kit Yan	AUX155	Licensed Representative (Provisional Licence)	1
SO Petrina Pui Yan	AMJ575	Licensed Representative (Provisional Licence)	4
SOSA Edison Antonio	AUV509	Licensed Representative (Provisional Licence)	1
SRIVASTAV Pankaj Kumar	AUU964	Licensed Representative (Provisional Licence)	4
STRAIN Nicholas Andrew	AFJ969	Licensed Representative (Provisional Licence)	1, 2, 7
SU Hui	AUZ018	Licensed Representative (Provisional Licence)	4, 9
SUEN Wai Man	AUX361	Licensed Representative (Provisional Licence)	1
SUH Jung Won	AUS548	Licensed Representative (Provisional Licence)	1, 4, 6
SUH Young Suk	AFO928	Licensed Representative (Provisional Licence)	1
SUM Ping Kong	AUX010	Licensed Representative (Provisional Licence)	1, 2, 3
SUN Tsui Ping	AUV990	Licensed Representative (Provisional Licence)	1, 4
SUARNATEMEE Paworamon	AUT103	Licensed Representative (Provisional Licence)	4
TABATA Shinichi	AUV637	Licensed Representative (Provisional Licence)	1, 4
TAKAYAMA Daiki	AUV516	Licensed Representative (Provisional Licence)	1, 4
TAM Kevin	AUX305	Licensed Representative (Provisional Licence)	1
TAM Sin Kwan	AUW632	Licensed Representative (Provisional Licence)	1, 2
TAM Van See, Joyce	AIN600	Licensed Representative (Provisional Licence)	1, 2
TAN Meng Wee, Kendrew	AUV519	Licensed Representative (Provisional Licence)	1, 6
TANG Bingjun, Daniel	AUX373	Licensed Representative (Provisional Licence)	4
TANG Hon Kit	AUW336	Licensed Representative (Provisional Licence)	1
TANG Weiguo	AUW905	Licensed Representative (Provisional Licence)	1, 6
TAO Wing Cheong	AUU990	Licensed Representative (Provisional Licence)	1
TAVEERATANASILP Nuntana	AQM288	Licensed Representative (Provisional Licence)	1
TECHAKUMPUCH Chai	AUT107	Licensed Representative (Provisional Licence)	4
TO Ching Sze, Cecilia	APA899	Licensed Representative (Provisional Licence)	4, 5
TONG Kwai Mui	AFB013	Licensed Representative (Provisional Licence)	1
TRAN Leonard	AUW078	Licensed Representative (Provisional Licence)	1, 2
TRECOURT Pierre Jean Daniel	AUV127	Licensed Representative (Provisional Licence)	1
TSANG Hing Yu	AHN528	Licensed Representative (Provisional Licence)	1
TSANG Mei Yin	AUW192	Licensed Representative (Provisional Licence)	1
TSANG Simon Sai Cheong	AUW602	Licensed Representative (Provisional Licence)	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
TSANG Yin Chung, Martin	AUX602	Licensed Representative (Provisional Licence)	1, 4
TSE Shun Yue, Cora	ATC228	Licensed Representative (Provisional Licence)	1
TSE Yau Ling	AUV604	Licensed Representative (Provisional Licence)	1
TSOI Ting Mun	AUV894	Licensed Representative (Provisional Licence)	1
TUAN Shunde Noel	AUW209	Licensed Representative (Provisional Licence)	1
TULK Philip W	ADZ105	Licensed Representative (Provisional Licence)	4
UNGOLAN Intarat	AMK192	Licensed Representative (Provisional Licence)	1
UPTON James Andrew	AUW064	Licensed Representative (Provisional Licence)	1
VEERMAN Alfred Rene	AUT652	Licensed Representative (Provisional Licence)	4
WAN Shuk Yu, Judy	AUV514	Licensed Representative (Provisional Licence)	1, 6
WANG Anping	AUW252	Licensed Representative (Provisional Licence)	1, 2, 7
WANG Frank Wei-Kang	AFT830	Licensed Representative (Provisional Licence)	1, 6
WANG Lei	AUX545	Licensed Representative (Provisional Licence)	1, 6
WANG Wei	AUX226	Licensed Representative (Provisional Licence)	1, 6
WANG Yi	AUW136	Licensed Representative (Provisional Licence)	1, 2
WANG Ying	AUZ367	Licensed Representative (Provisional Licence)	9
WATANABE Takashi	AUV517	Licensed Representative (Provisional Licence)	1, 4
WEI Jie	AUT751	Licensed Representative (Provisional Licence)	1, 6
WEI Stephen J	AGW283	Licensed Representative (Provisional Licence)	1, 9
WILKINS Clare Rosina	AUV326	Licensed Representative (Provisional Licence)	9
WILSON Scott	AUX582	Licensed Representative (Provisional Licence)	4, 9
WONG Annie Yan Tsz	AUV531	Licensed Representative (Provisional Licence)	1
WONG Chi Man, Louis	AUW820	Licensed Representative (Provisional Licence)	1
WONG Chin Hung, Cyrus	ATO773	Licensed Representative (Provisional Licence)	1, 2
WONG Chun Ho	AUW995	Licensed Representative (Provisional Licence)	1
WONG Kei Yan	AUW339	Licensed Representative (Provisional Licence)	1
WONG Kin Man	AUW416	Licensed Representative (Provisional Licence)	2
WONG Lan Fa	AUV854	Licensed Representative (Provisional Licence)	1
WONG Lok Hang	AUZ016	Licensed Representative (Provisional Licence)	2
WONG Man Chun, Anthony	AJD976	Licensed Representative (Provisional Licence)	1
WONG Man Fai	AUX371	Licensed Representative (Provisional Licence)	1
WONG Man Man, Catherine	AUW025	Licensed Representative (Provisional Licence)	4
WONG Sau Chun, Carrie	ACX079	Licensed Representative (Provisional Licence)	1, 4
WONG Shung Pun, Roland	AUX368	Licensed Representative (Provisional Licence)	1
WONG Tze Hin	AUW788	Licensed Representative (Provisional Licence)	2
WONG Victoria Wai Ying	AUW683	Licensed Representative (Provisional Licence)	1, 4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
WONG Yiu Cheong	AUW021	Licensed Representative (Provisional Licence)	4
WONG Yuen Yee, Vicky	AUX364	Licensed Representative (Provisional Licence)	1
WRIGHT Kim Samantha	AUW108	Licensed Representative (Provisional Licence)	4
WU Chun Lai	AUW915	Licensed Representative (Provisional Licence)	1, 4, 9
WU Nan	AUW139	Licensed Representative (Provisional Licence)	1, 4, 6
WU Warren Charles	AUZ061	Licensed Representative (Provisional Licence)	1, 4, 6
WU Yuk Mui	AAC272	Licensed Representative (Provisional Licence)	1
XI Xiaojie	AQM286	Licensed Representative (Provisional Licence)	1, 6
XIAO Tian	AUW610	Licensed Representative (Provisional Licence)	1, 6
XIONG Fei	AUW687	Licensed Representative (Provisional Licence)	1, 6
XU Linwei	AUZ169	Licensed Representative (Provisional Licence)	4
YAMADA Shinya	AUW525	Licensed Representative (Provisional Licence)	4
YAN Wentao	AUV991	Licensed Representative (Provisional Licence)	4
YANG Becky	ANM527	Licensed Representative (Provisional Licence)	1
YANG Kirk Y-C	AFE044	Licensed Representative (Provisional Licence)	4
YANG Shijing	AUU963	Licensed Representative (Provisional Licence)	1, 2, 4, 5
YE Ping	AUV359	Licensed Representative (Provisional Licence)	6
YEN Jason James	AFS525	Licensed Representative (Provisional Licence)	1, 2
YEUNG Pik Ki, Becky	ASO317	Licensed Representative (Provisional Licence)	1
YEUNG Wan Hei	AUW128	Licensed Representative (Provisional Licence)	1, 2
YEUNG Yun Chu	AUW601	Licensed Representative (Provisional Licence)	1
YIN Wen Xun	AUW776	Licensed Representative (Provisional Licence)	1
YIP Chi Wing	ARO676	Licensed Representative (Provisional Licence)	1
YIP Chui Ping, Lisa	AUW141	Licensed Representative (Provisional Licence)	1, 6
YIP Ka Ho	ALQ922	Licensed Representative (Provisional Licence)	9
YIP Keng Fai	AUW257	Licensed Representative (Provisional Licence)	1, 2
YIU Tsz Chun	AUX095	Licensed Representative (Provisional Licence)	2
YOKOSUKA Takashi	AUV635	Licensed Representative (Provisional Licence)	1, 4
YU ENG HONG Franklin	AUY318	Licensed Representative (Provisional Licence)	1, 4
YU Lijie	AUX358	Licensed Representative (Provisional Licence)	4
YU Man	AUW725	Licensed Representative (Provisional Licence)	1, 2
YU Man Fung, Lora	AMQ585	Licensed Representative (Provisional Licence)	4, 9
YU Ming Lung	AUT720	Licensed Representative (Provisional Licence)	6
YU Shuk Wing	AUV777	Licensed Representative (Provisional Licence)	1, 4
YUEN Pui Ho	AUY360	Licensed Representative (Provisional Licence)	1, 4, 9
YUEN Siu Lun	AJA304	Licensed Representative (Provisional Licence)	3

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
YUK Pan Yiu, Jackie	AUY862	Licensed Representative (Provisional Licence)	1
Yeung Pak Keung	ANX912	Licensed Representative (Provisional Licence)	1
ZAO Audrey	ACB673	Licensed Representative (Provisional Licence)	1, 2, 4, 5
ZHANG Fan	AUT824	Licensed Representative (Provisional Licence)	4
ZHANG Jingxin	AUS542	Licensed Representative (Provisional Licence)	1, 4, 6
ZHANG Qin	AUV596	Licensed Representative (Provisional Licence)	4
ZHANG Wenwei	AUX141	Licensed Representative (Provisional Licence)	4, 9
ZHANG Yang	AUS964	Licensed Representative (Provisional Licence)	1, 4, 6
ZHANG Yinghua	APV192	Licensed Representative (Provisional Licence)	4
ZHANG Zhiwei	AUW629	Licensed Representative (Provisional Licence)	1, 4
ZHENG Lucy Xiao-Wei	AUW197	Licensed Representative (Provisional Licence)	1, 4
ZHOU Hao	AUV521	Licensed Representative (Provisional Licence)	4
ZHOU Lei	AUV419	Licensed Representative (Provisional Licence)	6
ZHU Ge	AUZ021	Licensed Representative (Provisional Licence)	2
ABDUL AZIZ Annuar Bin	AUX121	Licensed Representative (Temporary Licence)	4
ABRAMS Randy I	AUW910	Licensed Representative (Temporary Licence)	4
ADEL EL-GAZZAR Mohamed	AUX430	Licensed Representative (Temporary Licence)	1
AGARWAL Anand	ANX687	Licensed Representative (Temporary Licence)	4
ANTONELLI Christopher George	AQJ320	Licensed Representative (Temporary Licence)	1
BAYVEL Kirk Forrest	ATH621	Licensed Representative (Temporary Licence)	1, 2
BECK III Andrew Ellingson	ASD117	Licensed Representative (Temporary Licence)	1
BECK John William	AUM482	Licensed Representative (Temporary Licence)	1
BOULAY Nicolas Philippe	AQI395	Licensed Representative (Temporary Licence)	1
BOUVARD Caroline Marie Eugenie Renee	AUX261	Licensed Representative (Temporary Licence)	1
BRODY Richard Scott	AOU232	Licensed Representative (Temporary Licence)	4
BUCKWORTH Piers Edward Grainger	AUT718	Licensed Representative (Temporary Licence)	4
CARON James Arthur	ASU362	Licensed Representative (Temporary Licence)	1, 2
CASHYN Igor Vyacheslavovich	AUW684	Licensed Representative (Temporary Licence)	1, 2
CASTELLAN Steven	ARV908	Licensed Representative (Temporary Licence)	1
CHANG Hsing-Yi	AMR697	Licensed Representative (Temporary Licence)	4
CHELLAPPA Govindarajan	AUX265	Licensed Representative (Temporary Licence)	4
CHEN Bo-ling	AUW906	Licensed Representative (Temporary Licence)	4
CHENG Sheng-Jung	ANF064	Licensed Representative (Temporary Licence)	4
CHENG Te-jung	AUW908	Licensed Representative (Temporary Licence)	4
CHUA Su Tye	AUW974	Licensed Representative (Temporary Licence)	4
CORNELL James Campbell	ART873	Licensed Representative (Temporary Licence)	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
COX Ashley James	AQS487	Licensed Representative (Temporary Licence)	1
DELMENICO Susan Jane	AQC327	Licensed Representative (Temporary Licence)	1
DUNN Mark John	AUX098	Licensed Representative (Temporary Licence)	1, 4
EDELMAN Marilyn Miki	ARN992	Licensed Representative (Temporary Licence)	1
GAY Mary Christine	AOR816	Licensed Representative (Temporary Licence)	4
GOH Eng Siang	AUX124	Licensed Representative (Temporary Licence)	4
GREENE JR William Jeffrey	AUX423	Licensed Representative (Temporary Licence)	1
HAGGER Stephen John Watson	AUX120	Licensed Representative (Temporary Licence)	4
HAMZAH Amir Bin	AUX125	Licensed Representative (Temporary Licence)	4
HASHIZUME Masayuki	AUW020	Licensed Representative (Temporary Licence)	1
HEASMAN Nicholas James	ART784	Licensed Representative (Temporary Licence)	1
HELPER Paul Douglas	ARF416	Licensed Representative (Temporary Licence)	1
HERMIE Kris A.	AUV976	Licensed Representative (Temporary Licence)	1
HERRMANN Conrad Beadle	AUU991	Licensed Representative (Temporary Licence)	1
HSU Chung-wei	AUW907	Licensed Representative (Temporary Licence)	4
HUANG Shih-Han	AUS132	Licensed Representative (Temporary Licence)	4
HUBER Donald Graham	AUU997	Licensed Representative (Temporary Licence)	1
IANNONE Angelo Gerald	AQE834	Licensed Representative (Temporary Licence)	1, 2
JAIN Sanjay	AUW893	Licensed Representative (Temporary Licence)	4
JOHNSON Matthew James	AUV898	Licensed Representative (Temporary Licence)	1
KIM Hocheol	AUX129	Licensed Representative (Temporary Licence)	4
KIM Luang	AUP380	Licensed Representative (Temporary Licence)	2
KIM Seung Hyun	AUX127	Licensed Representative (Temporary Licence)	4
KIM Simon Dae-Oun	AUV167	Licensed Representative (Temporary Licence)	1, 2, 4
KLIJNSTRA Willem Marcel	AUV360	Licensed Representative (Temporary Licence)	4
KOBAYASHI Masayoshi	AUW207	Licensed Representative (Temporary Licence)	4
KONTANI Masaru	AUW611	Licensed Representative (Temporary Licence)	1
KRAUS Peter S	ASM271	Licensed Representative (Temporary Licence)	4
KUMAR Ashish M	AUX429	Licensed Representative (Temporary Licence)	1
LACEY Mark Anthony	ARP109	Licensed Representative (Temporary Licence)	4
LAVI Avraham	AQC511	Licensed Representative (Temporary Licence)	4
LEE LI Elizabeth Shu	AUV482	Licensed Representative (Temporary Licence)	1
LOKE Foong Wai	AUX122	Licensed Representative (Temporary Licence)	4
LUKE James Robert	AUW501	Licensed Representative (Temporary Licence)	4
MALHOTRA Sandeep	AUX271	Licensed Representative (Temporary Licence)	4, 5
MARTIN Jarrod William	AUX267	Licensed Representative (Temporary Licence)	4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
MARUYAMA Shun	AUV642	Licensed Representative (Temporary Licence)	4
MASUNO Daisaku	APD236	Licensed Representative (Temporary Licence)	4
MATSUMOTO Shigeki	AUV159	Licensed Representative (Temporary Licence)	4
MCCULLAGH Sandra Kathleen	AUX274	Licensed Representative (Temporary Licence)	4
MCGUIGAN Paul Martin	AUD697	Licensed Representative (Temporary Licence)	1
MCKENZIE John Patrick	ACO890	Licensed Representative (Temporary Licence)	1
MEHTA Nilang Jitendra	AUW826	Licensed Representative (Temporary Licence)	1
MEURICE Valerie Annick	AUX105	Licensed Representative (Temporary Licence)	4
MIKAMI Jiro	AQS872	Licensed Representative (Temporary Licence)	1
MILLER Christopher Patrick Leahey	AUF117	Licensed Representative (Temporary Licence)	1
MILLER III William Herbert	APS295	Licensed Representative (Temporary Licence)	4
MISHRA Neelkanth	ALW780	Licensed Representative (Temporary Licence)	4
MOOKIM Sanjay Kumar	AUW976	Licensed Representative (Temporary Licence)	4
MOON John Joohahn	ATH181	Licensed Representative (Temporary Licence)	1
MULLEN Annette Francis	AUW142	Licensed Representative (Temporary Licence)	4
MUNRO Joanna Mary	AUW071	Licensed Representative (Temporary Licence)	1
NESBIT Alan Michael	ANG454	Licensed Representative (Temporary Licence)	4
NISHI Tetsuhiro	AUV963	Licensed Representative (Temporary Licence)	1, 2
NIWA Koichi	AUW702	Licensed Representative (Temporary Licence)	4
OKAZAKI Yu	AUW883	Licensed Representative (Temporary Licence)	4
OKUBO Hiroshi	ATI154	Licensed Representative (Temporary Licence)	4
OLIVIER Jean-Philippe	AUX106	Licensed Representative (Temporary Licence)	1, 4
OTSUKA Wataru	AUS196	Licensed Representative (Temporary Licence)	4
PATTISAHUSIWA Nurdiaz Alvin	ATS149	Licensed Representative (Temporary Licence)	4
QUEK Chin Kuan	AMG954	Licensed Representative (Temporary Licence)	4
REDDY Yerravalli Sashipal	AUV613	Licensed Representative (Temporary Licence)	4
ROBINSON Charles Paul	AFU955	Licensed Representative (Temporary Licence)	1
RUSLI Felix Stephen	AUW898	Licensed Representative (Temporary Licence)	4
RUSTUM John Patrick	ARZ121	Licensed Representative (Temporary Licence)	1
SAITO Katsushi	ATW220	Licensed Representative (Temporary Licence)	4
SANDERSE Menno Gerard Cornelis	AUX424	Licensed Representative (Temporary Licence)	1
SAWATO Masami	AUV747	Licensed Representative (Temporary Licence)	4
SHAH Amish Chandrakant	AUW978	Licensed Representative (Temporary Licence)	4
SHAW Russell James	AUV852	Licensed Representative (Temporary Licence)	4
SINGH Bhuvnesh	AUX279	Licensed Representative (Temporary Licence)	4
SINN Min Seok	APA056	Licensed Representative (Temporary Licence)	4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 03/2010

CE Name	CE No.	Licence Type	Types of Regulated Activity
SIVASUBRAMANIAM Sivasakthi D/O	AUW890	Licensed Representative (Temporary Licence)	4
SKURR Paul Thomas	AQS669	Licensed Representative (Temporary Licence)	1
SODA Yuzo	AUW239	Licensed Representative (Temporary Licence)	1
SOLCA Luca Giuseppe	AUT772	Licensed Representative (Temporary Licence)	4
SONG Ming Huay	AUW973	Licensed Representative (Temporary Licence)	4
STEYN David Andrew	AUX029	Licensed Representative (Temporary Licence)	4
STOFFELS D'HAUTEFORT Helie, Armand, Emmanuel, Francois	ATW119	Licensed Representative (Temporary Licence)	1, 4
STONE Maximilian Dana	AEJ358	Licensed Representative (Temporary Licence)	1
SUGIBAYASHI Sakura	ATR849	Licensed Representative (Temporary Licence)	1
SUNG Jong Wook	AUX130	Licensed Representative (Temporary Licence)	4
SWAMINATHAN Anand	AUW975	Licensed Representative (Temporary Licence)	4
TAN Soon Huat	AUX123	Licensed Representative (Temporary Licence)	4
TEEPLE Louise	AUV927	Licensed Representative (Temporary Licence)	1
THOMPSON Alistair James	AUV608	Licensed Representative (Temporary Licence)	4
TODD Jason Edmund	ATO944	Licensed Representative (Temporary Licence)	1
TOTH Gina Marie	ARV876	Licensed Representative (Temporary Licence)	4
TOTH Gina Marie	ARV876	Licensed Representative (Temporary Licence)	4
TRUDEL Michael Robert	AUW492	Licensed Representative (Temporary Licence)	4
VAN VEEN Arjan Francis	AUX492	Licensed Representative (Temporary Licence)	4
VAN WIJK Tycho	AUS491	Licensed Representative (Temporary Licence)	1
VANPARIJS Frederic H. L.	AUV975	Licensed Representative (Temporary Licence)	1
VOON Yee Woan	AUX115	Licensed Representative (Temporary Licence)	4
WALLACH Gabriel	AUW415	Licensed Representative (Temporary Licence)	4
WENZEL Michael Bruce	APU308	Licensed Representative (Temporary Licence)	1
WEST Daniel Craig	AUE988	Licensed Representative (Temporary Licence)	1
WILLIAMS Toby Lee	AEO751	Licensed Representative (Temporary Licence)	4
WINOKER Steven Eric	AUT771	Licensed Representative (Temporary Licence)	4
WIRZ Pascal Francois Marie	AUV421	Licensed Representative (Temporary Licence)	1
WONG Hui Yun	AUZ064	Licensed Representative (Temporary Licence)	1, 6
WRIGHT Thomas Rowe	AUA323	Licensed Representative (Temporary Licence)	4
YAMAZAKI Yuko	AUW612	Licensed Representative (Temporary Licence)	1
YEE Samuel Andrew	AUW196	Licensed Representative (Temporary Licence)	4
YUEN David Tak-Sing	AUT632	Licensed Representative (Temporary Licence)	1
YUN Seok	AUX144	Licensed Representative (Temporary Licence)	4
ABN AMRO Bank N.V.	AUR972	Registered Institution	1, 4, 9