

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2011

CE Name	CE No.	License Type	Types of Regulated Activity
Argonaut Securities (Asia) Limited	AXO052	Licensed Corporation	1, 4, 6
China Galaxy International Securities (Hong Kong) Co., Limited	AXM459	Licensed Corporation	1
Direct Access International Futures Limited	AXH777	Licensed Corporation	2
FGI Capital Partners Hong Kong Limited	AXP795	Licensed Corporation	9
GF International Investment Management Limited	AXL121	Licensed Corporation	4, 9
Kretz and Partners Asia Limited	AXI538	Licensed Corporation	1, 4, 9
Prime Courage Securities Company Limited	AWO436	Licensed Corporation	1
Sanford C. Bernstein (Hong Kong) Limited	AXC846	Licensed Corporation	1, 4
Select Investment Services Limited	AXU865	Licensed Corporation	1, 4
Sumeru Capital Management Limited	AXR359	Licensed Corporation	4, 9
Sylebra HK Company Limited	AXN195	Licensed Corporation	9
Visdom Investment Management (Hong Kong) Limited	AXS169	Licensed Corporation	9
ANWAR Jessica Felicia	AXQ549	Licensed Representative	4
ARACKAL Deepak Markose	AXX257	Licensed Representative	1, 4, 9
ARGAL Ajay	AXV576	Licensed Representative	1, 4, 5, 9
ARNOLDSSON Carl Oskar Markus	AXV033	Licensed Representative	1, 6
AU Chi Yuen	AFT225	Licensed Representative	1, 2, 3
AU Ming Tsun	AXY382	Licensed Representative	1
AU Yan Kei, Amy	AXV664	Licensed Representative	1, 4
BAEK Kwonwoo	AXX434	Licensed Representative	1
BAO Chenlan	AXW636	Licensed Representative	1
BARATTE Nicolas Guy Gabriel	AWN751	Licensed Representative	4
BATHIJA Sushil Suresh	AXY501	Licensed Representative	1, 6
BAVISHI Ronil Rajnikant	AXZ444	Licensed Representative	1, 2
BHANDARI Gautam	AXT657	Licensed Representative	1, 9
BHARWANI Puja Ramesh	AXS260	Licensed Representative	1
BHAUMIK Ananda Prasad	AXV897	Licensed Representative	1, 4
BIAN Guangchen	AXZ102	Licensed Representative	1, 6
BIRD Nicholas James	AXT520	Licensed Representative	1, 4, 9
BRUCK Cyprian Joannes	AVD405	Licensed Representative	1, 2
BURGESS Elizabeth Frances	AXX640	Licensed Representative	1, 2
BUT Yuet Yee	AXT589	Licensed Representative	1, 4
BUTLER Iain Allan	AVP706	Licensed Representative	1, 2
BYRNE Anthony John	AXT652	Licensed Representative	1, 2, 4, 5
CAI Xiaoye	AXT532	Licensed Representative	4, 9
CAI Yulong	AXT416	Licensed Representative	1, 4, 6
CAMPBELL Alastair Kenneth Ruskin	AXT078	Licensed Representative	6
CAMPLISSON Eliot	AUN842	Licensed Representative	1
CAO Patrick Minh	AXV968	Licensed Representative	6
CAO Xiangwei	AXV946	Licensed Representative	1, 4, 6
CARLSSON Victor	AXX265	Licensed Representative	1
CARNE-ROSS Nicholas Stuart	AXV660	Licensed Representative	1
CHAINANI Prerna Kumar	AXV890	Licensed Representative	9
CHAM Ho Yin	AXX542	Licensed Representative	1, 2
CHAN Arnold Quinlan	AXV668	Licensed Representative	1, 6
CHAN Bing Leung	ATP145	Licensed Representative	4, 9
CHAN Cheuk Kei	AXV178	Licensed Representative	1, 2
CHAN Chi To	AXW839	Licensed Representative	1
CHAN Chui Ying	AXV939	Licensed Representative	1
CHAN Chun To	ATP135	Licensed Representative	1, 2
CHAN Hin Fai	AXV429	Licensed Representative	3
CHAN Ho Hin, Matthew	AXV439	Licensed Representative	1, 4, 9
CHAN Hoi	AXW313	Licensed Representative	1, 4, 9
CHAN Hoi Ling	ALR712	Licensed Representative	1, 2
CHAN Hoi Man	ASD928	Licensed Representative	1
CHAN Hong Yau	AJC827	Licensed Representative	1
CHAN Ka Ki	AXS719	Licensed Representative	1
CHAN Kin Bong	ATB739	Licensed Representative	1
CHAN Kin Ting, Alan	AXZ103	Licensed Representative	1, 6
CHAN Ming Lok	AXY652	Licensed Representative	1
CHAN Pak Hung	AXX144	Licensed Representative	6
CHAN Pui Kuen	AXR733	Licensed Representative	1, 4, 6
CHAN Pui Yan Christine	AXX601	Licensed Representative	1, 4, 6
CHAN Shing Fai	AXX084	Licensed Representative	1, 6
CHAN Stephen	AXU873	Licensed Representative	1, 2, 3
CHAN Sui Cheong	AXY705	Licensed Representative	1, 4
CHAN Tak Ming	AXS061	Licensed Representative	1
CHAN Tsz Man	ANM594	Licensed Representative	4
CHAN Wa Sheung	AXU871	Licensed Representative	1
CHAN Wei Yee, Vanus	AXT491	Licensed Representative	1
CHAN Wing Chee, Gigi	ARA111	Licensed Representative	1, 4
CHAN Wing Yiu	AXW231	Licensed Representative	1, 4
CHAN Yat Ngai	AXX698	Licensed Representative	1, 4
CHAN Yu Hang, Hugo	AQF110	Licensed Representative	1
CHANG Yu Ping	AXS856	Licensed Representative	1, 2
CHARAN Manohar Singh	AXX974	Licensed Representative	1, 6
CHAURASIA Sanjeev	AXW936	Licensed Representative	1, 4, 6
CHEE Swee Wei	AXS218	Licensed Representative	4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2011

CE Name	CE No.	License Type	Types of Regulated Activity
CHEN Bo	AXX169	Licensed Representative	1, 4, 9
CHEN Cong	AXR560	Licensed Representative	1, 4, 6
CHEN Qing	AXV729	Licensed Representative	1, 4, 9
CHEN Si	AXU972	Licensed Representative	1
CHEN Si	AXX171	Licensed Representative	1
CHEN Tianran	AXU898	Licensed Representative	4
CHEN Tzy-Yang	AXT022	Licensed Representative	1, 6
CHEN Xin	AXS722	Licensed Representative	4
CHEN Yijing	AXS848	Licensed Representative	1
CHEN Yu Sheng	AXT250	Licensed Representative	1
CHEN Ziyi	AXV428	Licensed Representative	4
CHENG Chi Leung	AGN133	Licensed Representative	1, 2
CHENG Ki Sum	AXU779	Licensed Representative	1, 9
CHENG Man Wai	AER418	Licensed Representative	1, 2
CHENG Manjiang	AXX248	Licensed Representative	4
CHENG Tau Cheung	AFC185	Licensed Representative	4
CHENG Yi Sin, Eva	AXU942	Licensed Representative	4
CHENG Yu Hei	AXX165	Licensed Representative	1, 4, 9
CHEUNG Ho Yuen, Douglas	AXV666	Licensed Representative	1, 6
CHEUNG Jacky Yan Chuen	AXY019	Licensed Representative	1, 6
CHEUNG Kam Fun, Anita	AXU876	Licensed Representative	1
CHEUNG Kwai Ying	AXV862	Licensed Representative	1
CHEUNG Man Kit	AYC069	Licensed Representative	6
CHEUNG Man Kong	AXR039	Licensed Representative	1, 2
CHEUNG Sun Sing	AXX956	Licensed Representative	1
CHEUNG Yeung	AXT527	Licensed Representative	1, 4, 9
CHEUNG Yin Man, Monica	AVN236	Licensed Representative	1, 4, 6
CHEUNG Yu Lik	AXY502	Licensed Representative	1, 2
CHIANG Venant	AIB743	Licensed Representative	4
CHIN Wei	APL909	Licensed Representative	1, 4
CHIU Bong Chi, Dominic	AXX715	Licensed Representative	1
CHIU Man Yin	AXX716	Licensed Representative	1
CHIU Tiffany Yu-man	AXW922	Licensed Representative	1, 2, 7
CHIU Tun Steven	AXV669	Licensed Representative	1, 6
CHO Tin Tak	AXX258	Licensed Representative	1, 6
CHOI Chung Yin	AXV854	Licensed Representative	6
CHOI Yuen Ching	AXP880	Licensed Representative	1
CHONG Yuen Na, Patty	AXW838	Licensed Representative	1
CHORARIA Siddharth	ANG327	Licensed Representative	1, 6
CHOW Chi Chak	AXT535	Licensed Representative	1
CHOW Chun Kit	AXW953	Licensed Representative	1
CHOW Ho Wan, Owen	AHR965	Licensed Representative	1
CHOW Ka Yeung	AXX690	Licensed Representative	1
CHOW Man Ho	AXZ065	Licensed Representative	1
CHOW Shuk Wan	AYD333	Licensed Representative	1
CHOW Wing Ki, Gary	AXW271	Licensed Representative	1
CHOW Wing Nga Alison	AXR663	Licensed Representative	1
CHOW Yuen Han	AXV984	Licensed Representative	4
CHOY Wing Yin, Amanda	AXZ567	Licensed Representative	1
CHU Chi Lan, Cherrent	AXZ067	Licensed Representative	1
CHUNG Ming Lei, Christy	AXT650	Licensed Representative	1
CHUNG Wing Ho	AXV634	Licensed Representative	6
CHUNG Yuen Ling	AXW587	Licensed Representative	1, 4, 9
CLARK Alastair Stanley	ASE563	Licensed Representative	1, 4, 9
CRANE Joel Brewster	AXR958	Licensed Representative	1
DALTON Anthony Francis	AXW314	Licensed Representative	1
DE LAS CASAS VASQUEZ Guillermo Luis	AXV585	Licensed Representative	4, 5, 9
DEISS Christian Philipp	AXV367	Licensed Representative	1, 4, 6
DENG Bo Hong	AXV644	Licensed Representative	1, 2
DESAI Meghna Kiran	AXY952	Licensed Representative	1
DOH Seung Han	AVJ096	Licensed Representative	1, 2
DONG Chang	AXN155	Licensed Representative	1
DONG Linda	AXV670	Licensed Representative	1, 6
DREWE Ian Gregory	AXV440	Licensed Representative	1, 2, 7
ERRERA Lionel Bruno Louis	AXR087	Licensed Representative	1
FAN Carol	AXU891	Licensed Representative	4, 9
FAN Shaokai	AJO307	Licensed Representative	1, 2, 4
FAN Xiaolin	AXR282	Licensed Representative	1
FARRELL Rachel Selah	AXS836	Licensed Representative	1, 4
FAVEUR Samuel Christian	AIT497	Licensed Representative	1, 2
FENG Jinyi	AXZ592	Licensed Representative	1, 2
FENG Mark Lu	AXV271	Licensed Representative	1, 6
FENG Zhe	AXK800	Licensed Representative	1, 4
FOK Jing Meng Shan Jun	AXV671	Licensed Representative	1, 6
FU Wei	AYC292	Licensed Representative	4
FUH Yuan Jun	AXX160	Licensed Representative	1
FUNG Hoi Lam	AXY496	Licensed Representative	1, 4
FUNG Ka Kit, Michael	AXT425	Licensed Representative	1, 2

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2011

CE Name	CE No.	License Type	Types of Regulated Activity
FUNG Yi	AXU916	Licensed Representative	1, 2
GADDAMANUGU Anirudh	AXR649	Licensed Representative	1
GALVIN Simon Stephen	AXY950	Licensed Representative	1
GAN Jiaxiang	AXT206	Licensed Representative	1
GANAPATHY Jayakumar	ANI876	Licensed Representative	1
GAO Chuanju	AXV654	Licensed Representative	6
GAO Jingxia	AXP596	Licensed Representative	6
GAO Yuan	AXZ101	Licensed Representative	1, 6
GHOSE Arjun	AXV802	Licensed Representative	4
GMUR Adrian	AXX218	Licensed Representative	9
GONG Jingjie	AXX979	Licensed Representative	1, 4
GUO Yifan	AXV591	Licensed Representative	6
GUPTA Pratik	AEM184	Licensed Representative	1
GUPTA Tanvee	AXW594	Licensed Representative	4
HAI Yuan	AXV578	Licensed Representative	1, 4, 9
HAN Hui	AXQ372	Licensed Representative	1, 4, 6
HARIRAMANI Charul	AXY078	Licensed Representative	1, 6
HARRELL Jonte Kenyon	AXV383	Licensed Representative	1, 2, 7
HE Fei	AXS174	Licensed Representative	1, 4, 6
HE Melody Xian	AXU973	Licensed Representative	1
HE Vicky Zhancong	ASD838	Licensed Representative	1
HE Yufeng	APO996	Licensed Representative	4, 9
HO Chi Fung	AXY508	Licensed Representative	1, 2
HO Chi Yan	AFR169	Licensed Representative	1, 2
HO Hock Guan Samuel	AXU902	Licensed Representative	2
HO Pui Chung, Angus	AXW886	Licensed Representative	1, 4, 9
HO Shing Wai	APP374	Licensed Representative	1, 4
HO Si Hang	AXX233	Licensed Representative	1, 4, 9
HO Wai Yan Joanne	AXV385	Licensed Representative	1, 6
HO Yuan-Hsiang	AXW317	Licensed Representative	1, 2
HODGKINS Joseph Liam	ANY473	Licensed Representative	1, 4
HON Yam Ip	AOQ555	Licensed Representative	1
HONG Fei	AXW474	Licensed Representative	4
HONG Ming Him, Matthew	AXZ098	Licensed Representative	1, 6
HOU Ming-Hsiao	AXW841	Licensed Representative	4
HSIAO Li-pei	AXV667	Licensed Representative	1
HSIEH Ming Ting	AXS498	Licensed Representative	1, 2
HSU Chiao Chih	AXW468	Licensed Representative	4
HSU Te-Jen	AXX433	Licensed Representative	4
HU Jiaming	AXV980	Licensed Representative	1
HU Rong	AXW316	Licensed Representative	4
HU Shuang	AXW469	Licensed Representative	4
HU Xiao	AXQ422	Licensed Representative	1, 4, 6
HU Xing Hao	AXW274	Licensed Representative	4, 9
HU Yicong	AXF646	Licensed Representative	4, 9
HUA Qianli	AXU975	Licensed Representative	1
HUANG Chanjuan	AXY858	Licensed Representative	1
HUANG Cheng-Yung	AXT430	Licensed Representative	1
HUANG Haidong	AXV603	Licensed Representative	1, 6
HUANG Jinzi	AXZ093	Licensed Representative	1, 6
HUANG Lei	AXM313	Licensed Representative	4
HUANG Qi	AXW973	Licensed Representative	4
HUANG Tao, Tom	AXZ083	Licensed Representative	1, 6
HUANG Xiaoxia	AYC385	Licensed Representative	1
HUANG Yao	AXX667	Licensed Representative	4, 9
HUANG Ye	AXW924	Licensed Representative	6
HUGHES Anthony Michael	ARG524	Licensed Representative	1
HUI Cheuk Ho	AXX145	Licensed Representative	6
HUI Hung	AXV885	Licensed Representative	1, 2
HUI Kwok Sai	AXS322	Licensed Representative	1, 2
HUNG Ngai Man	AYA430	Licensed Representative	1, 4
HUNG Robert	AXY256	Licensed Representative	1, 4
HWANG Jing Xiong	AXW300	Licensed Representative	1
ICHIH Hideharu	AXT428	Licensed Representative	4, 9
IP Jeanette Jocelyn	AXV030	Licensed Representative	1, 2, 7
IVIC Zeljko	ADC331	Licensed Representative	1
JACKSON Katie Mary	ALA502	Licensed Representative	1
JAFREE Raza Ali	ARI951	Licensed Representative	1, 2, 7
JHUN Jong Un	AXY504	Licensed Representative	1, 9
Ji Pingzi	AXV098	Licensed Representative	4, 9
JIA Liqing	AGN755	Licensed Representative	1, 4, 6
JIAN Xu	AXW641	Licensed Representative	1, 2
JIANG Aijun	AXV882	Licensed Representative	6
JIANG Zongxin	AXQ376	Licensed Representative	1, 6
JOHNSON Nicholas A	AXW915	Licensed Representative	1, 6
JONG Chung Yin	AXT423	Licensed Representative	1, 2, 3
KAM Sheeta	AXX717	Licensed Representative	1, 2
KAN Mingjian	AXV553	Licensed Representative	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2011

CE Name	CE No.	License Type	Types of Regulated Activity
KARN Chun Lung	AXW657	Licensed Representative	1
KATO Kenji	AXX422	Licensed Representative	1, 6
KAUTZKY Christina Marie	AXT655	Licensed Representative	1
KENJI Yamauchi	AXV543	Licensed Representative	1, 2
KIM Chung Wan	AGE497	Licensed Representative	1, 4
KIM Soo Kyung	AXV648	Licensed Representative	1, 2
KNUIMAN Roderick	AXL552	Licensed Representative	1, 2
KO Siu Lun	AFS292	Licensed Representative	1
KOAY Siu Choon	AXX210	Licensed Representative	1, 4
KONG Leuk Sum Rayson	AXX143	Licensed Representative	1
KONG Wei	AXU890	Licensed Representative	1, 2
KONG Zhou	AXY969	Licensed Representative	1, 6
KOT Richard	AUB975	Licensed Representative	1, 4, 6
KU Wing Yee Cecilia	AXZ767	Licensed Representative	9
KUNG Kevin Holting	AXV035	Licensed Representative	1
KUNG Wing Kan, Kennis	AXW604	Licensed Representative	1
KUO Yi-Lan	AXX718	Licensed Representative	1
KURATA Nobutaka	AXU629	Licensed Representative	1, 6
KWOK Huay Yi	AXU675	Licensed Representative	1, 6
KWON Hyuk-Jung	AXX720	Licensed Representative	1, 4
KWONG Wai Ko	AXV592	Licensed Representative	1
LAI Kathryn	AXV672	Licensed Representative	1, 6
LAI Lok Kin	AXU909	Licensed Representative	1, 2
LAI Ying Keung	AJE470	Licensed Representative	1
LAM Chun Ting Leon	AXU897	Licensed Representative	1, 4, 6
LAM Derek Matthew	AXV404	Licensed Representative	1, 6
LAM Eric Chun Yin	AXV212	Licensed Representative	4, 9
LAM Kang Liang	AXY253	Licensed Representative	1
LAM Ki Wah	AXX253	Licensed Representative	1, 4
LAM Man Ting	AXT103	Licensed Representative	4
LAM Po Ching	AKP804	Licensed Representative	1, 4, 9
LAM Sze Man	AXT415	Licensed Representative	1, 2
LAM Ting Pong	AXZ105	Licensed Representative	1
LAM Ya Yui, Sandra	AXU879	Licensed Representative	1, 4, 6
LAM Yick Fai	AXV586	Licensed Representative	4, 5, 9
LAN Yang	AXZ758	Licensed Representative	1, 4, 6
LAU Chak Wong	AXY507	Licensed Representative	1, 2, 4
LAU Cheuk Ching, Rowena	AXX544	Licensed Representative	1
LAU Cheuk Ki	AXZ248	Licensed Representative	1, 2
LAU Ho Yin	AXV971	Licensed Representative	2
LAU Ka Fung Adrian	AXU722	Licensed Representative	2
LAU Ka Yan	AXW835	Licensed Representative	1
LAU Karmen Ka Man	AXV673	Licensed Representative	1, 6
LAU Martin, Kin Yeung	AXX232	Licensed Representative	1, 6
LAU Ning Fung, Roland	ASZ252	Licensed Representative	4, 9
LAU Tsz Ho, Tony	AXU782	Licensed Representative	1, 9
LAU Wai Leung, Bosco	ARB221	Licensed Representative	1, 2
LAU Wai Ming	AXX769	Licensed Representative	10
LAU Wing Lam	AXY063	Licensed Representative	6
LAU Wing Wa	AXZ499	Licensed Representative	1, 4
LAUNGANI Gautam Sukhdev	ANQ013	Licensed Representative	1, 2
LAURENT-BELLUE Edouard Marie Pierre	AWR814	Licensed Representative	1, 2, 7
LAW Chuk Man	AXS857	Licensed Representative	1, 9
LAW Chung Wai, Gary	AXW635	Licensed Representative	1, 6
LAW Raphael Benjamin Charles	AXS913	Licensed Representative	1
LEE Chien-Tsung	AXT649	Licensed Representative	10
LEE Ching Hung	AXX537	Licensed Representative	3
LEE Ho	ANB438	Licensed Representative	1, 4
LEE Hye Soo	AXV597	Licensed Representative	1, 6
LEE Jung Soo	AXY877	Licensed Representative	1, 4
LEE Ka Man Madeleine	AXU896	Licensed Representative	4
LEE King Hang	AXV267	Licensed Representative	1, 2, 7
LEE Lap Tin	ASF485	Licensed Representative	1
LEE Ting Fai, Andrew	AXY634	Licensed Representative	1
LEE Yi Lin	AXU784	Licensed Representative	1, 9
LEE Young Kyung	AXV414	Licensed Representative	1, 6
LEE Yuk Wa	AXU695	Licensed Representative	1
LEI Wai	AXY861	Licensed Representative	1
LENG Mathieu Davouth	AXU895	Licensed Representative	1, 2
LEONG Sook Mun	AXR968	Licensed Representative	10
LEUNG Chi Keung	ADF407	Licensed Representative	1
LEUNG Chi On	AYA045	Licensed Representative	1
LEUNG Chun Yin, Edwin	AXW272	Licensed Representative	1, 4, 9
LEUNG Felix Tingsun	AXV405	Licensed Representative	1, 6
LEUNG Ho Yin	ATY751	Licensed Representative	2
LEUNG Hoi Ting, Erica	AXU767	Licensed Representative	1, 2
LEUNG Ka Wai	AXX693	Licensed Representative	1, 2
LEUNG Shing Yung	AXV283	Licensed Representative	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2011

CE Name	CE No.	Licence Type	Types of Regulated Activity
LEUNG Siu Lun, Alan	AXY062	Licensed Representative	1, 2
LEUNG Siu Ting	AXT114	Licensed Representative	1, 2, 3
LEUNG Tsz Kin	AXV318	Licensed Representative	4
LEUNG Wan Hung	AXS818	Licensed Representative	1
LEUNG Yin Kiu	AXS414	Licensed Representative	1
LEUNG Yu Yan, Michelle	AQW045	Licensed Representative	1, 2
LEUNG Yuk Yip	AXS815	Licensed Representative	1
LEUNG Yun Keung	AXV860	Licensed Representative	1
LI Chak Ming	AXT757	Licensed Representative	1
LI Chao	AXX604	Licensed Representative	1, 4, 6
LI Ching Cheung	AXX426	Licensed Representative	2
LI Chun Tak	AXS720	Licensed Representative	1
LI Fang	AXV314	Licensed Representative	1
LI Jiafeng	AXZ731	Licensed Representative	1, 4
LI Junqiao	AXX142	Licensed Representative	2
LI Pui Han	AXS832	Licensed Representative	3
LI Pui Yan, Justine	ARI570	Licensed Representative	1
LI Sung Tat	AUN103	Licensed Representative	1
LI Wai Shun	ATT781	Licensed Representative	1, 2
LI Wing Yan, Kathy	AXY631	Licensed Representative	1
LI Xi	AXZ227	Licensed Representative	1, 2, 4, 5
LI Xichen	AXX238	Licensed Representative	1, 6
LI Yin Chung, Jason	AXV651	Licensed Representative	1
LI Zhe	AXS556	Licensed Representative	9
LI Zhi	AXS678	Licensed Representative	1, 2
LIANG Lining	AXV969	Licensed Representative	1, 4, 6
LIANG Ting	AXP789	Licensed Representative	1, 4
LIM Yew Yang, Benjamin	AXZ078	Licensed Representative	1, 6
LIN Hiu Pui, Leo	AXZ873	Licensed Representative	1
LIN Pei-Jung	AXV849	Licensed Representative	1
LIN Regan Nan-hong	AXV016	Licensed Representative	1, 4, 6
LIN Sze Man	AXY616	Licensed Representative	6
LIN Tsung Wei	AXY863	Licensed Representative	4
LIN Yuexin	AHK069	Licensed Representative	1
LING Zhuorong	AXS847	Licensed Representative	3
LIU Charles	AXW723	Licensed Representative	1, 6
LIU Chien-liang	AXS499	Licensed Representative	1, 2
LIU Paulo Denny	AXY257	Licensed Representative	4, 6
LIU Qi	AXK896	Licensed Representative	4, 9
LIU Yifan	AXV269	Licensed Representative	1, 6
LIU Yin	AXR266	Licensed Representative	1
LIU Zhengzheng	AXZ080	Licensed Representative	4
LO Hiu Tan	AYB063	Licensed Representative	1
LO Ho Chung, Brian	AXS854	Licensed Representative	1
LO Man Chi	AQU959	Licensed Representative	1
LO Pui Man, Joyce	AFJ427	Licensed Representative	1, 4
LO Wai Shun	ACD315	Licensed Representative	1
LO Yeuk Kai	AXT603	Licensed Representative	1, 4, 6
LOFTUS-HILLS Patrick Dean	AXS814	Licensed Representative	6
LOI Sze Kim Jackson	AXY797	Licensed Representative	4
LOK Chi Fung	AXT570	Licensed Representative	1
LONG Yanshu	AXZ894	Licensed Representative	1, 6
LU Yang	AXX706	Licensed Representative	4
LUI Andrew Nicholas	AXY031	Licensed Representative	1, 4, 6
MA On Nee, Annie	AFB251	Licensed Representative	1
MA Yin Pong	AMU193	Licensed Representative	1, 2
MACDOUGALL Brian Alexander	AHA824	Licensed Representative	4, 9
MAK Carmen Ka Man	AXS958	Licensed Representative	1, 4
MAK Fu Hang	AXX252	Licensed Representative	9
MAK Hiu Tung	AXY954	Licensed Representative	4, 9
MALONE Timothy Joseph	AXV753	Licensed Representative	1, 4, 6
MAN Anthony Hing Fai	AXT585	Licensed Representative	1, 2
MANN Jason Richard	AXY396	Licensed Representative	4
MARUYAMA Shun	AUV642	Licensed Representative	4
MASUDA Sayaka	AXT412	Licensed Representative	1
MCVIE Robert John	AXV530	Licensed Representative	1
MEENAN Raymond David	AXW269	Licensed Representative	1, 2
MEEPETCHDEE Yongyut	AXV892	Licensed Representative	1
MHATRE Vinata Shailesh	AXU892	Licensed Representative	1, 2
MI Jie	AYC890	Licensed Representative	1
MILLER-BOURKE Shane David	AXM567	Licensed Representative	1, 2
MIYAZAKI Daisuke	AXT730	Licensed Representative	1, 4, 6
MIZUNO Hikaru	AXV981	Licensed Representative	4
MO Chun Wai	AXS068	Licensed Representative	1, 2
MOK Sze Wai	ASS432	Licensed Representative	1, 6
MOK Yan Ting	AEF923	Licensed Representative	4
MOMBRU FARMER Juan Luis	AXY814	Licensed Representative	1, 4, 6
MUI Malcolm Hin-Ling	APB926	Licensed Representative	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2011

CE Name	CE No.	Licence Type	Types of Regulated Activity
MURAOKA Shinichiro	AXT653	Licensed Representative	1
NAGIA Akshay	AXZ228	Licensed Representative	1, 6
NAKAHARA Yasushi	AXR846	Licensed Representative	9
NARAYANAN Sethunarayanan	AXW923	Licensed Representative	1, 6
NG Arthur Yuk Yin	AXV402	Licensed Representative	1, 6
NG Chee Khoon	AXV873	Licensed Representative	1
NG Chi Chung	AXV289	Licensed Representative	4
NG Francis Chi Yin	AXX647	Licensed Representative	1
NG Gerald Chi Fei	AXY635	Licensed Representative	1, 6
NG Hiu Yan	AOQ889	Licensed Representative	1
NG Kai Tung, Carlton	AXS305	Licensed Representative	1, 4, 6
NG Kin Fun	AXW833	Licensed Representative	1
NG Ming Sing, Ivan	AXW832	Licensed Representative	1
NG Rebecca Cheuk Ying	AXT729	Licensed Representative	4, 9
NG Sheung Ying	AFV304	Licensed Representative	1, 4, 9
NG Sik Chiu	AXV108	Licensed Representative	1, 2
NG Sui Lan	ACA996	Licensed Representative	1
NG Wai Man	AXV193	Licensed Representative	1, 4
NG Wing Yuen	AXV743	Licensed Representative	1
NG Yee Shiong	AXS075	Licensed Representative	4
NGAI Chak Sum	AXU766	Licensed Representative	1, 2
NGAI Ching	AXV091	Licensed Representative	9
NGAN Hoi Yu	AXY340	Licensed Representative	1, 4, 9
NGO Ian	AXX652	Licensed Representative	1, 4, 9
NICHOLS Michael Christian	AFB033	Licensed Representative	1
NIIMITSU Jun	AFP812	Licensed Representative	1, 4, 6
NITO Shu	AXU645	Licensed Representative	1, 6
NORTON-KIDD Gregory John	AXV974	Licensed Representative	1
NUMATA Saneyuki	APQ089	Licensed Representative	4
NUSSBAUM Ross Trevor	AXW560	Licensed Representative	4
OH Sunghoon	AXY874	Licensed Representative	1, 4
PAN Yangjiayi	AXX972	Licensed Representative	4, 6
PAN Yuefeng	AXY505	Licensed Representative	1, 9
PANG Hin Sang	AGG768	Licensed Representative	1
PANG Hing Yin Samuel	AXS370	Licensed Representative	1
PANG Hok Leung	AXW943	Licensed Representative	1, 2
PANG Lei Kan	AXP154	Licensed Representative	1
PANG Yan Ni	APU513	Licensed Representative	1
PARK Sung Min	AXW971	Licensed Representative	1, 6
PENG Ke	AXP563	Licensed Representative	6
PETERSEN Kay Van Muturi	AXX247	Licensed Representative	1, 4, 9
PI Shirley	AMI872	Licensed Representative	1, 2
PING Chi Kung	AXZ416	Licensed Representative	1, 6
POON Mei Po	AXX541	Licensed Representative	1, 4
PRADHAN Tanvi Shantanu	AXV417	Licensed Representative	1, 2
PUN Kin Yi	AXX266	Licensed Representative	1, 2, 4
PUN Yu San	AXT651	Licensed Representative	1, 2
QI Shengqian	AXX483	Licensed Representative	4
QIN Zhi	AXV545	Licensed Representative	4
QUAIFE Matthew Samuel Heighes	AXX236	Licensed Representative	4, 9
QUEK Shuwei	AXO490	Licensed Representative	4
RAMAMURTHY Kartik	AXW920	Licensed Representative	1, 6
RATTANARUENGYOT Thongchai	AQQ816	Licensed Representative	9
RAVISANKAR Harishankar	AXZ638	Licensed Representative	9
RAWKINS Nicholas Hajime	AXT426	Licensed Representative	1, 2
READ Ben Edward	AXX095	Licensed Representative	1, 2
REDDY Vinay Tamma	AXV419	Licensed Representative	1, 6
REHAK Nicholas Laszlo	AXV967	Licensed Representative	1
RHEE Hae Young	ALB698	Licensed Representative	1
RITEAU Alexandre Pierre	AXY666	Licensed Representative	1, 4, 9
ROONEY Damian Blaise Hall	AXO056	Licensed Representative	1
ROSE Annica Elizabeth	AXV394	Licensed Representative	1, 6
SALMAN Makarim Adel	ATD287	Licensed Representative	4
SALSANO Johann Nicolo	AXX615	Licensed Representative	1, 4, 6
SANADHYA Sudhanshu	AXU881	Licensed Representative	1, 4
SARAF Gaurav	AXW917	Licensed Representative	1, 6
SARWAL Neal James Shyam	AXV308	Licensed Representative	4, 5
SAXENA Nimisha	AXU844	Licensed Representative	1, 2
SCRASE Neil John	AME544	Licensed Representative	4, 6, 9
SEE Ming You	AXW912	Licensed Representative	1, 6
SETHIA Abhijay	AXK682	Licensed Representative	1, 2, 4, 5
SHAH Kush Umeshchandra	AXL409	Licensed Representative	1, 2
SHAM Chi Ho	AXY804	Licensed Representative	1
SHAO Cheng	AXX200	Licensed Representative	1
SHAU Koon Chung	AXV639	Licensed Representative	6
SHI Fan	APV976	Licensed Representative	9
SHI Fang	AXP385	Licensed Representative	6
SHIBANO Kasumi	AHR324	Licensed Representative	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2011

CE Name	CE No.	Licence Type	Types of Regulated Activity
SHIMIZU Hiroko	AXW887	Licensed Representative	1
SHOU Guo He	AXW578	Licensed Representative	4
SHUM Kwun Chi	ANY036	Licensed Representative	1, 4, 9
SIM Kevin Ken Ju	AXT422	Licensed Representative	6
SIN Lap Chee, Kennis	AXX766	Licensed Representative	9
SINGH Suresh Kumar	AXY243	Licensed Representative	1, 4
SIT Kiu Yip	AXY477	Licensed Representative	4, 9
SNYDER Nathan Westley	AXV966	Licensed Representative	1
SO Chung	AXV979	Licensed Representative	6
SO Ferdinand	AFO880	Licensed Representative	4, 9
SO Wai	AXT252	Licensed Representative	1
SOHN Myungwoo	AWH514	Licensed Representative	4
SOON Yung Kuen	AXU894	Licensed Representative	1, 7
SOULEYMAN Jan	ANM874	Licensed Representative	1
SU Jialin	AXT096	Licensed Representative	1, 4
SU Kai Hung	AXT095	Licensed Representative	1, 2
SUEN Elliott Hancock	AXY506	Licensed Representative	1, 6
SUN Kaiwei	AXY826	Licensed Representative	1, 2, 9
SUN Miao	AXW475	Licensed Representative	1
SUN Xijuan	AXT427	Licensed Representative	4, 9
SUN Yuhong	AXW919	Licensed Representative	1, 6
SUNDRAM Rohan Jason	AXW579	Licensed Representative	4
SUNG Joseph Chieh	AXY856	Licensed Representative	1, 6
SURATKAL Kishore Sheena	AFE831	Licensed Representative	4
TAHENY Kenneth John	AXS067	Licensed Representative	1, 2, 4, 5
TAI Gloria	AXZ732	Licensed Representative	1, 6
TAI Wai Hon	AXV220	Licensed Representative	1
TAM Marco	AXV875	Licensed Representative	9
TAM Vernon Craig Goodheart	AXY866	Licensed Representative	6
TAN Ee-Lin	AXZ837	Licensed Representative	1, 4, 6
TAN Zheng	AXT207	Licensed Representative	1
TANG Mei Ha	ACZ111	Licensed Representative	6
TANG Shuk Yin Rosanna	AXS861	Licensed Representative	4
TAWDE Manish Sumant	AXU954	Licensed Representative	1, 2
TEASDALE Dean Malcolm	AWP777	Licensed Representative	1, 2
THONG Hiu Chong	AXZ257	Licensed Representative	1, 4
TIAN Runjuan	AXY255	Licensed Representative	9
TIAN Yuandong	AXK570	Licensed Representative	2
TOBA Toshihiko	AXK330	Licensed Representative	1, 4, 6
TOGAO Yuji	AXU941	Licensed Representative	1, 4
TOH Shu Fen	AXU976	Licensed Representative	1
TOLEDANO Roy	AXY961	Licensed Representative	1, 4, 6
TONG Sik Chin	AXW167	Licensed Representative	4
TONG Siu Fung	AXX719	Licensed Representative	1, 4
TONG Siu Ling	AXT272	Licensed Representative	1
TONG Tsun Yat	ATW485	Licensed Representative	1, 2, 3
TSAI Chi Hsuan	AXV395	Licensed Representative	1, 6
TSAI Yue-Long	AXQ879	Licensed Representative	1, 4
TSANG Chi Cheung, Gordon	AXT522	Licensed Representative	1
TSANG Chin Hang, Felix	AXW168	Licensed Representative	1
TSANG Chun Kit	AXV589	Licensed Representative	1
TSANG Fu Hang	AXQ842	Licensed Representative	1, 4
TSANG Ho Wing	AXY633	Licensed Representative	1, 2
TSANG Ka Wai	AXW831	Licensed Representative	1
TSANG Man Maan	AXT592	Licensed Representative	1, 2
TSANG Po Wan	AXY064	Licensed Representative	6
TSANG Tak Sang	ARG935	Licensed Representative	9
TSANG Tsz Lung	AXS679	Licensed Representative	1
TSENG Warren	AXY018	Licensed Representative	1, 2, 7
TUAN Chi Lian	AXV665	Licensed Representative	1, 4
UM Maynard J	AXW559	Licensed Representative	4
VALLE CORRER Giorgio	AXW942	Licensed Representative	1, 4, 6
VASAVADA Chirag Girish	AXM864	Licensed Representative	9
WALTON Matthew	AXL711	Licensed Representative	1, 9
WAN Cheuk Kei	AYA393	Licensed Representative	9
WAN Chi Fai	AXV581	Licensed Representative	4, 5, 9
WAN Kit Man	AXY330	Licensed Representative	1
WANG Allen Ya-Lun	ANR492	Licensed Representative	4, 9
WANG Chao	AXS315	Licensed Representative	1, 4
WANG Chi Yat	AYC881	Licensed Representative	1
WANG Faqiang	AXY799	Licensed Representative	1
WANG Feng	AXX534	Licensed Representative	1, 2
WANG Huanzi	AXT418	Licensed Representative	1
WANG Huiyi	AXU849	Licensed Representative	1, 6
WANG Jiawei	AYA157	Licensed Representative	1
WANG Kang	AXX114	Licensed Representative	2
WANG Lu	AXX186	Licensed Representative	1, 4
WANG Menglan	ALB829	Licensed Representative	1, 2

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2011

CE Name	CE No.	License Type	Types of Regulated Activity
WANG Mengling	AXZ072	Licensed Representative	1, 6
WANG Mengting	AXS404	Licensed Representative	1, 4, 6
WANG Mingyue	AXV213	Licensed Representative	1
WANG Ting	AXZ996	Licensed Representative	4
WANG Yimin	AYC366	Licensed Representative	4
WANG Ying	AXT648	Licensed Representative	6
WANG Yong	AXW461	Licensed Representative	4
WANG Yuchen	AXY201	Licensed Representative	1, 4, 6
WANG Zhong Yang	AXN241	Licensed Representative	4
WANG Ziyang	AXS583	Licensed Representative	1, 4, 9
WANG Zun	AXV674	Licensed Representative	1
WEI Ta Ming	AXX695	Licensed Representative	1
WENG Yimin	AXU883	Licensed Representative	4, 9
WHANG Fun, Edith	AXX788	Licensed Representative	1, 4
WHITLOCK Christopher Peter	AXW254	Licensed Representative	1, 4, 9
WILKINSON John Patrick	AXV316	Licensed Representative	1
WILSON Michael Cyril Murray	AXK064	Licensed Representative	1, 4, 9
WONG Chi Kei	AXQ787	Licensed Representative	4, 9
WONG Chin Hei	AXT573	Licensed Representative	4
WONG Chin Pang	AXR378	Licensed Representative	1
WONG Chung Hong, Philip	AXY042	Licensed Representative	1, 4, 6
WONG Chung Wai, Nicholas	AXZ773	Licensed Representative	4, 9
WONG Hoi Leung	AXT008	Licensed Representative	1, 2
WONG Hon Leung	AXV390	Licensed Representative	1, 6
WONG Jeffrey Chi-ler	AXV675	Licensed Representative	1, 6
WONG Jonathan Philip	AXV837	Licensed Representative	1, 2
WONG Ka Ming	AAD718	Licensed Representative	1
WONG Ka Yeung, Roland	AXV218	Licensed Representative	1
WONG Kang Shing	ANR511	Licensed Representative	1
WONG Keith	AXV636	Licensed Representative	1
WONG Lap Chun	AXX954	Licensed Representative	3
WONG Mei Tai, Betty	AXY901	Licensed Representative	1, 4
WONG Poh Fah	AHQ093	Licensed Representative	1, 2
WONG Pui Sze	AXS398	Licensed Representative	1
WONG Shiu Cheong	AXV084	Licensed Representative	1
WONG Sze Ming, Simon	ABQ531	Licensed Representative	4, 9
WONG Tsz Him	AXY077	Licensed Representative	6
WONG Wai Sze	AXT490	Licensed Representative	1
WONG Wai Yam	AXX085	Licensed Representative	1, 6
WONG Wai Yi	AXG434	Licensed Representative	1, 2
WONG Yim Hung	AXY736	Licensed Representative	1, 4
WONG Yiu Chung, Andy	AXV027	Licensed Representative	1, 2
WONG Yu Fei	AXC299	Licensed Representative	1
WOO Emily Sen Yen	AXV855	Licensed Representative	6
WOO Kiu Anthony	AXY035	Licensed Representative	1, 6
WRIGHT Kristina Fleur Marshall	AXV982	Licensed Representative	1
WU Nan	AUW139	Licensed Representative	1, 4, 6
WU Shih-han	AXV268	Licensed Representative	1, 6
WU Wai Yan Michael	AXT111	Licensed Representative	10
WU Weisi	AXV180	Licensed Representative	2
WU Yu	AXT645	Licensed Representative	4, 9
WU Zhen	AXP160	Licensed Representative	1
WU Zhenni	AXQ374	Licensed Representative	1, 4, 6
XI Fengbo	AXV626	Licensed Representative	1, 6
XIA Bei	AXV652	Licensed Representative	1, 2
XIE Zhengyang	AXW931	Licensed Representative	4, 9
XU Jian	AXO587	Licensed Representative	1, 6
XU Ke	AXX784	Licensed Representative	1, 6
XU Pengzi	AXT110	Licensed Representative	1, 4
XU Wanlu	AXX543	Licensed Representative	1, 9
XUE Congyan	AXT394	Licensed Representative	1, 4, 9
YAM Chi Fai	AXU769	Licensed Representative	1, 2
YAM Ying	ARK577	Licensed Representative	1
YAN Long	AXX703	Licensed Representative	1, 4
YAN Vivian	AXW605	Licensed Representative	4, 6, 9
YANG Hao Yuan	AXY467	Licensed Representative	1, 6
YANG Jichuan	AOY296	Licensed Representative	1
YANG Jie	AXW975	Licensed Representative	4
YANG Lijun	AXP591	Licensed Representative	6
YANG Peifan	AXQ862	Licensed Representative	1, 4, 9
YANG Rui	ALG051	Licensed Representative	1, 6
YANG Wai Sum, Vivian	AIR096	Licensed Representative	1, 2
YANG Yiqiong	AXU943	Licensed Representative	4
YAO Alex Krystal	ACS438	Licensed Representative	10
YAU Henry Hin Yat	AXY065	Licensed Representative	6
YEUN Chi Kwok	AXZ838	Licensed Representative	9
YEUNG Chong Ying	AFM296	Licensed Representative	1, 9
YEUNG Hiu Shan, Adelaide	AYC195	Licensed Representative	1, 6

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2011

CE Name	CE No.	License Type	Types of Regulated Activity
YEUNG Pok Man, Peason	AGW988	Licensed Representative	1, 4
YEUNG Sze Sze	AXW487	Licensed Representative	1
YEUNG Tat Ho	AXZ759	Licensed Representative	1
YEUNG Wai Kit, Eddy	AXJ838	Licensed Representative	1, 4
YEUNG Wang Yuk	AVR010	Licensed Representative	1
YIM Man Shing	AXT429	Licensed Representative	1
YIN Suoya	AXV658	Licensed Representative	4
YIN Yaoyao	AXT494	Licensed Representative	1
YING Peter	AXX245	Licensed Representative	1, 6
YING Po Suen	AXT593	Licensed Representative	1, 4, 6
YING Yewen Derek	AXX634	Licensed Representative	1, 2
YIP Caleb	AXX650	Licensed Representative	1, 6
YIP Chi Tsang	AXU900	Licensed Representative	1, 2, 4
YIP Jy Kei, Baillie	AXU788	Licensed Representative	1, 4
YIP Kwun Wang	AXY632	Licensed Representative	1
YIP Tsz Kin Joe	AXU899	Licensed Representative	1
YOON Seok Hyun	AXY017	Licensed Representative	1, 2, 7
YOON Sunjin	AXV575	Licensed Representative	4
YORATH Angela Marie	AXW959	Licensed Representative	1
YOU Janis Siu Ming	AFY832	Licensed Representative	1, 4
YOUL Gordon Phillip	APB617	Licensed Representative	1, 6
YU Bobby, Jump Ming	AYA001	Licensed Representative	9
YU Cheng Ping	AXP148	Licensed Representative	1, 2
YU Ching Yat	ABF946	Licensed Representative	1
YU Feng	AXT097	Licensed Representative	4, 9
YU Haisi	AXY674	Licensed Representative	1, 4, 9
YU Ho Wing	AXT424	Licensed Representative	1
YU Hsueh-yu	AXY698	Licensed Representative	1, 4
YU Kwan Yiu	AXT656	Licensed Representative	1, 2
YU Lok Lun Lawrence	AXX826	Licensed Representative	1, 4, 6
YU Paul Bo	AXT654	Licensed Representative	1, 4
YU Wai Lun	AXW827	Licensed Representative	1
YUAN Dan	AXY484	Licensed Representative	1, 4, 6
YUAN Michelle	AXM815	Licensed Representative	1, 4
YUEN Ming Chung	AXY122	Licensed Representative	1, 4
YUEN Ming Fai	ABR709	Licensed Representative	1, 2
YUN Chung Jun	AXY085	Licensed Representative	4
YUNG Sai Kuen	AIH349	Licensed Representative	1
ZENG Meiling	AXW285	Licensed Representative	1
ZHANG Alexandra Y	AXY680	Licensed Representative	9
ZHANG Cheng	AYC302	Licensed Representative	1
ZHANG Hang	AXU790	Licensed Representative	1, 4
ZHANG James Xiaohan	AXU650	Licensed Representative	1, 6
ZHANG JING	AXE971	Licensed Representative	1, 2
ZHANG Junnan	AXW873	Licensed Representative	4, 6
ZHANG Kai	AXH639	Licensed Representative	1
ZHANG Qian	AXX666	Licensed Representative	4, 9
ZHANG Rachel Lei	AXQ291	Licensed Representative	1, 4
ZHANG Wanying	AXT572	Licensed Representative	1
ZHANG Xiaomu	AXT646	Licensed Representative	4, 9
ZHANG Xuan	AYC367	Licensed Representative	1
ZHANG Yijie	AXX971	Licensed Representative	4, 6
ZHANG Yijing	AXZ682	Licensed Representative	6
ZHANG Yu Tao	ARI996	Licensed Representative	4, 9
ZHANG Zhi Liang	AXW152	Licensed Representative	1
ZHAO Lei	AXS327	Licensed Representative	9
ZHAO Xinyun	AXZ757	Licensed Representative	4
ZHENG Xin	AXX249	Licensed Representative	6
ZHOU Chenlu	AXV986	Licensed Representative	1
ZHOU Weixi	AXV577	Licensed Representative	1, 6
ZHU Bei	AXS497	Licensed Representative	6
ZHU Jun	AXX081	Licensed Representative	1
ZHU Lin	AQG873	Licensed Representative	1, 9
ZHU Lina	AXV640	Licensed Representative	4
ZHU Su	AXC644	Licensed Representative	1, 2
ZHU Yihong	AXZ071	Licensed Representative	1, 6
ZHU Yimeng	AXY494	Licensed Representative	4, 6
ANG Kim Yu	AXR153	Licensed Representative - Responsible Officer	4, 9
BAO Linsheng	AXL165	Licensed Representative - Responsible Officer	4, 9
BEDWICK Allan Leon David	AFK479	Licensed Representative - Responsible Officer	9
CHAN Hing Wah	AET272	Licensed Representative - Responsible Officer	1, 2, 4, 9
CHOI Soong	AXV136	Licensed Representative - Responsible Officer	6
CHUNG Sung Yup	AXR258	Licensed Representative - Responsible Officer	1, 4, 6
FIELER Jeffrey Richard	AXN223	Licensed Representative - Responsible Officer	9
FOSTER Jennifer Leahy	APG262	Licensed Representative - Responsible Officer	9
GALLAGHER Hugh Thomas	AXR161	Licensed Representative - Responsible Officer	1
GIBSON Daniel Patrick	AXN216	Licensed Representative - Responsible Officer	9
HALVORSEN Ole Andreas	AVQ356	Licensed Representative - Responsible Officer	9

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2011

CE Name	CE No.	Licence Type	Types of Regulated Activity
KASHYAP Sunil	AVF021	Licensed Representative - Responsible Officer	2
KRETZ Laurent Bernard	AXI540	Licensed Representative - Responsible Officer	1, 4, 9
KRETZ Philippe Olivier	AXI541	Licensed Representative - Responsible Officer	1, 4, 9
KUWAYAMA Yusuke	AXT411	Licensed Representative - Responsible Officer	4, 9
LAINÉ Frederic Prudent Charles	ALW243	Licensed Representative - Responsible Officer	1, 4
LAM Din Kan	ADU473	Licensed Representative - Responsible Officer	4, 9
LEE Soo Kai	ANT716	Licensed Representative - Responsible Officer	1, 4
LEUNG Man Tat	AFQ229	Licensed Representative - Responsible Officer	2, 4
LU Gloria Yi	ADA784	Licensed Representative - Responsible Officer	4, 9
NG Chi Hin	AFD459	Licensed Representative - Responsible Officer	4, 9
OMOKAWA Hideyuki	AXP796	Licensed Representative - Responsible Officer	9
RIGG Edward Godfrey	AXO053	Licensed Representative - Responsible Officer	1, 4, 6
SATO Toshihisa	AIH727	Licensed Representative - Responsible Officer	2
SHANG Xiaojun	APD484	Licensed Representative - Responsible Officer	9
SMITHSON Travis Lorne	AHE465	Licensed Representative - Responsible Officer	1, 4, 6
SOUTHEE Gregory Ryan	AXO055	Licensed Representative - Responsible Officer	6
STUART Shane Vivian Julian	ADR450	Licensed Representative - Responsible Officer	9
VAN BRUGGE Robert Pieter	AUA340	Licensed Representative - Responsible Officer	1, 4
WANG Guanlong	AVR653	Licensed Representative - Responsible Officer	4, 9
WIPPL Christopher Rudolph	AXO054	Licensed Representative - Responsible Officer	1, 4
YU Hong	AJF555	Licensed Representative - Responsible Officer	1
ZHANG Jianying	AXD134	Licensed Representative - Responsible Officer	4, 9
SALKIND Louis Ken	AEJ342	Licensed Representative - Responsible Officer (Temporary Licence)	1
AKBAS Ismail Ersef	AXY738	Licensed Representative (Provisional Licence)	1, 2
ANG Kim Peng	AYA312	Licensed Representative (Provisional Licence)	4, 9
Anshuman	AYA403	Licensed Representative (Provisional Licence)	1, 2
ARGAL Ajay	AXV576	Licensed Representative (Provisional Licence)	1, 4, 5, 9
ASMAN Janni	AYD397	Licensed Representative (Provisional Licence)	4
AUSTIN Benjamin John	AYC310	Licensed Representative (Provisional Licence)	1
BAJIKAR Sundeep Madan	AYB109	Licensed Representative (Provisional Licence)	4
BALES James Marshall	AYC386	Licensed Representative (Provisional Licence)	1
BANSAL Jagdeep Singh	AYC876	Licensed Representative (Provisional Licence)	1, 2, 4
BARRON Alana	ARD435	Licensed Representative (Provisional Licence)	1
BAVISHI Ronil Rajnikant	AXZ444	Licensed Representative (Provisional Licence)	1, 2
BELHACHMI Mehdi	AXX261	Licensed Representative (Provisional Licence)	1, 2
BHATTACHARYA Abhishek	AYC490	Licensed Representative (Provisional Licence)	4
BOURKE Cillian Anthony	AXY252	Licensed Representative (Provisional Licence)	1, 2
BRACKEN Edward James	AXZ896	Licensed Representative (Provisional Licence)	1, 2
BUCHER Michael Max	AFT834	Licensed Representative (Provisional Licence)	1, 2
BYUN Hyungsoo	AYA541	Licensed Representative (Provisional Licence)	1, 2, 7
CAI Weiheng	AXY627	Licensed Representative (Provisional Licence)	1
CALLAGHAN Sarah Stella	ANE394	Licensed Representative (Provisional Licence)	4, 9
CASON Scott	AYA513	Licensed Representative (Provisional Licence)	1
CESARINI Marco	AYD142	Licensed Representative (Provisional Licence)	6
CHAINANI Roshan Kumar	APC773	Licensed Representative (Provisional Licence)	1
CHAN Carol Ka Yun	AYC484	Licensed Representative (Provisional Licence)	9
CHAN Chester Chi-to	AYB952	Licensed Representative (Provisional Licence)	1, 2
CHAN Christopher Glenn I.A.	AXZ641	Licensed Representative (Provisional Licence)	1, 6
CHAN Chun Man	AYC985	Licensed Representative (Provisional Licence)	1
CHAN Elaine	ABU501	Licensed Representative (Provisional Licence)	1
CHAN Hau Chung Simon	AYA221	Licensed Representative (Provisional Licence)	1
CHAN Hing Chuen	AXZ948	Licensed Representative (Provisional Licence)	4
CHAN Ho Wai, William	AYC964	Licensed Representative (Provisional Licence)	1, 2
CHAN Ho Yin	AYA959	Licensed Representative (Provisional Licence)	1
CHAN Hoi Man	ASD928	Licensed Representative (Provisional Licence)	1
CHAN Jenny Wai-ye	AXZ591	Licensed Representative (Provisional Licence)	1, 6
CHAN Kam Pan	AYD166	Licensed Representative (Provisional Licence)	1
CHAN Lut Kwan	AYC509	Licensed Representative (Provisional Licence)	1, 2
CHAN Mei Wah	ABW892	Licensed Representative (Provisional Licence)	1, 4
CHAN Pui Yee	AAE139	Licensed Representative (Provisional Licence)	1
CHAN Sau Ching	AYC973	Licensed Representative (Provisional Licence)	1, 2, 4
CHAN Siu Kong	AXZ891	Licensed Representative (Provisional Licence)	1, 2
CHAN Siu Pong	AXZ793	Licensed Representative (Provisional Licence)	1
CHAN Tai Wing, Chester	AXZ861	Licensed Representative (Provisional Licence)	1, 2
CHAN Ting Him	AYD567	Licensed Representative (Provisional Licence)	1, 2
CHAN Tsz Lun	AYC290	Licensed Representative (Provisional Licence)	1
CHAN Tung	AXW843	Licensed Representative (Provisional Licence)	9
CHAN Tung	AXY807	Licensed Representative (Provisional Licence)	1
CHAN Wing Yiu	AXW231	Licensed Representative (Provisional Licence)	1, 4
CHAN Yin Ling Elaine	AXZ258	Licensed Representative (Provisional Licence)	1
CHAN Ying Ki	AQN698	Licensed Representative (Provisional Licence)	1, 4
CHAN Yu Kai	AYC303	Licensed Representative (Provisional Licence)	1, 4
CHANG Michael Young Jin	AYC677	Licensed Representative (Provisional Licence)	1, 6
CHANG Yu Wei	AYD590	Licensed Representative (Provisional Licence)	1
CHANG Yu-Fen	AXZ108	Licensed Representative (Provisional Licence)	1, 4
CHEIM Sandra, Mei Ling	AYC514	Licensed Representative (Provisional Licence)	1, 6
CHEN Chun-Hao, Lance	AEF331	Licensed Representative (Provisional Licence)	1, 6
CHEN I-Hen	AXZ608	Licensed Representative (Provisional Licence)	1

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2011

CE Name	CE No.	Licence Type	Types of Regulated Activity
CHEN Jiayao	AYC946	Licensed Representative (Provisional Licence)	4
CHEN Jun	ASN928	Licensed Representative (Provisional Licence)	1, 4
CHEN Kenny	AYA774	Licensed Representative (Provisional Licence)	1, 6
CHEN Kuan-Chun	AXZ660	Licensed Representative (Provisional Licence)	4
CHEN Rui	AJC825	Licensed Representative (Provisional Licence)	1, 6
CHEN Sijia	AYA775	Licensed Representative (Provisional Licence)	1, 6
CHEN Xi	AXY946	Licensed Representative (Provisional Licence)	1
CHEN Yongming	AYA042	Licensed Representative (Provisional Licence)	1
CHEN Yu-Yun	AXZ594	Licensed Representative (Provisional Licence)	4
CHEN Zhanglong	AXY966	Licensed Representative (Provisional Licence)	4, 9
CHENG Chi Yee	AXZ978	Licensed Representative (Provisional Licence)	1
CHENG Kei Pong	ANR239	Licensed Representative (Provisional Licence)	1, 4
CHENG Xu	AXZ733	Licensed Representative (Provisional Licence)	1, 6
CHEUK Siu Wei, Theresa	AYC387	Licensed Representative (Provisional Licence)	1, 2
CHEUNG Carmon	AYA425	Licensed Representative (Provisional Licence)	1
CHEUNG Chi Fai	AYB220	Licensed Representative (Provisional Licence)	1
CHEUNG Chun Kin	AYA531	Licensed Representative (Provisional Licence)	1, 2, 3
CHEUNG Fung Chuen	AYA218	Licensed Representative (Provisional Licence)	1, 2
CHEUNG Ho Yu	ATT485	Licensed Representative (Provisional Licence)	1
CHEUNG Ka Ki	AYA582	Licensed Representative (Provisional Licence)	1
CHEUNG Karin	AYD436	Licensed Representative (Provisional Licence)	4
CHEUNG Sau Lam, Trista	AYC968	Licensed Representative (Provisional Licence)	1, 4, 9
CHEUNG Wai Lap	AXZ097	Licensed Representative (Provisional Licence)	1, 2
CHEUNG Wai Ying	AEN774	Licensed Representative (Provisional Licence)	1
CHEUNG Yim Yeung	AEQ239	Licensed Representative (Provisional Licence)	4, 9
CHEUNG Yuk Ping	AYD129	Licensed Representative (Provisional Licence)	1
CHIM Lee Na	AYA150	Licensed Representative (Provisional Licence)	1
CHIU Yen-Jung	AYA137	Licensed Representative (Provisional Licence)	1
CHO Sung Boon	AYA183	Licensed Representative (Provisional Licence)	1, 2
CHOMIAK Christopher Martin	AYD003	Licensed Representative (Provisional Licence)	1, 9
CHONG Ching	APW809	Licensed Representative (Provisional Licence)	1
CHONG Jessie Wen Sze	AYA627	Licensed Representative (Provisional Licence)	1
CHONG Shi-Yin, Charmaine	AXY604	Licensed Representative (Provisional Licence)	1, 4, 6
CHONG Tsz Yeung	AYD308	Licensed Representative (Provisional Licence)	6
CHONG Vanessa Tze Yan	AYC716	Licensed Representative (Provisional Licence)	4
CHOU Erika Po-Shan	AYC505	Licensed Representative (Provisional Licence)	1
CHOW Hau Fan	AXZ765	Licensed Representative (Provisional Licence)	1
CHOW Ho Suen	APB418	Licensed Representative (Provisional Licence)	1
CHOW Ho Wan, Owen	AHR965	Licensed Representative (Provisional Licence)	1
CHOW Kwai Shing	ARG875	Licensed Representative (Provisional Licence)	1, 2
CHOW Yau Shing	AXZ383	Licensed Representative (Provisional Licence)	6
CHUNG Ka Kei	AYA305	Licensed Representative (Provisional Licence)	1
CHUNG Kit Yu	AYA961	Licensed Representative (Provisional Licence)	1
CHUNG Yuen Ling	AXW587	Licensed Representative (Provisional Licence)	1, 4, 9
COLEY Catherine Gray	AYC383	Licensed Representative (Provisional Licence)	1
COWLEY Garrick James	AYC429	Licensed Representative (Provisional Licence)	2
CUI Jieli	AYD408	Licensed Representative (Provisional Licence)	1
CURREY Stuart Dalyn	AQU056	Licensed Representative (Provisional Licence)	1, 2
DAI Peng	AXZ947	Licensed Representative (Provisional Licence)	1, 2
DAL BROI David	AXY476	Licensed Representative (Provisional Licence)	1, 2, 4, 5
DE MATOS BERTAO Eduardo	AYA543	Licensed Representative (Provisional Licence)	1, 4, 9
DESAI Meghna Kiran	AXY952	Licensed Representative (Provisional Licence)	1
DHAMELINCOURT Guillaume, Philippe, Antoine, Marie	AYA765	Licensed Representative (Provisional Licence)	9
DHARMAZI Reina Natalie	AXZ231	Licensed Representative (Provisional Licence)	1, 2
DING Chao	AXY571	Licensed Representative (Provisional Licence)	1, 4, 6
DING Yibo	AXZ895	Licensed Representative (Provisional Licence)	1
DJELASSI Emile	AYA600	Licensed Representative (Provisional Licence)	1, 2
DOZAKI Maki	AYA404	Licensed Representative (Provisional Licence)	1, 4, 9
DUFFY Timothy Sean	AYC807	Licensed Representative (Provisional Licence)	1, 4
DUONG Jean Marc	AXZ775	Licensed Representative (Provisional Licence)	1, 4, 9
ENGLAND-BRAMMER Simon James	AXZ247	Licensed Representative (Provisional Licence)	1, 4
EVANS Jamie Lloyd	AYC311	Licensed Representative (Provisional Licence)	1, 6
FAN Shaokai	AJO307	Licensed Representative (Provisional Licence)	1, 2, 4
FEI John Xiang	AFT411	Licensed Representative (Provisional Licence)	1, 6
FEI Qi	AYA408	Licensed Representative (Provisional Licence)	1
FERRARONE Christopher Eamon	AXX235	Licensed Representative (Provisional Licence)	4
FITZPATRICK Vivienne Suzanne	AYC971	Licensed Representative (Provisional Licence)	1, 2
FROHLICH Luc Claude Walter	AXZ981	Licensed Representative (Provisional Licence)	4, 5, 9
FU Yan Keung	AAJ827	Licensed Representative (Provisional Licence)	4
FU Yi	AYC741	Licensed Representative (Provisional Licence)	1, 4, 9
FUKUDA Norimichi	AYC380	Licensed Representative (Provisional Licence)	1, 2
FUNG Ka Faat	AYA155	Licensed Representative (Provisional Licence)	1
GALLAGHER Brendan Daniel	AYD172	Licensed Representative (Provisional Licence)	1, 2, 7
GALTIER Pierre	AYD605	Licensed Representative (Provisional Licence)	1
GALVIN Simon Stephen	AXY950	Licensed Representative (Provisional Licence)	1
GAO Jue	AYD503	Licensed Representative (Provisional Licence)	1, 4, 6
GAO Yue	AXZ994	Licensed Representative (Provisional Licence)	4
GE Jun	AYA567	Licensed Representative (Provisional Licence)	6

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2011

CE Name	CE No.	Licence Type	Types of Regulated Activity
GOH Nam-shiong Aaron	AYA825	Licensed Representative (Provisional Licence)	1, 6
GONDARD Gabriel Robert	AYD279	Licensed Representative (Provisional Licence)	1, 4, 9
GROVES James Andrew	AYD299	Licensed Representative (Provisional Licence)	1, 7
GUO Ruoran	AXW652	Licensed Representative (Provisional Licence)	1, 6
HAN Pengju	AYC952	Licensed Representative (Provisional Licence)	9
HAN Xiao	AYA773	Licensed Representative (Provisional Licence)	1, 2
HANAOKA Eriko	AXZ129	Licensed Representative (Provisional Licence)	1
HARRISON Timothy David	AXY026	Licensed Representative (Provisional Licence)	1, 6
HASJIM Stephan Ignatius	AYC486	Licensed Representative (Provisional Licence)	4
HE Bing	AYD518	Licensed Representative (Provisional Licence)	1, 6
HE Vicky Zhancong	ASD838	Licensed Representative (Provisional Licence)	1
HEAD Gary William	AXY965	Licensed Representative (Provisional Licence)	1
HESSE Jakob Fabian	AYC692	Licensed Representative (Provisional Licence)	1, 4, 6
HEUNG Hop Sang	AXZ779	Licensed Representative (Provisional Licence)	1, 6
HIRATSUKA Takashi	AYA423	Licensed Representative (Provisional Licence)	1
HO Hiu Shing	AYD469	Licensed Representative (Provisional Licence)	1
HO Sze Meng	AUM747	Licensed Representative (Provisional Licence)	1
HOANG Li-Hoang Hubert	AXY800	Licensed Representative (Provisional Licence)	1
HONG Hi Joo	AYA418	Licensed Representative (Provisional Licence)	1, 6
HONG Keith Chun-yiu	AXR368	Licensed Representative (Provisional Licence)	1, 2, 4, 5
HONG Sunyoung	AYD399	Licensed Representative (Provisional Licence)	4
HSU Sheng Hsiu	AUZ080	Licensed Representative (Provisional Licence)	1, 4
HU Jiasheng	ATH315	Licensed Representative (Provisional Licence)	1
HU Xisha	ARA304	Licensed Representative (Provisional Licence)	1
HUA Wei	AYA092	Licensed Representative (Provisional Licence)	1, 4, 6
HUANG Tsui Yao	AXZ842	Licensed Representative (Provisional Licence)	4, 9
HUI Chun Kit	AXZ264	Licensed Representative (Provisional Licence)	1
HUI Fong King	AAJ073	Licensed Representative (Provisional Licence)	4
ICHIKAWA Ken	AYC466	Licensed Representative (Provisional Licence)	1, 2
IP Gar Bo, Victoria	AAF813	Licensed Representative (Provisional Licence)	1, 2
JHUN Jong Un	AXY504	Licensed Representative (Provisional Licence)	1, 9
JIA Liqing	AGN755	Licensed Representative (Provisional Licence)	1, 4, 6
JIANG Jiang	AYB885	Licensed Representative (Provisional Licence)	1, 6
JIN Yong	AYC609	Licensed Representative (Provisional Licence)	1
JING Chao	AXZ899	Licensed Representative (Provisional Licence)	1, 4, 9
JONES Adam Benjamin	AYB886	Licensed Representative (Provisional Licence)	1, 6
JUNEE Matthew Robert	AYC188	Licensed Representative (Provisional Licence)	1
JUNG Yu Jin	AYC316	Licensed Representative (Provisional Licence)	1, 6
KADAN Aparna	AYA085	Licensed Representative (Provisional Licence)	1, 6
KAPADIA Jai Ashvin	AXZ755	Licensed Representative (Provisional Licence)	4, 9
KAZI Ashik Zahurul	AYD174	Licensed Representative (Provisional Licence)	1, 2
KHERA Nitesh Pramodkumar	AYA506	Licensed Representative (Provisional Licence)	1, 2
KHUBCHANDANI Ashwin	ARD919	Licensed Representative (Provisional Licence)	1
KIM Chung Wan	AGE497	Licensed Representative (Provisional Licence)	1, 4
KIM Hyoung Nam	AMF771	Licensed Representative (Provisional Licence)	1
KO Kun Mun, Carmen	ANW518	Licensed Representative (Provisional Licence)	4, 6, 9
KONDO Keiko	AXX240	Licensed Representative (Provisional Licence)	4, 9
KONG Leuk Sum Rayson	AXX143	Licensed Representative (Provisional Licence)	1
KONG Sau Kam, Lisa	ANG555	Licensed Representative (Provisional Licence)	9
KOO Eun-kyoung	AYA777	Licensed Representative (Provisional Licence)	1, 6
Krishan Murari	AYA566	Licensed Representative (Provisional Licence)	4
KU Wing Yee Cecilia	AXZ767	Licensed Representative (Provisional Licence)	9
KU Yiu Fai	AMI498	Licensed Representative (Provisional Licence)	1, 2
KUIJS Aloysius Gerardus Cornelis	AXZ967	Licensed Representative (Provisional Licence)	4
KUK Yvonne Ho Ming	AXZ953	Licensed Representative (Provisional Licence)	1, 6
KULMANN Henrike	AXZ068	Licensed Representative (Provisional Licence)	4, 9
KUO Yi-Lan	AXX718	Licensed Representative (Provisional Licence)	1
KWAN Chun Keung, Kenneth	AXX256	Licensed Representative (Provisional Licence)	1
KWOK Kit Ying	AXZ904	Licensed Representative (Provisional Licence)	10
KWOK Yu Man	AYD033	Licensed Representative (Provisional Licence)	1
KWONG Nga Yee	AYC073	Licensed Representative (Provisional Licence)	1, 2
LAM Cheuk Sun	AXZ771	Licensed Representative (Provisional Licence)	1, 4
LAM Chi Leung	AYA268	Licensed Representative (Provisional Licence)	1, 2
LAM Chun Kay	AYD561	Licensed Representative (Provisional Licence)	1, 2
LAM Ka Ling	AYC315	Licensed Representative (Provisional Licence)	1
LAM Kit Ming, Flora	ALH861	Licensed Representative (Provisional Licence)	4, 5
LAM Man Kit	AYC160	Licensed Representative (Provisional Licence)	1, 4, 6
LAM Po	AYA200	Licensed Representative (Provisional Licence)	1, 2
LAM Tsz Chit	AYD111	Licensed Representative (Provisional Licence)	1, 2
LAM Wing Chi	AXZ689	Licensed Representative (Provisional Licence)	1
LAM Wing Sze	AYC756	Licensed Representative (Provisional Licence)	1
LAN Yang	AXZ758	Licensed Representative (Provisional Licence)	1, 4, 6
LAU AU YANG Sandra	ADP267	Licensed Representative (Provisional Licence)	1, 4
LAU Cheuk Ki	AXZ248	Licensed Representative (Provisional Licence)	1, 2
LAU Yuen Shing	AXZ950	Licensed Representative (Provisional Licence)	4
LAW Ka Yan	AYD030	Licensed Representative (Provisional Licence)	1
LEE Catherine	AYC672	Licensed Representative (Provisional Licence)	1, 2, 4, 5
LEE Hung Bun, Paul	AYC194	Licensed Representative (Provisional Licence)	4, 9

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2011

CE Name	CE No.	Licence Type	Types of Regulated Activity
LEE John	AYC035	Licensed Representative (Provisional Licence)	10
LEE Ke-Fong	AYD009	Licensed Representative (Provisional Licence)	1
LEE Man Ying	AAE561	Licensed Representative (Provisional Licence)	1, 4
LEE Pearl Sze Ming	AYD029	Licensed Representative (Provisional Licence)	1
LEE Seunghwan	AYA209	Licensed Representative (Provisional Licence)	1, 4
LEE Vivian Yee Man	AYC180	Licensed Representative (Provisional Licence)	1
LEE Yeon-Ah	AXY690	Licensed Representative (Provisional Licence)	1
LEE Yi-Wei	AXZ657	Licensed Representative (Provisional Licence)	1
LEE Zhi Lun	AYD147	Licensed Representative (Provisional Licence)	1, 2
LEEKHA Rajeev	AXR007	Licensed Representative (Provisional Licence)	9
LEONARD Juliana Veronica	AXY890	Licensed Representative (Provisional Licence)	4, 9
LEONG Sook Mun	AXR968	Licensed Representative (Provisional Licence)	10
LEUNG Issac Kam Lung	AUV993	Licensed Representative (Provisional Licence)	9
LEUNG Yiu Man	ABN882	Licensed Representative (Provisional Licence)	1, 4
LEWIS Jared	AYD197	Licensed Representative (Provisional Licence)	1, 2, 7
LI Hiu Fai	AIC115	Licensed Representative (Provisional Licence)	1, 4, 5
LI Jia You Leo	AYA379	Licensed Representative (Provisional Licence)	1
LI Jiafeng	AXZ731	Licensed Representative (Provisional Licence)	1, 4
LI Man Kiu	AXV270	Licensed Representative (Provisional Licence)	6
LI Mosi	AYA667	Licensed Representative (Provisional Licence)	1, 2, 7
LI Qin	AXZ548	Licensed Representative (Provisional Licence)	6
LI To Wai	AYD437	Licensed Representative (Provisional Licence)	1
LI Wei	AYA386	Licensed Representative (Provisional Licence)	4
LI Yunru	AXZ467	Licensed Representative (Provisional Licence)	1, 2
LI Zhao	AYB049	Licensed Representative (Provisional Licence)	4, 9
LIM Hsu An	AYA337	Licensed Representative (Provisional Licence)	1
LIM Yew Yang, Benjamin	AXZ078	Licensed Representative (Provisional Licence)	1, 6
LIN Heng-Kuang	AXZ669	Licensed Representative (Provisional Licence)	4
LIN Jingde	AXZ222	Licensed Representative (Provisional Licence)	1, 4, 6
LIN Sam	AYD013	Licensed Representative (Provisional Licence)	1, 6
LING Sau Fung	ALZ735	Licensed Representative (Provisional Licence)	1, 2
LITTKE Vincent Steven	AQL532	Licensed Representative (Provisional Licence)	1, 2, 7
LIU Bo	AXZ232	Licensed Representative (Provisional Licence)	4, 6, 9
LIU Chao-ming	AMY258	Licensed Representative (Provisional Licence)	1, 2
LIU Jinyang	AYC472	Licensed Representative (Provisional Licence)	1
LIU Kuan Cheng	AYA427	Licensed Representative (Provisional Licence)	1, 4
LIU Siyang	AYC604	Licensed Representative (Provisional Licence)	1, 4, 6
LIU Siyuan	AXZ979	Licensed Representative (Provisional Licence)	9
LIU Wai Fat, Winson	ALD665	Licensed Representative (Provisional Licence)	1
LIU Wei Chun	AYA197	Licensed Representative (Provisional Licence)	4
LIU Wing Chun	AYC986	Licensed Representative (Provisional Licence)	2
LIU Wui Hang	AYC142	Licensed Representative (Provisional Licence)	4, 9
LIU Xiao	AYC607	Licensed Representative (Provisional Licence)	1, 4, 6
LIU Xiao	AYD438	Licensed Representative (Provisional Licence)	1, 4, 6
LIU Yinan	AYC674	Licensed Representative (Provisional Licence)	1, 4, 6
LIU Zhengzheng	AXZ080	Licensed Representative (Provisional Licence)	4
LIU Zhenyi	AXZ089	Licensed Representative (Provisional Licence)	1, 9
LO Cheuk Ho	AYC813	Licensed Representative (Provisional Licence)	1
LO Ka Yu	AXY963	Licensed Representative (Provisional Licence)	1
LO Tsz Him	AXZ744	Licensed Representative (Provisional Licence)	1
LO Yi Kwan, Caren	AYA402	Licensed Representative (Provisional Licence)	1
LO Yu Yeung	ARN828	Licensed Representative (Provisional Licence)	6
LOI Sze Kim Jackson	AXY797	Licensed Representative (Provisional Licence)	4
LOK Ting Fung	AYA556	Licensed Representative (Provisional Licence)	1
LOKE Mun Hong, Ian	AXZ224	Licensed Representative (Provisional Licence)	1, 4, 6
LONG Yanshu	AXZ894	Licensed Representative (Provisional Licence)	1, 6
LU Yizhuo	AXY602	Licensed Representative (Provisional Licence)	1, 4, 6
LUI Hoi Yan, Jaclyn	ANQ808	Licensed Representative (Provisional Licence)	1
LUNDY Travis Stuart	AOH253	Licensed Representative (Provisional Licence)	4, 9
MA Chui Yee	AUI050	Licensed Representative (Provisional Licence)	1, 4
MAES Caroline Nelly Paul	AOY692	Licensed Representative (Provisional Licence)	4
MAK Yiu Tung	AYA406	Licensed Representative (Provisional Licence)	1
MARATIER Felix Jacques	AXZ876	Licensed Representative (Provisional Licence)	1
MARKOV George Krassimirov	AXW188	Licensed Representative (Provisional Licence)	1, 4
MC CULLOUGH Ian Thomas	AYB107	Licensed Representative (Provisional Licence)	1, 4
MC MAHON Ronan	AYA354	Licensed Representative (Provisional Licence)	4, 5, 9
MENG Qinglong	AYC942	Licensed Representative (Provisional Licence)	1, 6
MIAO Qing	AXB348	Licensed Representative (Provisional Licence)	4
MISEK Peter	AYB106	Licensed Representative (Provisional Licence)	4
MIYASHIRO Ken	AOR659	Licensed Representative (Provisional Licence)	1, 2, 4
MO King Ming, Barry	AGL464	Licensed Representative (Provisional Licence)	1, 2
MOHR Patrick Shawn	AXY809	Licensed Representative (Provisional Licence)	1, 2
MORI Yoji	AXZ411	Licensed Representative (Provisional Licence)	1
MOUND St John Michael	AYD087	Licensed Representative (Provisional Licence)	1
MYSOOR Anup	AYA190	Licensed Representative (Provisional Licence)	1, 6
NAKAHARA Yasushi	AXR846	Licensed Representative (Provisional Licence)	9
NERELLAPALLI Vijayarathi	AYC496	Licensed Representative (Provisional Licence)	4
NG Gary Jit Meng	AXZ903	Licensed Representative (Provisional Licence)	4, 6, 9

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2011

CE Name	CE No.	Licence Type	Types of Regulated Activity
NG Gerald Chi Fei	AXY635	Licensed Representative (Provisional Licence)	1, 6
NG Nicolas Yea Man	AYA275	Licensed Representative (Provisional Licence)	1
NG Siu Wai	AYD102	Licensed Representative (Provisional Licence)	1, 6
Ngai Hau Chuen	ALQ313	Licensed Representative (Provisional Licence)	1
OH Geeseok	AXZ900	Licensed Representative (Provisional Licence)	1, 4, 9
OWYONG David Tuck Meng	AMY426	Licensed Representative (Provisional Licence)	1, 4, 6, 9
PANG Chao	AXZ305	Licensed Representative (Provisional Licence)	9
PANG Chi Wai	ANU804	Licensed Representative (Provisional Licence)	1, 2
PANG Chin Hong	AXZ229	Licensed Representative (Provisional Licence)	4
PANG Kwok Chi	AXZ811	Licensed Representative (Provisional Licence)	1
PARK Jun Ho	AXZ060	Licensed Representative (Provisional Licence)	1
PEMBERTON Christian Matthew	AMS716	Licensed Representative (Provisional Licence)	1, 2
PETERMANN Stephane Albert	AXZ945	Licensed Representative (Provisional Licence)	1, 2, 7
PHANITSIRI Mark	AYB913	Licensed Representative (Provisional Licence)	4, 9
PHUTELA Shantnu	AXX520	Licensed Representative (Provisional Licence)	4
PLUCHET Guillaume Paul	AYD501	Licensed Representative (Provisional Licence)	1, 2, 7
PONG Shu Yan	AXZ812	Licensed Representative (Provisional Licence)	1
POON Chun Wai, Michael	AYA086	Licensed Representative (Provisional Licence)	1
POON Fung	AYD001	Licensed Representative (Provisional Licence)	1, 2
POON Kit Man Joe	AYC465	Licensed Representative (Provisional Licence)	1, 3
POON Pun Pun	AYC836	Licensed Representative (Provisional Licence)	1, 4
POTGIETER Sias	AYC382	Licensed Representative (Provisional Licence)	1, 2
POWELL Ben	AYB953	Licensed Representative (Provisional Licence)	1, 2
Qi Xiaoliang	AXZ553	Licensed Representative (Provisional Licence)	4
Qi Zi Yue	AYC998	Licensed Representative (Provisional Licence)	6
QIAO Nan	AYA623	Licensed Representative (Provisional Licence)	4
QUAIFE Matthew Samuel Heighes	AXX236	Licensed Representative (Provisional Licence)	4, 9
RA Helen	AYD212	Licensed Representative (Provisional Licence)	1, 2
RASTOGI Abhishek	AYB018	Licensed Representative (Provisional Licence)	1
RATTANARUENGYOT Thongchai	AQQ816	Licensed Representative (Provisional Licence)	9
RHODES Graham Frederick	AYB040	Licensed Representative (Provisional Licence)	1
RUAN Zhongjing	AYA132	Licensed Representative (Provisional Licence)	1, 4, 6
SCOTT Todd Jeffery	AYC219	Licensed Representative (Provisional Licence)	1, 2
SEET Eng Khan	AUN897	Licensed Representative (Provisional Licence)	9
SEKIDO Takahiro	AYC254	Licensed Representative (Provisional Licence)	4
SHAH Aatash	AYD594	Licensed Representative (Provisional Licence)	4
SHAH Anand	AKQ902	Licensed Representative (Provisional Licence)	1, 2
SHEN Che	AYC944	Licensed Representative (Provisional Licence)	1, 6
SHEN Yiyi	AYA168	Licensed Representative (Provisional Licence)	1
SHEN Yue	AXZ954	Licensed Representative (Provisional Licence)	1, 4, 6
SHIN Yeo Ji	AYC174	Licensed Representative (Provisional Licence)	1, 4, 6
SHUI Di	AXX770	Licensed Representative (Provisional Licence)	4
SHUM Jason Chak Sun	AYC309	Licensed Representative (Provisional Licence)	10
SHUN Seng Loong, Erwin	AXS682	Licensed Representative (Provisional Licence)	1
SHYU Alexander	AXZ961	Licensed Representative (Provisional Licence)	1, 4, 6
SI Tingting	AYB999	Licensed Representative (Provisional Licence)	4
SINGH Raj Kumar	AYD306	Licensed Representative (Provisional Licence)	1, 9
SLAOUI Mohammed Saad	AYC193	Licensed Representative (Provisional Licence)	1, 2
SLIPER Andrew McLaren	AYC192	Licensed Representative (Provisional Licence)	1
SNYDER Nathan Westley	AXV966	Licensed Representative (Provisional Licence)	1
SO Ka Ho Benjamin	AXZ272	Licensed Representative (Provisional Licence)	1, 2
SRISUKVATTANANAN Yupawadee	AXY600	Licensed Representative (Provisional Licence)	1, 4, 6
STRADMOOR Jessie	AYD394	Licensed Representative (Provisional Licence)	1
SUN Haiying	AXY977	Licensed Representative (Provisional Licence)	1, 6
SUN Weijun	AXZ547	Licensed Representative (Provisional Licence)	6
SURESH Aditya	AYC055	Licensed Representative (Provisional Licence)	4
SYQUIA Juan Martin Lagdameo	AEZ571	Licensed Representative (Provisional Licence)	1, 2
TAHENY Kenneth John	AXS067	Licensed Representative (Provisional Licence)	1, 2, 4, 5
TAI Gloria	AXZ732	Licensed Representative (Provisional Licence)	1, 6
TAI Song-chi	AYA767	Licensed Representative (Provisional Licence)	1, 4, 6
TAKEUCHI Kazufumi	AYA032	Licensed Representative (Provisional Licence)	4
TAM Ka Wing	AHK088	Licensed Representative (Provisional Licence)	1, 4
TAM Pak Hei	AYC751	Licensed Representative (Provisional Licence)	4
TAN Ee-Lin	AXZ837	Licensed Representative (Provisional Licence)	1, 4, 6
TAN Hwee Lin Daphne	AYC864	Licensed Representative (Provisional Licence)	1, 2
TAN Shenning	AXY855	Licensed Representative (Provisional Licence)	1, 2
TANG Weiguo	AUW905	Licensed Representative (Provisional Licence)	1
TEO Bo-Wei	AYD213	Licensed Representative (Provisional Licence)	1, 2
TO Ching Sze, Cecilia	APA899	Licensed Representative (Provisional Licence)	9
TSANG Ka Wai	AYC270	Licensed Representative (Provisional Licence)	1
TSE Irene Wai Man	AXZ905	Licensed Representative (Provisional Licence)	1, 6
TSE Pamela Yuen Wing	AXY582	Licensed Representative (Provisional Licence)	1, 4, 6
TSUI King Yan	AYD167	Licensed Representative (Provisional Licence)	1
TSUI Tak Shing, Dominic	ANL776	Licensed Representative (Provisional Licence)	1, 4
TSUI Vincent Tien You	AYB951	Licensed Representative (Provisional Licence)	4
TUNG Christopher	AYC988	Licensed Representative (Provisional Licence)	4
VANTARAKIS Jayden Cain	AXX772	Licensed Representative (Provisional Licence)	4
WANG Chenye	AYA832	Licensed Representative (Provisional Licence)	1, 6

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2011

CE Name	CE No.	Licence Type	Types of Regulated Activity
WANG Li	AXY973	Licensed Representative (Provisional Licence)	1, 2
WANG Mengjie	AXZ092	Licensed Representative (Provisional Licence)	1
WANG Na	AYA618	Licensed Representative (Provisional Licence)	4, 9
WANG Sangli	AXY801	Licensed Representative (Provisional Licence)	1, 4, 6
WANG Ting	AXZ996	Licensed Representative (Provisional Licence)	4
WANG Xinchun	AYC390	Licensed Representative (Provisional Licence)	4
WANG Yeong-Ning, David	ANR845	Licensed Representative (Provisional Licence)	4
WANG Yuan	AYA226	Licensed Representative (Provisional Licence)	1, 6
WANG Zhonghe	ADI605	Licensed Representative (Provisional Licence)	1, 6
WATT Ka Wai	AYC492	Licensed Representative (Provisional Licence)	1
WEI Tao	ANY058	Licensed Representative (Provisional Licence)	6
WEN Jiayi	AYC806	Licensed Representative (Provisional Licence)	1, 6
WENDE Ingo Geert	AXY798	Licensed Representative (Provisional Licence)	1, 2
WILLOUGHBY Candice W	AYC608	Licensed Representative (Provisional Licence)	1
WITZENFELD Michael Craig	AXG373	Licensed Representative (Provisional Licence)	1, 2, 7
WONG Cheuk Hon	AYD560	Licensed Representative (Provisional Licence)	1, 2
WONG Cheuk Ki	AXZ792	Licensed Representative (Provisional Licence)	1
WONG Chun Wang, Rankie	AXY562	Licensed Representative (Provisional Licence)	1
WONG Hiu Tung, Hilda	AWA334	Licensed Representative (Provisional Licence)	1
WONG Ho Yin	AXZ546	Licensed Representative (Provisional Licence)	1
WONG Hoi Lam, Ronald	AYD418	Licensed Representative (Provisional Licence)	1, 2
WONG Hon Man	AYC391	Licensed Representative (Provisional Licence)	4, 9
WONG Jeffrey Chit Hang	AYB938	Licensed Representative (Provisional Licence)	1, 2
WONG Man Sze, Grace	ADX257	Licensed Representative (Provisional Licence)	1
WONG Pui Lun, Alan	ALN588	Licensed Representative (Provisional Licence)	1, 4, 9
WONG Simon	AHY902	Licensed Representative (Provisional Licence)	10
WONG Siu Ling	AYC970	Licensed Representative (Provisional Licence)	1
WONG Wing Hung	AXY572	Licensed Representative (Provisional Licence)	4
WONG Wing Yan, Bonnie	AYC482	Licensed Representative (Provisional Licence)	4, 9
WONG Yi Na	AYC384	Licensed Representative (Provisional Licence)	1, 2
WONG Yiu Cheung	AYC748	Licensed Representative (Provisional Licence)	1
WORTENDYKE Jason Michael	AYC693	Licensed Representative (Provisional Licence)	1, 6
WOU Sebastian Stejean Chi-hin	AYD088	Licensed Representative (Provisional Licence)	1, 2
WRIGHT Jake Robert	AYA323	Licensed Representative (Provisional Licence)	1, 2
WU Chia-Wei	AXZ661	Licensed Representative (Provisional Licence)	4
WU Stephanie Yo-hua	ALZ631	Licensed Representative (Provisional Licence)	1, 2
WU Wai Yan Michael	AXT111	Licensed Representative (Provisional Licence)	10
WU Wei-Han	AXZ644	Licensed Representative (Provisional Licence)	1
WU Yuen Man Judyanna	AYA154	Licensed Representative (Provisional Licence)	4, 5, 9
WU Zhiyang	AYC708	Licensed Representative (Provisional Licence)	1, 4, 6
XIE Zhengkun	AYC752	Licensed Representative (Provisional Licence)	6
XU Bo	AYA837	Licensed Representative (Provisional Licence)	4
YANG Chin-Lin	AYA735	Licensed Representative (Provisional Licence)	1
YANG Jiyi	AXZ898	Licensed Representative (Provisional Licence)	1, 2
YANG Ying	AYE252	Licensed Representative (Provisional Licence)	4, 9
YAU Wai Ching, Vincent	AYB009	Licensed Representative (Provisional Licence)	1, 4, 9
YEUNG Chak Man, Gabriel	AXY975	Licensed Representative (Provisional Licence)	1
YEUNG Chung Nam	AYD468	Licensed Representative (Provisional Licence)	1
YEUNG Kit Yin, Mei	AFG128	Licensed Representative (Provisional Licence)	1, 9
YEUNG Pui Man	AXZ875	Licensed Representative (Provisional Licence)	1, 4, 9
YEUNG Stephanie Siu Chen	AXZ774	Licensed Representative (Provisional Licence)	1
YEUNG Tat Ho	AXZ759	Licensed Representative (Provisional Licence)	1
Yi Kang Woo	AOQ532	Licensed Representative (Provisional Licence)	1, 2
YIN Haining	AYC599	Licensed Representative (Provisional Licence)	1, 4, 9
YIN Yue	AXZ897	Licensed Representative (Provisional Licence)	1, 2
YING Alfred Chung-chieh	AGH863	Licensed Representative (Provisional Licence)	4
YING Peter	AXX245	Licensed Representative (Provisional Licence)	1, 6
YIP Chi Wai	AYA426	Licensed Representative (Provisional Licence)	1
YIP Shun Fu, Henry	AEI069	Licensed Representative (Provisional Licence)	1, 4
YIP Wai Yan	AXZ867	Licensed Representative (Provisional Licence)	6
YOSHIDA Masao	AXY832	Licensed Representative (Provisional Licence)	4
YOUL Gordon Phillip	APB617	Licensed Representative (Provisional Licence)	1, 6
YU Haisi	AXY674	Licensed Representative (Provisional Licence)	1, 4, 9
YU Jia	AXY576	Licensed Representative (Provisional Licence)	1, 4, 6
YU Lifeng	AYA736	Licensed Representative (Provisional Licence)	4
YUAN Chun	AYA581	Licensed Representative (Provisional Licence)	1, 6
YUAN Justin Yiming	AYD206	Licensed Representative (Provisional Licence)	1, 6
YUE Man Chun, Terence	AYA834	Licensed Representative (Provisional Licence)	1, 2
YUEN Siu Man	AIL150	Licensed Representative (Provisional Licence)	2
YUEN Wai Ling	AXZ887	Licensed Representative (Provisional Licence)	1
ZHANG Qilong	AXY565	Licensed Representative (Provisional Licence)	4
ZHANG Qin	AYA188	Licensed Representative (Provisional Licence)	1, 4, 6
ZHANG Wei	AYC305	Licensed Representative (Provisional Licence)	1, 4, 6
ZHANG Xuan	AIQ967	Licensed Representative (Provisional Licence)	1, 4
ZHANG Yun	AXZ985	Licensed Representative (Provisional Licence)	4, 9
ZHANG Zhi Liang	AXW152	Licensed Representative (Provisional Licence)	1
ZHANG Zong Yuan	AXZ965	Licensed Representative (Provisional Licence)	6
ZHAO Lijun	AYB046	Licensed Representative (Provisional Licence)	4

ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 09/2011

CE Name	CE No.	Licence Type	Types of Regulated Activity
ZHAO Long	AXY574	Licensed Representative (Provisional Licence)	1, 4, 6
ZHAO Xiao Le	AGC972	Licensed Representative (Provisional Licence)	1
ZHAO Xinyun	AXZ757	Licensed Representative (Provisional Licence)	4
ZHENG Long	AYA192	Licensed Representative (Provisional Licence)	1, 6
ZHOU Bing	AYD085	Licensed Representative (Provisional Licence)	1, 6
ZHOU Shenxiong	AYC475	Licensed Representative (Provisional Licence)	1
ZHOU Xiao	AYC139	Licensed Representative (Provisional Licence)	1, 6
ZHOU Yu	AWT457	Licensed Representative (Provisional Licence)	9
ZHU Hui	AYB024	Licensed Representative (Provisional Licence)	1
ASHER Purav Anil	AXZ998	Licensed Representative (Temporary Licence)	1, 2
BRAR Gurvinder Singh	AXZ772	Licensed Representative (Temporary Licence)	4
BRISCOE Hayden Daniel	AVV090	Licensed Representative (Temporary Licence)	4
CHAPUT Nicolas, Philippe, Claude	AVX155	Licensed Representative (Temporary Licence)	4
CHUI Kwok Fai	AYC483	Licensed Representative (Temporary Licence)	1, 4
COX Ashley James	AQS487	Licensed Representative (Temporary Licence)	1
DE FIGUEIREDO JR Rui Jose	AQH044	Licensed Representative (Temporary Licence)	1
DE GALE William Hervey	AWX197	Licensed Representative (Temporary Licence)	1, 4
DEROLD Christian	AVW188	Licensed Representative (Temporary Licence)	1
ESVARAN Chandan Param	AYA084	Licensed Representative (Temporary Licence)	1
GOH Soon Gek	AQS496	Licensed Representative (Temporary Licence)	4
GROTZINGER Adam W	AVI257	Licensed Representative (Temporary Licence)	1
HASTON Timothy John	ACW938	Licensed Representative (Temporary Licence)	4
HEASMAN Nicholas James	ART784	Licensed Representative (Temporary Licence)	1
HENCH William Anthony	AWF128	Licensed Representative (Temporary Licence)	1
IP Angela Sin-Yue	ANN456	Licensed Representative (Temporary Licence)	2
KAMEYAMA Tetsu	AXX781	Licensed Representative (Temporary Licence)	1, 4, 6
KING John Paul	AXZ980	Licensed Representative (Temporary Licence)	1, 2
LE BORGNE Anne	AXZ949	Licensed Representative (Temporary Licence)	1
LEE Li Elizabeth Shu	AUV482	Licensed Representative (Temporary Licence)	1
LOFF Jeffery Michael	AXY092	Licensed Representative (Temporary Licence)	4
LUE-FONG Simon Nicolas	APE946	Licensed Representative (Temporary Licence)	4
MATSUMOTO Yuji	ATQ910	Licensed Representative (Temporary Licence)	4
MCKENZIE John Patrick	ACO890	Licensed Representative (Temporary Licence)	1
MIKOSHIBA Shiro	ARG492	Licensed Representative (Temporary Licence)	4
MORGAN Glenn David	AWK540	Licensed Representative (Temporary Licence)	1
MORI Hiroyuki	AOR362	Licensed Representative (Temporary Licence)	1
PARKER Henry Roger Jacques	AXZ431	Licensed Representative (Temporary Licence)	1, 2
PORTILLO Joseph Charles	AXD722	Licensed Representative (Temporary Licence)	1
PULIDO Oscar Daniel	AUB275	Licensed Representative (Temporary Licence)	1, 4
ROSE Daniel John	AYA429	Licensed Representative (Temporary Licence)	2
SENATORE Sara Betty Harkavy	AVX217	Licensed Representative (Temporary Licence)	4
SETH Neeraj	AYB919	Licensed Representative (Temporary Licence)	4
SHODA Masafumi	ANE306	Licensed Representative (Temporary Licence)	4
SMITH Malcolm Ian Stuart	ASY716	Licensed Representative (Temporary Licence)	1, 4
SUMMERFIELD David Angus	AEP603	Licensed Representative (Temporary Licence)	1
TAN Suan Jin	AGP730	Licensed Representative (Temporary Licence)	4
TAZAKI Ryo	AYB048	Licensed Representative (Temporary Licence)	4
TENUTA Joseph Anthony	AEY695	Licensed Representative (Temporary Licence)	1
TYNAN Thomas James	AXY962	Licensed Representative (Temporary Licence)	1
VEILLEUX Louis Joseph Gilbert	AYB247	Licensed Representative (Temporary Licence)	4
WAGHORN Jonathan Charles	AWG082	Licensed Representative (Temporary Licence)	4
WENZEL Michael Bruce	APU308	Licensed Representative (Temporary Licence)	1
YANAGISAWA Masakazu	ASL355	Licensed Representative (Temporary Licence)	1