



**ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2012**

<b>CE Name</b>	<b>CE No.</b>	<b>Licence Type</b>	<b>Types of Regulated Activity</b>
3W Fund Management Limited	BAF393	Licensed Corporation	9
ANZ Securities (HK) Limited	BAC541	Licensed Corporation	1
Fortune SG Asset Management (Hong Kong) Co., Limited	AZY725	Licensed Corporation	4, 9
Heitman International Real Estate Securities HK Limited	BAE176	Licensed Corporation	9
Jynwel Capital Limited	AZS304	Licensed Corporation	1, 4
MAPS Capital Management Limited	AZK853	Licensed Corporation	4, 9
Pathway Capital Management (HK) Limited	BAA688	Licensed Corporation	4
Peak Prosperity Consulting (Hong Kong) Limited	AZW119	Licensed Corporation	4, 5
Qilu International Securities Limited	BAA855	Licensed Corporation	1
Rocks Asia Securities Limited	AYU405	Licensed Corporation	6
Top Ace Asset Management Limited	BAI181	Licensed Corporation	9
Reorient Financial Markets Limited	AAB499	Licensed Corporation (Migration)	1, 4, 6, 9
ANADA Takashi	BAJ167	Licensed Representative	1, 4
ARTHURSON Lyndon John	BAI470	Licensed Representative	1, 4, 9
AVIGO Enzo Thomas	BAH993	Licensed Representative	1, 2
BAJAJ Dhiraj	BAH689	Licensed Representative	1, 9
BALDWIN Samuel Balthazar	BAI861	Licensed Representative	1
BECKER William Joseph	BAI191	Licensed Representative	1
BEHARIE Sacha Alexander	BAH589	Licensed Representative	1, 2, 7
BERMEJO Philippe	AUH272	Licensed Representative	2
BHARDWAJ Vikram	BAC048	Licensed Representative	1, 6
BLAIR James Malcolm	AKT388	Licensed Representative	4, 9
BLENNERHASSETT David James	ADF976	Licensed Representative	1
BOUAKHASITH Mathieu	AZK560	Licensed Representative	1, 2
BOURHIS Damien Pierre Olivier	BAI360	Licensed Representative	1
CAI Yu	AUW213	Licensed Representative	1, 4, 9
CAKIRAHMETOGLU Evren	AZB962	Licensed Representative	1, 2
CAO Jiayi	BAJ036	Licensed Representative	4, 9
CHAN Chee Kwong, Raymond	AJO249	Licensed Representative	1, 4
CHAN Chi Kit	BAI047	Licensed Representative	3
CHAN Chun Yin	BAF372	Licensed Representative	1, 2
CHAN Hei Wai Henry	BAH822	Licensed Representative	4, 5
CHAN Ho	BAI417	Licensed Representative	1, 9
CHAN Ka Ming	BAK267	Licensed Representative	4, 9
CHAN Kin Man	AQZ593	Licensed Representative	3
CHAN Kin Wah	AON880	Licensed Representative	3
CHAN Mireille	BAI850	Licensed Representative	6
CHAN Tak Man, Calvin	BAJ169	Licensed Representative	1, 2, 3
CHAN Yin Kwong	BAG422	Licensed Representative	1
CHAN Zi Wei Gerald	BAH851	Licensed Representative	1, 4, 6
CHANG Vincent E.	ABM482	Licensed Representative	1, 4
CHAU Chun Ngai	BAH891	Licensed Representative	1
CHAU Hiu Yan	BAI419	Licensed Representative	1, 4, 9
CHEN Chao	BAF523	Licensed Representative	6
CHEN Dan	BAK390	Licensed Representative	2
CHEN Jian	BAC051	Licensed Representative	4
CHEN Junbin	BAE420	Licensed Representative	4
CHEN Junling	BAH717	Licensed Representative	6
CHEN Sheng-I	AQD036	Licensed Representative	1, 4, 9
CHEN Wei Yi	BAH886	Licensed Representative	4
CHEN Weida	AZN805	Licensed Representative	1



**ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2012**

<b>CE Name</b>	<b>CE No.</b>	<b>Licence Type</b>	<b>Types of Regulated Activity</b>
CHEN Xihua	BAH619	Licensed Representative	4, 9
CHEN Yin	BAC534	Licensed Representative	6
CHEN Yu	BAI854	Licensed Representative	1, 4
CHEN Yunze	BAH718	Licensed Representative	6
CHEN Zhihu	BAH710	Licensed Representative	1, 2
CHEN Zhuxi	BAJ418	Licensed Representative	1, 4, 6
CHENG Qian	BAB301	Licensed Representative	6
CHENG Wilson	BAI857	Licensed Representative	1, 2, 4, 9
CHENG Yuen Man	BAJ473	Licensed Representative	1, 2
CHESTER Alice Laura Merrill	AZG140	Licensed Representative	1
CHEUNG Ka Ho	BAJ170	Licensed Representative	1
CHEUNG Kin Yan	ALD619	Licensed Representative	1, 4
CHEUNG Wing Yee, Magdalen	BAH299	Licensed Representative	9
CHEUNG Yin Wa	BAH559	Licensed Representative	1, 4
CHEUNG Yuet Hoi	BAI842	Licensed Representative	1
CHIANG See Wan	AOX066	Licensed Representative	1, 4, 9
CHIN Reginald Alvin	AUE426	Licensed Representative	1, 2
CHO Yueh	AXC104	Licensed Representative	1
CHOW Chui Ping	APP525	Licensed Representative	1, 4
CHOW Yuen Shan, Angela	BAH604	Licensed Representative	10
CHOY Yiu Tung	BAH495	Licensed Representative	6
CHUNG Man Chung	BAI953	Licensed Representative	1
COVO Julien, Richard, Jacques	BAH702	Licensed Representative	1, 2
DAI Ye	BAI042	Licensed Representative	1, 2
DE ANGELIS Thomas Samuel	BAH594	Licensed Representative	9
DE VLIEGHER Pierre-edouard M.R.G.A.	AUH914	Licensed Representative	2
DEL ROSARIO David Angelo Tanseco	BAB470	Licensed Representative	1
DENG Jiaqi	BAF588	Licensed Representative	1
DONG Kai	BAC052	Licensed Representative	4
DONG Ke	BAI299	Licensed Representative	6
FAULKNER Matthew Robert	ARG884	Licensed Representative	1
FENG Yao	BAI358	Licensed Representative	1
FONG Kam Cheung, Patrick	AMQ876	Licensed Representative	9
FONG Sum Wun, Mabel	AVS888	Licensed Representative	1
FONG Yiu Sing	BAI829	Licensed Representative	1
GAO Song	BAE418	Licensed Representative	4
GAO Yedong	BAI002	Licensed Representative	4
GE Larry Yilei	BAH708	Licensed Representative	9
GEE Nathan Jordon	BAJ023	Licensed Representative	1, 4
GIANG Johnathan Zhao-hong	BAH719	Licensed Representative	6
GIBSON David James	BAH599	Licensed Representative	4
GOODRIDGE Mark Steven	AXG151	Licensed Representative	1
GORDON Wayne Robert	BAH596	Licensed Representative	4
GU Ke	BAC325	Licensed Representative	6
GUO Feng	APO471	Licensed Representative	1, 9
GURBISZ Kathleen Marie	BAK472	Licensed Representative	9
HART Paul Howard Farmer	ASF491	Licensed Representative	1
HE Biao	BAB482	Licensed Representative	6
HE Hui	BAK279	Licensed Representative	1, 4
HE Jindong	BAI001	Licensed Representative	1, 9
HE Liangming	AZY976	Licensed Representative	10



**ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2012**

<b>CE Name</b>	<b>CE No.</b>	<b>Licence Type</b>	<b>Types of Regulated Activity</b>
HO Chi Yun, Connie	AOA083	Licensed Representative	1
HO Chun Kit	BAH388	Licensed Representative	1, 4
HO Herbert	BAI048	Licensed Representative	1
HO Hoi Lam	AWK760	Licensed Representative	1, 2
HO Kwok Wai, Gareth	ACP902	Licensed Representative	1
HO Man Ho, Michael	BAK701	Licensed Representative	1
HOLDEN Steven	BAH995	Licensed Representative	1, 2
HSUEN Wai	BAJ051	Licensed Representative	1
HU Chen	BAC155	Licensed Representative	6
HU Nian	BAA338	Licensed Representative	4
HU Yajuan	BAA706	Licensed Representative	6
HU Yiqiang	BAD866	Licensed Representative	1
HUANG Bi-Chen	BAI188	Licensed Representative	1, 4
HUANG Jiacheng	BAH845	Licensed Representative	9
HUANG Jie	AZX967	Licensed Representative	1, 4
HUANG Jingying	BAI752	Licensed Representative	6
HUANG Ying	AVC344	Licensed Representative	4
HUANG Yinjun	BAI389	Licensed Representative	1
HUANG Zheng	AZY885	Licensed Representative	6
HUNG Kin Chung	BAK439	Licensed Representative	1, 4, 9
HUNG Yan	ASP980	Licensed Representative	4
HUNG Yiu Keung, Horace	ANJ138	Licensed Representative	4
HWANG Kyung Jae	BAJ130	Licensed Representative	4
IO Wing Shan	BAH628	Licensed Representative	1, 4, 9
IP Chin Chung	BAK884	Licensed Representative	2
IRIE Hiromasa	BAH882	Licensed Representative	4, 6
JI Tuo	BAH832	Licensed Representative	1
JI Xuwo	AZV960	Licensed Representative	4
JIN Ning	BAJ315	Licensed Representative	1, 2
JIN Xiaojuan	BAH720	Licensed Representative	6
JIN Yan	BAI284	Licensed Representative	1, 2
JU Xinghai	AZX868	Licensed Representative	4
JUNG Jee Hyun	BAA517	Licensed Representative	1, 4
KAN Lap Hang	ARH239	Licensed Representative	1, 4
KEUNG Kevin Shun-ben	BAH498	Licensed Representative	1, 6
KHO Garrett Tristan Arnaldo	AZL779	Licensed Representative	1
KIANG Li Li	AMF565	Licensed Representative	1, 2
KIM Jihong	BAJ171	Licensed Representative	1
KIM Kangwhhee	BAC072	Licensed Representative	1, 2, 7
KIM Sung Il	BAH570	Licensed Representative	1, 4
KIM Tony	BAI256	Licensed Representative	6
KO Goldie Tik	BAH961	Licensed Representative	1, 4
KOH Hui-Jian	AVM932	Licensed Representative	1, 4
KONG Yuan	BAB543	Licensed Representative	1
KOO Chun Ho	BAF365	Licensed Representative	1
KOWSKI Stefan	AXV641	Licensed Representative	1, 4
KRISHNAN Eeswary	BAJ314	Licensed Representative	1, 6
KURZ Julian Ogden	BAI394	Licensed Representative	1
KWAN Chit Man, Osvaldo	BAI043	Licensed Representative	9
KWAN Hoi Ngai, Michael	ANT542	Licensed Representative	3
KWAN Wing Hang	BAJ599	Licensed Representative	4



**ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2012**

<b>CE Name</b>	<b>CE No.</b>	<b>Licence Type</b>	<b>Types of Regulated Activity</b>
KWEE Tze Xien Rebecca	BAI097	Licensed Representative	4
LAI King Yeng, May	BAI036	Licensed Representative	1, 2
LAI Min-Min	AVV545	Licensed Representative	4
LAM Chi Hang	BAH723	Licensed Representative	6
LAM Chi Ho, Edwin	BAI049	Licensed Representative	10
LAM Chun Pan	BAH722	Licensed Representative	1
LAM King Sau	BAI839	Licensed Representative	1, 4, 6
LAM Sau Kwan	APJ136	Licensed Representative	1
LAM Shuk Ki	BAH890	Licensed Representative	1
LAM Suk Yee	BAH705	Licensed Representative	1
LAM Tung Tung	BAI406	Licensed Representative	6
LAM Wai Kiu	BAI753	Licensed Representative	3
LAM Wing Leung	BAK878	Licensed Representative	1
LAN Dong	AQF151	Licensed Representative	6
LAU Chi Shing	BAI285	Licensed Representative	1
LAU Hwa Jen	AJC307	Licensed Representative	4
LAU Ka Kit, Paul	ADU886	Licensed Representative	1, 9
LAU Ka, Johnette	ADX886	Licensed Representative	1, 4
LAU On Wai	AHC185	Licensed Representative	4, 9
LAU Suet Kan	AFL084	Licensed Representative	1
LAU Wai Chun	ACY158	Licensed Representative	1, 4, 9
LAU Wing Yi	BAH706	Licensed Representative	1
LAW Chi Kin Peter	BAH727	Licensed Representative	1
LAW Man Sing	BAK705	Licensed Representative	1
LAW Ping Tung	BAJ420	Licensed Representative	1
LE Xue	ARM838	Licensed Representative	4, 9
LEE Ching Hang	APF457	Licensed Representative	2, 5
LEE Heung Fai	BAK495	Licensed Representative	1, 4, 9
LEE Kwong Kwan	BAI416	Licensed Representative	3
LEE Wanda Wai Hung	AQX730	Licensed Representative	1, 4
LEE Won Jong	AFU204	Licensed Representative	1, 4, 6, 9
LEUNG Chi Kit, Jansen	ADY630	Licensed Representative	9
LEUNG How Ying Ida	BAJ122	Licensed Representative	1, 4, 9
LEUNG Kiu Fung	BAK497	Licensed Representative	1
LI Aiyan	BAC324	Licensed Representative	6
LI Cheuk Yin Clive	BAJ284	Licensed Representative	3
LI Dong	BAE317	Licensed Representative	6
LI Ge	BAI100	Licensed Representative	1, 2
LI Guanda	BAI359	Licensed Representative	4, 9
LI Hualiu	BAJ050	Licensed Representative	1
LI Ka Kit	BAH889	Licensed Representative	1
LI Lin	BAG335	Licensed Representative	2
LI Man Hei	BAH700	Licensed Representative	2
LI Michael Man Toa	BAH857	Licensed Representative	4
LI Nanzhou	BAC531	Licensed Representative	6
LI Peng	BAE312	Licensed Representative	6
LI Qi	BAK289	Licensed Representative	4, 6
LI Shasha	BAH326	Licensed Representative	1, 2
LI Weixin	BAI374	Licensed Representative	1, 6
LI Wing Ting Aiva	BAI186	Licensed Representative	1, 4, 6
LI Xiaochun	BAB305	Licensed Representative	6



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<b>CE Name</b>	<b>CE No.</b>	<b>Licence Type</b>	<b>Types of Regulated Activity</b>
LI Yangyang	BAA704	Licensed Representative	6
LI Yichen	BAI987	Licensed Representative	1, 6
LI Ying	BAH724	Licensed Representative	6
LI Yu	AOB358	Licensed Representative	9
LI Yuen Shan, Sandi	BAI050	Licensed Representative	6
LI Zhengxian	BAK269	Licensed Representative	1
LI Zhifeng	BAI763	Licensed Representative	1, 4
LI Zhuozhuo	BAH969	Licensed Representative	1
LIANG Ting	BAA343	Licensed Representative	4
LIAO Jun	BAA713	Licensed Representative	6
LIAO Yining	BAB696	Licensed Representative	6
LIAO Zhiqiang	BAB851	Licensed Representative	4
LIN Chih-Yuan	BAH383	Licensed Representative	4
LIN Ruijing	BAC535	Licensed Representative	6
LIN Yan Jenny	AUI064	Licensed Representative	6
LIU Chia-yun	BAJ488	Licensed Representative	1, 2
LIU Hanqing	BAC327	Licensed Representative	6
LIU Ho Man Bonnie	AVJ118	Licensed Representative	1
LIU Jun	AZX856	Licensed Representative	4
LIU Qi	BAC158	Licensed Representative	6
LIU Quanquan	BAA709	Licensed Representative	6
LIU Shuk Hin	AUW342	Licensed Representative	1, 2
LIU Theodora Elesia	BAH725	Licensed Representative	6
LIU Tsan Ching	BAH631	Licensed Representative	1
LIU Yiou	BAI182	Licensed Representative	6
LIU Zheng	AZZ306	Licensed Representative	4
LO Jonathan Kam Pui	BAJ109	Licensed Representative	1
LOK Chin Tung, Terence	BAI193	Licensed Representative	4
LOKE Wai Ming	AIB803	Licensed Representative	1, 4
LOO Sai Cheong	AFL150	Licensed Representative	1, 4
LOXTON Hayden Derek	BAI471	Licensed Representative	1, 4, 9
LU Yingwen	BAH630	Licensed Representative	4, 9
LUI Chi Man	BAI751	Licensed Representative	6
LUI Lui	BAI190	Licensed Representative	9
LUK Chiu Kwong	ACX939	Licensed Representative	1
LUK Kin Keung	BAI837	Licensed Representative	4
LUNG Man Yin, Mandy	BAI277	Licensed Representative	1
LUO Yiping	BAA715	Licensed Representative	6
LUO Yiwen	BAH392	Licensed Representative	9
MAK Ho Ming	BAJ419	Licensed Representative	1
MAK Kam Hoong	BAI015	Licensed Representative	1
MAK Siu Fung	BAJ173	Licensed Representative	1, 2
MANSE Alexander Patrick	BAC089	Licensed Representative	1
MONAGHAN Gary Stuart	BAJ313	Licensed Representative	1, 9
NAPA Karis Liam Johann Sese	AZE835	Licensed Representative	1, 2, 4
NEHME Violette	BAH396	Licensed Representative	1, 2
NG Kara Kar-hay	BAJ113	Licensed Representative	1
NG Keng Luen	BAH967	Licensed Representative	1, 4
NG Pak Yin, Gary	BAI195	Licensed Representative	9
NG Siu Lun Samson	ARO283	Licensed Representative	1, 2
NG Ting Ho	AQM058	Licensed Representative	1





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<b>CE Name</b>	<b>CE No.</b>	<b>Licence Type</b>	<b>Types of Regulated Activity</b>
NGAN Wing Chuen	BAH975	Licensed Representative	1
NOKE Freddy	ANA934	Licensed Representative	1
OHIRA Yoshihiko	BAE517	Licensed Representative	9
OLVER Parizad June	BAJ300	Licensed Representative	1, 4
OTREMBIA Andrew John	BAI288	Licensed Representative	1
PAK Hon Pan, Henry	BAJ270	Licensed Representative	1
PAN Hongwen	AZZ304	Licensed Representative	4
PAN Xingdong	BAA717	Licensed Representative	6
PANG Ming	BAH389	Licensed Representative	4
PANG Oi Wah, Judy	AKY572	Licensed Representative	1, 2
PARK Joonbum	BAI352	Licensed Representative	1
PARK Sung Eun	BAH611	Licensed Representative	9
PEH Yi Ping	BAH963	Licensed Representative	1, 4
PENG Lingtong	BAL084	Licensed Representative	1
PLUMBERG Kevin Kelii	BAG219	Licensed Representative	1, 4, 9
POON Fung	AYD001	Licensed Representative	1
PRADHAN Nishan Pulger	BAF491	Licensed Representative	4, 9
QI Helong	BAK470	Licensed Representative	1
QI Ming	BAC067	Licensed Representative	6
QIAN Cheng	ALW229	Licensed Representative	1, 2
QIN Qing	BAH726	Licensed Representative	6
RAMAEKERS Vincent	BAJ603	Licensed Representative	1, 6
REN Wenjing	AZW877	Licensed Representative	1, 2, 9
RIZALDY Arman	AQD645	Licensed Representative	9
ROY CHOUDHURY Archana	AED263	Licensed Representative	1, 4
RYAN Alastair William	BAJ168	Licensed Representative	4
SAHU Srimanta Kumar	BAH600	Licensed Representative	1, 6
SCHOENBACH Christopher Rainer Gerhard	BAE027	Licensed Representative	3
SHAO Jie	BAE307	Licensed Representative	6
SHEKHAWAT Shilesh	AUE958	Licensed Representative	1, 4, 7
SHEKHAWAT Tushar	BAI990	Licensed Representative	1, 4
SHEN Chun Yu	BAH994	Licensed Representative	1, 4
SHI Rongbing	BAH362	Licensed Representative	1, 6
SHONHARD Neil Clive	AYW713	Licensed Representative	1, 2
SHUM Anthony Chi-chung	AFR216	Licensed Representative	1, 4, 6
SHUM Wing Chun	BAI858	Licensed Representative	1
SIU Mei Suet	BAI004	Licensed Representative	1
SIU Wing Man	BAJ174	Licensed Representative	1
SMITH Simon Garnet	BAI180	Licensed Representative	6
SO Wing Shan Susanna	BAI830	Licensed Representative	1, 4
SO Yiu Wing	ABQ766	Licensed Representative	1, 4
SPINA Edoardo	BAG342	Licensed Representative	1
SU Chen	BAC532	Licensed Representative	6
SUEN To Ham	APL837	Licensed Representative	1, 4, 9
SUN Lijun	BAC326	Licensed Representative	6
SUN Linglan	AVR735	Licensed Representative	2, 5
SUN Siming	APX180	Licensed Representative	6
SUN Xiaolu	AYT327	Licensed Representative	9
SUN Yuan	BAK298	Licensed Representative	6
SUNG Siu Chung	BAE505	Licensed Representative	1, 4, 9
SUNG Wing Sze	BAG443	Licensed Representative	1, 3



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<b>CE Name</b>	<b>CE No.</b>	<b>Licence Type</b>	<b>Types of Regulated Activity</b>
SUTUNTIVORAKOON Debbi	BAJ273	Licensed Representative	4, 6, 9
SZETO Wai Man	BAH721	Licensed Representative	1
TAI Ho Kong	BAI046	Licensed Representative	1
TAKAHASHI Tetsuaki	BAI982	Licensed Representative	1, 2
TAM Chung Sang	BAJ049	Licensed Representative	1
TAN Jing	BAB695	Licensed Representative	6
TANG Bonan	BAL522	Licensed Representative	6
TANG Chui King	ARR413	Licensed Representative	1
TANG Shengbo	AYT154	Licensed Representative	4
TANG Yu Shun	BAH820	Licensed Representative	1
TAYLOR Leighton Michael	BAI845	Licensed Representative	1, 2
TERASAWA Satoshi	BAH716	Licensed Representative	1, 2
TEUT Richard Nicholas	BAH519	Licensed Representative	2
TIAN Cong	BAK391	Licensed Representative	3
TING Wai Lok	BAG338	Licensed Representative	1, 2
TONG Hon Wai	BAH612	Licensed Representative	1
TONG Tsz Chun	ATS073	Licensed Representative	1, 2
TSANG Kwun Kit	AQC647	Licensed Representative	1
TSANG Nga Sze, Donna	AYN587	Licensed Representative	1, 4
TSANG Shiu Hang	BAH507	Licensed Representative	1, 2
TSCHIDERER Guenter	BAJ028	Licensed Representative	1, 4
TSE Chi Ho	APB691	Licensed Representative	1, 2
TSOI Chun Kit	BAI715	Licensed Representative	1
TSOI Sze Yan	BAK271	Licensed Representative	4, 9
TSOI Yeung	ALF528	Licensed Representative	1
TSUI Wing Wun	BAI855	Licensed Representative	1
VAN HEUSDE Johannes Cornelis	BAK954	Licensed Representative	1, 9
VAZQUEZ NG Chau Po Teresa	AMI195	Licensed Representative	1, 4, 9
VISHWANATHAN Vimal	ARJ695	Licensed Representative	1, 4
WANG Biao	BAC182	Licensed Representative	10
WANG Chu	BAH829	Licensed Representative	1
WANG Da Qing	BAB056	Licensed Representative	1, 2
WANG Eliza Yizhou	BAI296	Licensed Representative	6
WANG Jiahui	BAD529	Licensed Representative	4
WANG Li	BAK280	Licensed Representative	6
WANG Lijuan	BAJ019	Licensed Representative	1, 4
WANG Nathan	ADJ636	Licensed Representative	1
WANG Pingping	AQI580	Licensed Representative	6
WANG Zhenxing	BAJ275	Licensed Representative	4, 9
WANG Zizhou	BAI041	Licensed Representative	1
WAT Chi Ming	ADU895	Licensed Representative	9
WONG Ka Chun	BAI761	Licensed Representative	1
WONG Ching Ping	ARH647	Licensed Representative	1, 2
WONG Ching Yi	AWV326	Licensed Representative	1
WONG Christopher	BAH614	Licensed Representative	9
WONG Chung	BAH712	Licensed Representative	1
WONG Hiu Yeung	BAH384	Licensed Representative	6
WONG Hon Ting	AMM331	Licensed Representative	6
WONG Ka Lai	AVN028	Licensed Representative	1
WONG Ka Yiu Steve	BAH949	Licensed Representative	4, 9
WONG Lung Shing	BAK355	Licensed Representative	3



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<b>CE Name</b>	<b>CE No.</b>	<b>Licence Type</b>	<b>Types of Regulated Activity</b>
WONG Man Hin Max	BAH730	Licensed Representative	1
WONG Patrick Chiu Yin	ARP713	Licensed Representative	4
WONG Po Shan, Rosana	BAH739	Licensed Representative	1, 2
WONG Wun Yuen	BAG337	Licensed Representative	2
WONG Ying Ki	BAK396	Licensed Representative	3
WONG Yu	BAK469	Licensed Representative	1
WRIGHT Finlay Francis Harry	AWL692	Licensed Representative	1, 4, 6
WU Cheng-miao	BAK536	Licensed Representative	1
WU Jianfeng	BAA705	Licensed Representative	6
WU Lingxi	BAE313	Licensed Representative	6
WU Lo Ling	BAH707	Licensed Representative	6
XIA Tian	AYJ595	Licensed Representative	4
XIA Yuyang	AZZ256	Licensed Representative	6
XIANG Jie	BAK381	Licensed Representative	3
XIANG Yinan	BAA725	Licensed Representative	6
XIE Hongyun	BAI365	Licensed Representative	1
XU Jie	BAH729	Licensed Representative	6
XU Liang	BAF518	Licensed Representative	6
XU Mengmeng	BAH583	Licensed Representative	1, 4, 9
XU Peisi	BAH394	Licensed Representative	1, 4
XU Xiaolei	BAG336	Licensed Representative	2
XU Yimin	BAA731	Licensed Representative	6
YAMAMOTO Yoko	BAG441	Licensed Representative	4
YANG Bingnan	APL678	Licensed Representative	6
YANG Bohan	AWH555	Licensed Representative	1
YANG Huai	AGB725	Licensed Representative	6
YANG Jiping	BAC066	Licensed Representative	6
YANGEKSAKUL Annie	BAK474	Licensed Representative	1, 2
YAO Xiaoyang	BAB306	Licensed Representative	6
YAO Yao	BAJ175	Licensed Representative	1
YAP Sze Sze	BAI297	Licensed Representative	1, 4, 9
YEUNG Irene	BAH984	Licensed Representative	1
YEUNG Kit Sum, Beata	AFH095	Licensed Representative	1
YEUNG Yat Sang, Nelson	ACS128	Licensed Representative	1
YIN Yin	ATY281	Licensed Representative	1, 4, 5
YIP Ching Fung	BAI477	Licensed Representative	1
YIP Fung, James	BAI852	Licensed Representative	1, 6
YIP Lo	BAE818	Licensed Representative	1, 6
YIP Weng Foo	BAI179	Licensed Representative	1
YIU Ho Ching	AFR594	Licensed Representative	1
YONEMOTO Yuzo	AZY703	Licensed Representative	1, 4
YOO Jin Woo	BAF627	Licensed Representative	1
YOUNG Ho Yip Alan	AGN028	Licensed Representative	1, 4, 9
YU Hailian	AUH482	Licensed Representative	4
YU Hon Man, Herman	ASH712	Licensed Representative	1
YU See Mun	BAI954	Licensed Representative	4, 9
YUE Wan Chi	BAH489	Licensed Representative	1
YUEN Kin Yuk	APL591	Licensed Representative	1
YUEN Man Ho	BAK282	Licensed Representative	1, 4
ZENG Hao	AZX866	Licensed Representative	4
ZHANG Chao	BAK268	Licensed Representative	4, 9





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<b>CE Name</b>	<b>CE No.</b>	<b>Licence Type</b>	<b>Types of Regulated Activity</b>
ZHANG Chi	AZX863	Licensed Representative	1, 2
ZHANG Jin	BAK692	Licensed Representative	6
ZHANG Yang	BAA720	Licensed Representative	6
ZHAO Yang	ARS552	Licensed Representative	1, 4, 9
ZHAO Yuan	AUZ791	Licensed Representative	6
ZHAO Yuan	BAA724	Licensed Representative	6
ZHONG Linlin	BAH322	Licensed Representative	9
ZHOU Daijun	BAJ601	Licensed Representative	1
ZHOU Juan	AZY878	Licensed Representative	1
ZHOU Yu	AZX864	Licensed Representative	4
ZUO Dingliang	BAH731	Licensed Representative	6
BINWANI Ashok M	AZW123	Licensed Representative - Responsible Officer	4, 5
CHANG Yung Kang, Peter	AGU143	Licensed Representative - Responsible Officer	9
COTRONEO Tommaso	AQI795	Licensed Representative - Responsible Officer	1
GAN Ker Ann	ASU034	Licensed Representative - Responsible Officer	1, 4
HEATH James Edward	BAA701	Licensed Representative - Responsible Officer	4
HUSTON Richard John Winton	AEZ323	Licensed Representative - Responsible Officer	1
KENNEDY Stephen Paca	ANG616	Licensed Representative - Responsible Officer	1
LAU Kwok Ying	AFE228	Licensed Representative - Responsible Officer	1, 4
LAU Yat Sing, Simon	BAA702	Licensed Representative - Responsible Officer	4
LEE Don Dongki	BAI305	Licensed Representative - Responsible Officer	9
LEE Francis Min-See	AZY794	Licensed Representative - Responsible Officer	4, 9
LEE Shuk Ying, Nancy	AAI586	Licensed Representative - Responsible Officer	4, 9
LEUNG Ping Shun	BAH735	Licensed Representative - Responsible Officer	4
LEUNG Yan	AXV599	Licensed Representative - Responsible Officer	4, 9
LONG Matthew Nathan	AHE130	Licensed Representative - Responsible Officer	1
LOW Taek Jho	AZT418	Licensed Representative - Responsible Officer	1, 4
LOW Taek Szen	AJM286	Licensed Representative - Responsible Officer	1, 4
MA Wai Yee, Christine	AXK803	Licensed Representative - Responsible Officer	9
MALIK Rikki	AEW095	Licensed Representative - Responsible Officer	9
MIVELAZ Olivier Pascal	ABE525	Licensed Representative - Responsible Officer	4, 9
ORA Avo Erik	BAD558	Licensed Representative - Responsible Officer	4, 9
PIRE Timothy James	BAE177	Licensed Representative - Responsible Officer	9
SEET Li Lin	AZT436	Licensed Representative - Responsible Officer	1, 4
TAN Ming Kiu, John	AEK216	Licensed Representative - Responsible Officer	1, 4, 6
WANG Yawei	BAH714	Licensed Representative - Responsible Officer	9
WHITE John Risely	BAE179	Licensed Representative - Responsible Officer	9
WONG Kim Ming	AHU702	Licensed Representative - Responsible Officer	4, 5
WU Weiwei	BAH842	Licensed Representative - Responsible Officer	9
ZHOU Jing	AZY788	Licensed Representative - Responsible Officer	4, 9
ZHOU Wentong	AEO615	Licensed Representative - Responsible Officer	4, 9
ZHOU Xin	ALZ834	Licensed Representative - Responsible Officer	4, 9
AHLAWAT Mahesh	BAM358	Licensed Representative (Provisional Licence)	1, 4, 6
ALI-REDA Mohammed M GH SH	BAM999	Licensed Representative (Provisional Licence)	4, 9
ALMESHAL Noor A A I	BAN005	Licensed Representative (Provisional Licence)	4, 9
ALQATAMI Taibah M J A A	BAN007	Licensed Representative (Provisional Licence)	4, 9
BANWAIT Baneesh	BAJ417	Licensed Representative (Provisional Licence)	1, 2, 9
BEN DJEMIAA Nadia	BAM453	Licensed Representative (Provisional Licence)	1, 4, 5, 9
BEON Franck, Raymond, Germain	BAM672	Licensed Representative (Provisional Licence)	1, 2
BERNARDO Jessie	BAM369	Licensed Representative (Provisional Licence)	1, 6
BOEY Melvyn Kum Hoong	BAL119	Licensed Representative (Provisional Licence)	1, 4



**ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2012**

<b>CE Name</b>	<b>CE No.</b>	<b>Licence Type</b>	<b>Types of Regulated Activity</b>
BOUSHAHRI Ahmad A Q A M	BAM995	Licensed Representative (Provisional Licence)	4, 9
BRADLEY Aiden Parnell	BAL861	Licensed Representative (Provisional Licence)	4
BUNYAN Sean Brendan	BAM095	Licensed Representative (Provisional Licence)	1, 2
CAMPBELL Lachlan Gordon	ADU213	Licensed Representative (Provisional Licence)	4, 9
CHAN Andy Yue	BAK502	Licensed Representative (Provisional Licence)	4
CHAN Kiu Dik, Dixon	ATC161	Licensed Representative (Provisional Licence)	4, 9
CHAN Kwun Siu, Frankie	ASD479	Licensed Representative (Provisional Licence)	1, 4
CHAN Sui On	AOY504	Licensed Representative (Provisional Licence)	1, 2
CHAN Tai Yu	AWI794	Licensed Representative (Provisional Licence)	10
CHAN Tak Lung	BAN132	Licensed Representative (Provisional Licence)	1, 2
CHAN Wing Yee	BAN303	Licensed Representative (Provisional Licence)	1
CHAN Yuk Ki	BAL576	Licensed Representative (Provisional Licence)	1, 2
CHANG Carmen	AVS344	Licensed Representative (Provisional Licence)	1, 4
CHANG Lin Yun	BAJ479	Licensed Representative (Provisional Licence)	1, 4, 9
CHANG Monica L	ARN814	Licensed Representative (Provisional Licence)	6
CHAU Man Fai, Ricky	AVM774	Licensed Representative (Provisional Licence)	4, 5, 9
CHEN Kai Yun	AMJ189	Licensed Representative (Provisional Licence)	1
CHEN Tzu-hsuan	BAL205	Licensed Representative (Provisional Licence)	1, 4
CHEN Xiaohua	BAM436	Licensed Representative (Provisional Licence)	2
CHEN Yani	AVS845	Licensed Representative (Provisional Licence)	1, 4
CHENG Andre An-Chun	BAN243	Licensed Representative (Provisional Licence)	4, 6
CHENG Ka Leung	BAM522	Licensed Representative (Provisional Licence)	1
CHENG Yuen Man	BAJ473	Licensed Representative (Provisional Licence)	1, 2
CHEUNG Leung	BAL845	Licensed Representative (Provisional Licence)	6
CHEUNG Man Chung	BAL345	Licensed Representative (Provisional Licence)	1
CHEW Siong Yew, Alvin	BAK955	Licensed Representative (Provisional Licence)	1, 4, 9
CHIEN Grace Liang-jung	AEM911	Licensed Representative (Provisional Licence)	1, 4
CHIU Nan-Chang	BAK270	Licensed Representative (Provisional Licence)	1, 6
CHOI Wai	ADN272	Licensed Representative (Provisional Licence)	10
CHOU Tsz Mei	BAM430	Licensed Representative (Provisional Licence)	6
CHOY Tak Sum	BAJ163	Licensed Representative (Provisional Licence)	9
CHU Wen-Hsien	AOY184	Licensed Representative (Provisional Licence)	9
CHUNG Chu Wah, Eric	BAK508	Licensed Representative (Provisional Licence)	1
CORBETT Christopher John	BAM511	Licensed Representative (Provisional Licence)	1, 2
CRUTCHLEY John-Paul	BAK485	Licensed Representative (Provisional Licence)	4
DALGLEISH Andrew Philip	BAN228	Licensed Representative (Provisional Licence)	1
DING Rui	BAL787	Licensed Representative (Provisional Licence)	4
EL BAHARI Youssef	BAL997	Licensed Representative (Provisional Licence)	1, 2
FALCETTI Emilia	AVY300	Licensed Representative (Provisional Licence)	4
FALCO Jennifer Mary	BAL507	Licensed Representative (Provisional Licence)	1
FAN Chi Wai, Simon	AGB716	Licensed Representative (Provisional Licence)	1
FAN Yu-heng	AXW653	Licensed Representative (Provisional Licence)	4
FERRES Nicholas Leigh	BAL986	Licensed Representative (Provisional Licence)	1, 4
FORMAN Claes Henrik	BAL225	Licensed Representative (Provisional Licence)	6
GOYAL Prateek	BAM495	Licensed Representative (Provisional Licence)	1, 6
GRAINGER Morgan Anne	AXG147	Licensed Representative (Provisional Licence)	9
GRATON Adrien	BAK767	Licensed Representative (Provisional Licence)	1, 2
GROSSMAN Benjamin Mark	BAK520	Licensed Representative (Provisional Licence)	4
GUAN Lei	BAM109	Licensed Representative (Provisional Licence)	9
GUELEN Pierre Francois Raymond	BAM492	Licensed Representative (Provisional Licence)	1, 2
GUO Feng	APO471	Licensed Representative (Provisional Licence)	1, 9



**ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2012**

<b>CE Name</b>	<b>CE No.</b>	<b>Licence Type</b>	<b>Types of Regulated Activity</b>
HAHM Eui Hwan	ACV950	Licensed Representative (Provisional Licence)	1, 6
HASSAM Shehzad Sikander	AZC272	Licensed Representative (Provisional Licence)	1, 2
HE Hui	BAK279	Licensed Representative (Provisional Licence)	1, 4
HE Wei	BAK475	Licensed Representative (Provisional Licence)	1, 6
HE Zhiqiang	BAL850	Licensed Representative (Provisional Licence)	2
HEASMAN Nicholas James	ART784	Licensed Representative (Provisional Licence)	1
HERBERT Thomas William	BAI196	Licensed Representative (Provisional Licence)	1, 2
HO Chi Yun, Connie	AOA083	Licensed Representative (Provisional Licence)	1
HO Lok Man, Tiffany	AUV994	Licensed Representative (Provisional Licence)	1, 4
HO Man Ho, Michael	BAK701	Licensed Representative (Provisional Licence)	1
HO Tsz Shek	BAM248	Licensed Representative (Provisional Licence)	2
HON Chin Wing	BAG058	Licensed Representative (Provisional Licence)	1, 4, 9
HONG Jonathan Dean	ARG553	Licensed Representative (Provisional Licence)	1, 4
HONG Mei	BAM634	Licensed Representative (Provisional Licence)	4, 9
HOUDEYE Cedric Abraham Avi	AUN368	Licensed Representative (Provisional Licence)	1, 2
HU Chih-ching, Rebecca	AVH746	Licensed Representative (Provisional Licence)	1
HU Wenqian	BAK772	Licensed Representative (Provisional Licence)	4
HUANG Chi Chen	AWL536	Licensed Representative (Provisional Licence)	1
HUANG Liwen	AWU004	Licensed Representative (Provisional Licence)	10
HUANG Po-Chun	ALV267	Licensed Representative (Provisional Licence)	1
HUI Yik Seong	BAK907	Licensed Representative (Provisional Licence)	1, 6
HUNG Chia Ling	AJM823	Licensed Representative (Provisional Licence)	1, 4
HUO Dengjin	BAN046	Licensed Representative (Provisional Licence)	6
HUSTWAYTE David Mark	BAM105	Licensed Representative (Provisional Licence)	1
IP Chin Chung	BAK884	Licensed Representative (Provisional Licence)	2
IP Ho Hon	BAL971	Licensed Representative (Provisional Licence)	1, 2
IP Nai	BAK493	Licensed Representative (Provisional Licence)	1, 4
JIANG Yanqin	BAL788	Licensed Representative (Provisional Licence)	4
KAWAKITA Yasuhiko	AZV123	Licensed Representative (Provisional Licence)	1, 2
KE Ke	BAM434	Licensed Representative (Provisional Licence)	1, 4, 9
KIM Junnyun	AXW595	Licensed Representative (Provisional Licence)	1, 6
KIM Tony	BAI256	Licensed Representative (Provisional Licence)	6
KO Chiu Wai	BAK933	Licensed Representative (Provisional Licence)	6
KONG Kwun Lau	BAN204	Licensed Representative (Provisional Licence)	1, 2
KRATZ Bo Rolf Anders	ALD505	Licensed Representative (Provisional Licence)	1
KUNUGIMOTO Masataka	AXK965	Licensed Representative (Provisional Licence)	4
KUWABARA Lisa	BAM087	Licensed Representative (Provisional Licence)	1
LAI Man Yan	BAN205	Licensed Representative (Provisional Licence)	1
LAM Chak Shun, Jason	BAM915	Licensed Representative (Provisional Licence)	1
LAM King Sau	BAI839	Licensed Representative (Provisional Licence)	1, 4, 6
LAM Von Villy Mendoza	BAL419	Licensed Representative (Provisional Licence)	4, 9
LAM Yee Lok	BAE814	Licensed Representative (Provisional Licence)	1, 2
LAU Chi Lung	BAK408	Licensed Representative (Provisional Licence)	1
LAU Ka Chung	BAM357	Licensed Representative (Provisional Licence)	1, 2
LAW Chung Po, Wagner	AGJ134	Licensed Representative (Provisional Licence)	9
LAW Man Sing	BAK705	Licensed Representative (Provisional Licence)	1
LAW Pui Fai	BAL426	Licensed Representative (Provisional Licence)	1, 2
LEE Chun Kit	BAM328	Licensed Representative (Provisional Licence)	1, 2
LEE Chun Man	BAL777	Licensed Representative (Provisional Licence)	10
LEE Danny Yiu Fai	AGO243	Licensed Representative (Provisional Licence)	1, 6
LEE Euisup	AOC912	Licensed Representative (Provisional Licence)	1, 4



**ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2012**

<b>CE Name</b>	<b>CE No.</b>	<b>Licence Type</b>	<b>Types of Regulated Activity</b>
LEE Kit Yu	BAM855	Licensed Representative (Provisional Licence)	1
LEE Min Ha	ARN389	Licensed Representative (Provisional Licence)	1, 2
LEE Pui Ki, Peggy	ADR661	Licensed Representative (Provisional Licence)	9
LEUNG Chuk Kwan Patty	BAL422	Licensed Representative (Provisional Licence)	1, 4
LEUNG Jeffery David	BAL428	Licensed Representative (Provisional Licence)	4, 9
LEUNG Ming Hung	BAM698	Licensed Representative (Provisional Licence)	3
LI Henry Joseph	BAK879	Licensed Representative (Provisional Licence)	6
LI Jiang Zheng	AQQ665	Licensed Representative (Provisional Licence)	1, 2
LI Wai Hing, Yuki	BAI900	Licensed Representative (Provisional Licence)	1, 4
LI Weixin	BAI374	Licensed Representative (Provisional Licence)	1, 6
LIN Gary	BAL418	Licensed Representative (Provisional Licence)	3
LIN Ye	BAM249	Licensed Representative (Provisional Licence)	4
LING Hau Yan	BAK942	Licensed Representative (Provisional Licence)	1
LIU Bojin	BAK971	Licensed Representative (Provisional Licence)	1
LIU Jingfeng	BAM212	Licensed Representative (Provisional Licence)	1, 2, 9
LIU Miao	BAK406	Licensed Representative (Provisional Licence)	1
LO Ka Bik, Elmen	BAK711	Licensed Representative (Provisional Licence)	1
LU Nanshu	BAM520	Licensed Representative (Provisional Licence)	1
LU Pen-Cheng	BAJ600	Licensed Representative (Provisional Licence)	2
LUI Man Lok Mandy	BAI757	Licensed Representative (Provisional Licence)	1, 4, 9
LUI Man To Lorraine	BAK522	Licensed Representative (Provisional Licence)	1
LUK Hou Him	BAL083	Licensed Representative (Provisional Licence)	1
MA Christopher Wen-Hao	BAK483	Licensed Representative (Provisional Licence)	9
MAO Xinyu	BAM355	Licensed Representative (Provisional Licence)	1
MASON Grant Maurice	BAN012	Licensed Representative (Provisional Licence)	1, 4, 9
MATHUR Siddharth	BAM085	Licensed Representative (Provisional Licence)	4
MATSUURA Hiroki	BAK380	Licensed Representative (Provisional Licence)	1, 4
MCCAFFERTY James Stephen	BAM438	Licensed Representative (Provisional Licence)	4
MILLER Matthew James	BAI951	Licensed Representative (Provisional Licence)	1, 2
MILLWOOD Daniel John Michael	AZX600	Licensed Representative (Provisional Licence)	1
MOK Yiu Wing	BAO174	Licensed Representative (Provisional Licence)	1
MORANE-GRIFFITHS Richard Alastair Robert	BAM424	Licensed Representative (Provisional Licence)	1, 6
NEMA Naoshi	ANH179	Licensed Representative (Provisional Licence)	4
NG Keng Luen	BAH967	Licensed Representative (Provisional Licence)	1, 4
NG Siu Hang	ATL550	Licensed Representative (Provisional Licence)	2
NGUYEN Ignace Nam	BAM034	Licensed Representative (Provisional Licence)	1, 4
NOKE Freddy	ANA934	Licensed Representative (Provisional Licence)	1
ONCEL Berkay	BAL503	Licensed Representative (Provisional Licence)	1
PANG Pak Ho	BAL420	Licensed Representative (Provisional Licence)	1
PARK Joonbum	BAI352	Licensed Representative (Provisional Licence)	1
PARK Sung Yul	BAM219	Licensed Representative (Provisional Licence)	1, 4, 9
PHILLIPS Alexander Cameron	BAL970	Licensed Representative (Provisional Licence)	1, 2, 7
PIEDRASANTA Britten Bavani	BAM766	Licensed Representative (Provisional Licence)	1, 4
PRAWITZ Alexander Gunter Peter	AZC709	Licensed Representative (Provisional Licence)	1, 4
PUN Kai Cheung	ADR182	Licensed Representative (Provisional Licence)	1
QIAO Di	BAL917	Licensed Representative (Provisional Licence)	1, 4
RAMAEKERS Vincent	BAJ603	Licensed Representative (Provisional Licence)	1, 6
RAO Ashish Kishore	BAN143	Licensed Representative (Provisional Licence)	1, 4
REDHEAD Peter	ADG061	Licensed Representative (Provisional Licence)	4
REYLE IV William John	BAN055	Licensed Representative (Provisional Licence)	1, 2
RILEY Stuart	BAK697	Licensed Representative (Provisional Licence)	1, 2





**ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2012**

<b>CE Name</b>	<b>CE No.</b>	<b>Licence Type</b>	<b>Types of Regulated Activity</b>
ROCKS Timothy Ignatius	ALN243	Licensed Representative (Provisional Licence)	4
RUDE Michael Gene	BAJ274	Licensed Representative (Provisional Licence)	1, 2
SAITO Katsushi	ATW220	Licensed Representative (Provisional Licence)	4
SAWANO Norihiko	BAL551	Licensed Representative (Provisional Licence)	4
SHE Chiu Yin, Duncan	AAJ218	Licensed Representative (Provisional Licence)	1, 2, 4, 5
SHI Ping	BAL748	Licensed Representative (Provisional Licence)	6
SHI Shao Hua	AOE809	Licensed Representative (Provisional Licence)	1, 4, 9
SHIM Seung Kyu	AOQ592	Licensed Representative (Provisional Licence)	1, 4
SHINOHARA Kohei	BAL578	Licensed Representative (Provisional Licence)	9
SHU Hon Tak	BAN047	Licensed Representative (Provisional Licence)	1, 2
SHUM Katharine Ka Wai	BAK931	Licensed Representative (Provisional Licence)	1
SO Tat Man	AGG842	Licensed Representative (Provisional Licence)	9
SONG Gisuk	BAM916	Licensed Representative (Provisional Licence)	1, 4
SOO Chi Kit	AOI967	Licensed Representative (Provisional Licence)	1
SOONG Eik Hung	BAK958	Licensed Representative (Provisional Licence)	6
STANWELL Derek James Ian	BAK498	Licensed Representative (Provisional Licence)	1, 6
SUEN Ka Kit	BAM439	Licensed Representative (Provisional Licence)	1, 4
SUEN To Ham	APL837	Licensed Representative (Provisional Licence)	1, 4, 9
SUN Yang	BAL785	Licensed Representative (Provisional Licence)	4
SUN Yuan	BAK298	Licensed Representative (Provisional Licence)	6
SYLVAIN Frank Antoine Vanon	BAL553	Licensed Representative (Provisional Licence)	1, 2, 4
TAI Wai Lam	AQT312	Licensed Representative (Provisional Licence)	1, 4
TAKAHASHI Tetsuaki	BAI982	Licensed Representative (Provisional Licence)	1, 2
TANG Huaxiang	BAK537	Licensed Representative (Provisional Licence)	4
TANG Shengbo	AYT154	Licensed Representative (Provisional Licence)	4
TAO Lei	BAM419	Licensed Representative (Provisional Licence)	1, 4
TAY Chien Thuan, Francis	APB099	Licensed Representative (Provisional Licence)	1, 4, 9
TAY Chin Seng	AML202	Licensed Representative (Provisional Licence)	1, 4
TIAN Cong	BAK391	Licensed Representative (Provisional Licence)	3
TONG Wai Ho	BAL969	Licensed Representative (Provisional Licence)	1, 4, 6
TSANG Chui Ha	AOO003	Licensed Representative (Provisional Licence)	1, 4
TSANG Heung Lung	BAN247	Licensed Representative (Provisional Licence)	1
TSANG Kwun Kit	AQC647	Licensed Representative (Provisional Licence)	1
TSANG Louie Ka Yu	BAM851	Licensed Representative (Provisional Licence)	1, 2, 7
TSANG Wai Lun	AQY698	Licensed Representative (Provisional Licence)	1, 4, 9
TSE Shing Chi	BAK932	Licensed Representative (Provisional Licence)	1, 2, 3
TSE Wing Keung	ACJ320	Licensed Representative (Provisional Licence)	1, 4
VAN DER SCHAFT Pieter	ADW623	Licensed Representative (Provisional Licence)	1, 4, 9
VAN DIJK Arthur Cornelis Alexander	ALR730	Licensed Representative (Provisional Licence)	1, 6
VAN HEUSDE Johannes Cornelis	BAK954	Licensed Representative (Provisional Licence)	1, 9
VELUPPILLAI Sinthujan	BAK939	Licensed Representative (Provisional Licence)	4, 9
WAN Yuet Wei	AEZ763	Licensed Representative (Provisional Licence)	9
WANG Albert	APQ327	Licensed Representative (Provisional Licence)	9
WANG Lai	BAL857	Licensed Representative (Provisional Licence)	3
WANG Li	BAK280	Licensed Representative (Provisional Licence)	6
WANG Pui Oi	AEQ083	Licensed Representative (Provisional Licence)	1
WANG Shengqiang	AYJ883	Licensed Representative (Provisional Licence)	4, 9
WANG Shih-ya	BAN232	Licensed Representative (Provisional Licence)	1, 2
WANG Yingsi	BAK952	Licensed Representative (Provisional Licence)	4, 9
WEE Ern, Timothy	AMY443	Licensed Representative (Provisional Licence)	1, 6
WEISS David Lawrence	BAN010	Licensed Representative (Provisional Licence)	1, 4





**ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2012**

<b>CE Name</b>	<b>CE No.</b>	<b>Licence Type</b>	<b>Types of Regulated Activity</b>
WHYATT Nicholas Matthew Alexander	BAJ268	Licensed Representative (Provisional Licence)	9
WILLIAMS Troy Christopher	BAJ269	Licensed Representative (Provisional Licence)	4
WONG Hoi Yan Kathy	BAL982	Licensed Representative (Provisional Licence)	1, 4
WONG Kai Yin, David	BAM519	Licensed Representative (Provisional Licence)	1
WONG Kei Yiu	BAM964	Licensed Representative (Provisional Licence)	6
WONG Ling Sze, Susanna	ALZ486	Licensed Representative (Provisional Licence)	1, 4
WONG Mei Po, Mabel	AFQ488	Licensed Representative (Provisional Licence)	1, 4, 9
WONG Wing Tat	AJE110	Licensed Representative (Provisional Licence)	4, 9
WONG Yu Pak, Connie	BAM356	Licensed Representative (Provisional Licence)	10
WU Andrew Kai	BAK957	Licensed Representative (Provisional Licence)	9
WU Kai Ming	BAL118	Licensed Representative (Provisional Licence)	1, 4, 9
WU Miaodan	BAO340	Licensed Representative (Provisional Licence)	9
WU Shuang	BAL427	Licensed Representative (Provisional Licence)	4
WU Zhenxiang	BAM437	Licensed Representative (Provisional Licence)	4, 9
XIAN Qing	BAL746	Licensed Representative (Provisional Licence)	1, 4, 9
XIANG Jie	BAK381	Licensed Representative (Provisional Licence)	3
XIE Hongyun	BAI365	Licensed Representative (Provisional Licence)	1
XIONG Jing	BAN219	Licensed Representative (Provisional Licence)	2, 5
XIONG Li	BAI988	Licensed Representative (Provisional Licence)	4
YANG Sha	BAK404	Licensed Representative (Provisional Licence)	1, 2
YANG Wei	BAN304	Licensed Representative (Provisional Licence)	1
YANG Wen	BAL564	Licensed Representative (Provisional Licence)	1
YANGEKSAKUL Annie	BAK474	Licensed Representative (Provisional Licence)	1, 2
YAP Sze Sze	BAI297	Licensed Representative (Provisional Licence)	1, 4, 9
YEUNG Chun Hei	AOO273	Licensed Representative (Provisional Licence)	1, 4
YEUNG Lui Ming	AZG280	Licensed Representative (Provisional Licence)	1, 4, 6
YEUNG Siu Hang	BAO008	Licensed Representative (Provisional Licence)	1
YEUNG Tsz Lap	BAN203	Licensed Representative (Provisional Licence)	1
YEUNG Wai Faat	BAL979	Licensed Representative (Provisional Licence)	1
YING Wing Ho, Peter	BAM229	Licensed Representative (Provisional Licence)	1, 6
YU Mao	BAN026	Licensed Representative (Provisional Licence)	1, 6
YU Wenjun	BAM599	Licensed Representative (Provisional Licence)	4
YU Yiqi	BAL416	Licensed Representative (Provisional Licence)	1, 4
YUEN Man Ho	BAK282	Licensed Representative (Provisional Licence)	1, 4
ZHANG Chunxin	BAM431	Licensed Representative (Provisional Licence)	1
ZHANG Jin	BAK692	Licensed Representative (Provisional Licence)	6
ZHANG Peter Liang	BAM869	Licensed Representative (Provisional Licence)	1, 4
ZHANG Wenjin	BAK706	Licensed Representative (Provisional Licence)	6
ZHAO Zhuang	AYU644	Licensed Representative (Provisional Licence)	6
ZHENG Bao	BAK873	Licensed Representative (Provisional Licence)	1
ZHOU Daijun	BAJ601	Licensed Representative (Provisional Licence)	1
ZHOU Rongrong	BAO304	Licensed Representative (Provisional Licence)	4, 9
ZHU Qing	ADZ874	Licensed Representative (Provisional Licence)	4, 6
ZOU Wuqiu	BAK936	Licensed Representative (Provisional Licence)	1
AOKI Hidehiko	BAI638	Licensed Representative (Temporary Licence)	1, 4
ARAKI Tomohiro	AYH941	Licensed Representative (Temporary Licence)	4
AWYONG Shi Peng	BAL745	Licensed Representative (Temporary Licence)	1, 2
BASU Bhaskar Narayan	AOQ964	Licensed Representative (Temporary Licence)	1, 4
BAVOSO Mark Anthony	BAM753	Licensed Representative (Temporary Licence)	1
BAWEJA Bhanu	AXR105	Licensed Representative (Temporary Licence)	4
BEHERA Roshan Raj	ARP091	Licensed Representative (Temporary Licence)	1, 4



**ADDITIONS OF LICENSED PERSONS/REGISTERED INSTITUTIONS DURING 11/2012**

<b>CE Name</b>	<b>CE No.</b>	<b>Licence Type</b>	<b>Types of Regulated Activity</b>
BHATTACHARYYA Indranil	BAK471	Licensed Representative (Temporary Licence)	1
BOWLER Glen Stuart	BAJ470	Licensed Representative (Temporary Licence)	1
CAYEN Timothy John	BAK941	Licensed Representative (Temporary Licence)	4
CHEE Weng Wah	BAI847	Licensed Representative (Temporary Licence)	1, 4
CHING Yi Edmund	AKU003	Licensed Representative (Temporary Licence)	4
DE VRIES Derek Alan	BAJ285	Licensed Representative (Temporary Licence)	1, 4
DELMENICO Susan Jane	AQC327	Licensed Representative (Temporary Licence)	1
DUONG Kim Anh	BAN130	Licensed Representative (Temporary Licence)	1
ERRINGTON David Justin	BAM261	Licensed Representative (Temporary Licence)	1, 4
FORNARO LEFEVRE Celine	BAL508	Licensed Representative (Temporary Licence)	1, 4
GRIJNS Andrew Arnold	BAM236	Licensed Representative (Temporary Licence)	4
GUPTA Abhishek Kiran	BAL120	Licensed Representative (Temporary Licence)	1, 4
HAMBRO Evy Piers George	AOR313	Licensed Representative (Temporary Licence)	1, 4
HEMMANT Daniel William	ACR443	Licensed Representative (Temporary Licence)	4
HOLT Oliver James	BAM663	Licensed Representative (Temporary Licence)	1, 4, 6
JOINER Alexander Nicholas	BAM253	Licensed Representative (Temporary Licence)	1, 4
KAMIMURA Kotaro	AZI737	Licensed Representative (Temporary Licence)	1, 2
KOJIMA Nobuko	BAJ425	Licensed Representative (Temporary Licence)	1
KUMAR Anand	BAM352	Licensed Representative (Temporary Licence)	1, 4
KUSHMA Michael Bernard	BAJ311	Licensed Representative (Temporary Licence)	1
KWEK Kevin Siew Beng	AZN097	Licensed Representative (Temporary Licence)	4
LEE Hyuntaek	BAM066	Licensed Representative (Temporary Licence)	1
LEE Terry Tai-Suk	AMY783	Licensed Representative (Temporary Licence)	1
MAILER Scott Melrose	AXG140	Licensed Representative (Temporary Licence)	1
MAR Warren John	BAJ312	Licensed Representative (Temporary Licence)	1
MEHTA Mudit	BAL975	Licensed Representative (Temporary Licence)	1, 2
MEUNIER Francois Auguste Roger	BAM072	Licensed Representative (Temporary Licence)	1
MIN Chun Hong	BAL506	Licensed Representative (Temporary Licence)	1, 4
MIRANDA Stanley Burton	AXB801	Licensed Representative (Temporary Licence)	1, 4
MIWA Toshiyuki	AXB380	Licensed Representative (Temporary Licence)	1
MORGAN Glenn David	AWK540	Licensed Representative (Temporary Licence)	1
NESSHOLD Heinz	BAL985	Licensed Representative (Temporary Licence)	1, 4
NOGUCHI Mayumi	BAL380	Licensed Representative (Temporary Licence)	1
OKUBO Hiroshi	ATI154	Licensed Representative (Temporary Licence)	4
RONEY Scott Leigh	BAM049	Licensed Representative (Temporary Licence)	1
SAMBRUCK Jamie Richard	BAL429	Licensed Representative (Temporary Licence)	1
SATAPATHY Sanjaya Kumar	AML911	Licensed Representative (Temporary Licence)	1, 4
SATWALEKAR Avinash Deepak	BAN091	Licensed Representative (Temporary Licence)	1
SHELTON Janan Rebecca	BAK851	Licensed Representative (Temporary Licence)	1
STREET Lee Alexander	AUE090	Licensed Representative (Temporary Licence)	1
SUMMERFIELD David Angus	AEP603	Licensed Representative (Temporary Licence)	1
TROMAN Mark Antony	BAJ469	Licensed Representative (Temporary Licence)	1, 4
WENZEL Michael Bruce	APU308	Licensed Representative (Temporary Licence)	1
Erste Group Bank AG	AEX087	Registered Institution	1
RBC Capital Markets (Hong Kong) Limited	AVF500	Registered Institution	1, 4, 6