

## List of firms and individuals to be wary of, prior to May 2011

---

This is a list of firms or individuals previously published by the Securities Commission before the Financial Markets Authority was established in May 2011.

These firms/individuals were listed because they did not comply with New Zealand's financial services laws, or were not registered as a financial service provider in New Zealand. The 'published' date is the date on which each name was published on the Securities Commission website.

### A

#### Abacus International Capital Corp

The Abacus International Capital Corp listed has stolen the identity of a legitimate firm in the United States. The legitimate Abacus International Corp can be contacted by phone at (212) 285 4770 or by fax (212) 285 4136 or (212) 274 0107.

Published July 2007

#### Abbey House Acquisitions

Tower 42, 25 Old Broad St  
London  
EC2N 1HQ  
UNITED KINGDOM

Published March 2006

#### Alderman Associates Ltd

Arca Central Building  
14F 1-2-1 Kinshi Sumida-ku, 1300031  
Tokyo  
JAPAN

Phone: +81 3 4520 9536

Fax: +81 3 6385 7599

E-mail: [info@aldermanassociatesltd.com](mailto:info@aldermanassociatesltd.com)

Website: [www.aldermanassocitesltd.com](http://www.aldermanassocitesltd.com)

Associated individuals: John Davis; Elizabeth Dole; Jamie Glanfield; Terry Staley; Steven Ong

Published January 2010



## Alpha REIT Advisors Co., Ltd

1-9-20, Akasaka  
Minato-ku  
Tokyo, 107-0052  
JAPAN

Phone: + 8150 5539 8517  
Fax: + 813 5501 9694  
Website: [www.alphareitadvisors.com](http://www.alphareitadvisors.com)  
Email: [contact@alphareitadvisors.com](mailto:contact@alphareitadvisors.com)

Published March 2010

## American Financial Group

Ten G Street, NE 6th Floor  
Washington DC 20002  
UNITED STATES OF AMERICA

Phone: 852 1904 4132 also used is 1 800 2020 227  
Website: [www.amfigroup.com](http://www.amfigroup.com)  
Email: [info@amfigroup.com](mailto:info@amfigroup.com)

Associated individuals: Stephen O. Smith; Brandon Robertson; James Lander

Published September 2011

## Anderson Tate

4107 Emerald Street  
Boise  
Idaho 83706  
UNITED STATES OF AMERICA

Published January 2004

## Anova Corporate Services

222 Yanan Road East  
Shanghai  
CHINA 200002

Associated individual: Stuart Lucas

Published July 2004

## Apple Investment Company Pty Ltd.

Level 13, 50 Cavill Avenue  
Surfers Paradise  
Gold Coast, QLD 4217  
AUSTRALIA

Phone: +617 55 534 139  
Fax: +617 55 383 390



Email: [info@appleinvestmentcompany.com.au](mailto:info@appleinvestmentcompany.com.au)  
Website: [www.appleinvestmentcompany.com.au](http://www.appleinvestmentcompany.com.au)

Published October 2010

### Apple Investment Company Ltd.

Level 11, 48 Wall Street  
New York  
NY, 10005  
UNITED STATES OF AMERICA

Phone: +212 918 4952  
Fax: +212 918 4801  
Email: [info@appleinvestmentcompany.com](mailto:info@appleinvestmentcompany.com)  
Website: [www.appleinvestmentcompany.com](http://www.appleinvestmentcompany.com)

Published October 2010

### Arawack Portfolio Management Inc.

Sunlife Plaza, 144 - 4th Avenue SW  
Ste. 3600  
West Tower  
Calgary, AB T2P 3N4  
CANADA

Published October 2005

### Argus Capital Investment Corporation

Postbus 59366  
1040 KJ Amsterdam  
THE NETHERLANDS

Associated individual: Ted Davies

Published August 2001

### Asia Pacific Advisors Ltd

24 Fl Pu Fa Tower  
588 Pudong South Road  
Pudong  
Shanghai 2001200  
CHINA

Phone: +86 21 3126 9109  
Fax: +86 21 5107 9311  
Email: [noreply@asiapacificadvisors.com](mailto:noreply@asiapacificadvisors.com)  
Website: [www.asiapacificadvisors.com](http://www.asiapacificadvisors.com)

Associated individuals: Richard Kingman; Samuel Wong

Published August 2001



## Associated Financial Services

118 Broadway  
Fargo  
ND 58102  
40 Exchange Place, New York, NY 10005  
UNITED STATES OF AMERICA

NOTE: Not to be confused with the genuine: Associated Financial Services, Inc, 118 Broadway, Suite 504 (BLACK BLDG) PO Box 2163, FARGO ND 58102 USA Tel: +1-701-293-9434

Published June 2008

## Atlantic International Partners

01-03 Ocean Building  
10 Collyer Quay  
SINGAPORE 49315

Published May 2005

## Atlantis Mergers & Acquisition Group, Inc.

J P Morgan International Plaza  
Suite 1500  
14221 Dallas Parkaway  
Dallas  
Texas 75254  
UNITED STATES OF AMERICA

Published December 2005

## **B**

### Baros Corporation

2857 NW 78 Avenue  
Miami  
Florida  
UNITED STATES OF AMERICA

Published November 2004

### Baxter Financial Group Inc.

1040 Avenue of the Americas  
24th Floor  
New York  
NY 10018  
UNITED STATES OF AMERICA

Published April 2004



## Baycorp International Mergers & Acquisitions

9 Bei San Huan Dong Lu  
Chao Yang District  
Beijing 100029  
CHINA

Published August 2007

## Beacon Capital Management

70 Kimberly Road  
HONG KONG

(Beacon Capital Management, Hong Kong should not be confused with Beacon Capital Markets, LLC, UNITED STATES OF AMERICA or Beacon Capital Management Advisors, UNITED STATES OF AMERICA)

Published October 2005

## Beijing International Research Mergers and Acquisitions

3/F Building B  
E-Wing Center  
113 Zhichun Rd  
Haidan District  
Beijing 100086  
CHINA

Published June 2006

## Bell International Asset Management

12020 Shamrock Plaza  
Omaha, Nebraska 68154-3537  
UNITED STATES OF AMERICA

Published May 2005

## Benson Dupont Capital Management Inc.

14th Floor, Kamiya-cho Mori Bldg  
4-3-20 Toranomom  
Minato, Tokio  
JAPAN

Published August 2001

## Benson Dupont

Level 23, CP Tower  
313 Silom Road  
Bangkok 10500  
THAILAND

Associated individuals: Steve Wilson; Keith Nochman



Published August 2000

## Bentley Moore & Daines Sterling Strategies Group Limited

18 Avenue Louis-Casai  
Geneva 28  
1211  
SWITZERLAND

Published November 2003

## Berchmans Lee Company Inc.

1410 Herrera Tower  
Herrera Street  
Salcedo Village  
Makati  
Manila  
PHILIPPINES

Associated individual: Chris Carter

Published September 2000

## Berger Aron Macey

Suite 2700, 1240 Peachtree Street NE  
Atlanta, GA 30309  
UNITED STATES OF AMERICA

Published June 2007

## Berkely Financial

Associated individual: Harry Dean

Published November 2009

## Bernard Kaplan

The Mercantile Exchange  
30 South Wacker Drive, 22nd floor  
Chicago, Illinois 60606  
UNITED STATES OF AMERICA

Published June 2007

## Bernstein & Zeigler

10 Anson Road  
# 18-18 International Plaza  
SINGAPORE 079903

Associated individual: Henry Thornton

Published September 2002



## Bion, McConnan & Associates LLB

141 757 West Hastings St  
Suite 800  
Vancouver B.C.  
CANADA

Published September 2002

## BioMaxx Systems Inc.

Suite 1801  
1 Yonge Street  
Toronto  
Ontario M5E 1WS  
CANADA

Associated individual: Ralph Bayer

Published December 2007

## Boston Global Finance Inc.

Paragon Towers  
233 Needham Street, suite 300  
Newton MA 02464  
UNITED STATES OF AMERICA

Associated individual: Jessica Tyler

Published July 2004

## Bradford Kempner Investments Limited

Unit 1512, 15th Floor  
Q-House Asoke Building  
66 Sukhumvit 21 Road  
Klongtoey Nua  
Wattana  
Bangkok 10110  
THAILAND

Published September 2001

## Bradley, Chen & Associates


HONG KONG

Associated individual: David Lake

Published July 2004

## Bremer Finance Ltd

Howard Hughes Center  
6601 Center Drive, Suite 500



Los Angeles, CA 90045  
UNITED STATES OF AMERICA

Published August 2007

### Brooks Pearson Investment Limited

Wisma Danamon Aetna Life  
19th Floor, Jalan Jondral Sudirtnan  
Kauling 45-46  
Jakarta 12930  
INDONESIA

Published July 2001

### Brown & Company Trading Inc.

JAPAN

Published April 2007

### Brown & Burke Securities

339, La Salle St  
Chicago, IL 60605  
UNITED STATES OF AMERICA

Published May 2005

## C

### Can Am Acquisitions Inc.

ABC Center  
500 North Michigan Ave  
Suite 300  
Chicago Illinois 60611  
UNITED STATES OF AMERICA

Published March 2005

### Capital Assets Limited

Taipei Metro Building  
Suite D, 11/F  
No. 207 Tun Hwa South Road, Sec.2  
Taipei  
TAIWAN

Associated individual: Robert Mason

Published on this site March 2001





## Capital Growth Equities S.L.

Apartado de Correos 1057  
29600, Malaga  
SPAIN

Published December 2003

## Capital Management Group

340 South Main Street  
New City  
NY 10956  
UNITED STATES OF AMERICA

Associated individual: Thomas White

Published November 2004

## Capital Transfer Consolidated

410 Park Avenue, New York, NY 10022  
UNITED STATES OF AMERICA

Phone: + 1 212 359 1625  
Fax: + 1 212 918 3467  
Website: [www.capitalconsolidated.com](http://www.capitalconsolidated.com)  
Email: [info@capitalconsolidated.com](mailto:info@capitalconsolidated.com)

Associated individual: John Lewis

Published March 2009

## Capitol Transfer

1121 West Park Ave, Suite 100  
Los Angeles  
California 90021  
UNITED STATES OF AMERICA

Phone: +1 206 338 2159  
Fax: +1 323 421 9366  
Website: [www.capitoltransfer.com](http://www.capitoltransfer.com)  
Email: [capitol@capitoltransfer.com](mailto:capitol@capitoltransfer.com)

Associated individuals: Frank Roth; William Johnson

Published March 2009

## Castlepeak and Sons, Ltd

Blue Ash 11427 Reed Hartman Highway  
Cincinnati, OH 45241  
UNITED STATES OF AMERICA

Published on this site November 2005



## C & C Global Co., Limited

17th Floor UBC II Building  
Soi Sukhumvit 33  
Bangkok  
THAILAND

Published September 2001

## Central Capital Inc.

387 Ivy Street  
San Francisco  
California  
UNITED STATES OF AMERICA

New Bright Building  
11 Sheung Yuet Road  
HONGKONG

Published November 2002

## Century Capital Switzerland Limited

5 St John's Lane  
UK - ECIM4BH  
Phone: +44 20 7549 1668  
Fax: +44 20 7549 1669

Administrative Office  
Vanderpool Plaza  
Wickhams City 1  
PO Box 873  
Road Town  
BVI

Public relations  
15 East 57th Street  
New York, NY 10022  
UNITED STATES OF AMERICA  
Phone: +1 646 452 4767  
Fax: +1 646 356 6938

Email: [info@centurycapitaltd.com](mailto:info@centurycapitaltd.com)  
Website: [www.centurycapitaltd.com](http://www.centurycapitaltd.com)

Associated individuals: James Hayden; Garry Alexander; Michael Dundas

Published November 2006 (updated September 2008)

## Chabert Asset Management

Superior East Avenue  
Suite 1300 Cleveland



Ohio 44114  
UNITED STATES OF AMERICA

Published November 2005

### Chase Capital Inc.

405 Lexington Avenue  
Chrysler Building  
New York City  
NY 10174  
UNITED STATES OF AMERICA

Published February 2007

### Cheoy Lee Asset Management Asia

Hong Kong Office:  
Level 25, 1 Garden Road - China Tower  
HONG KONG

Belgium Office:  
106 Avenue Louise  
Brussels 1050  
BELGIUM

U.S. Office:  
225 Bush Street  
San Francisco CA 94104  
UNITED STATES OF AMERICA

Published October 2005

### Chicago Accounting

235 W Cermak Road  
Chicago IL 60616  
UNITED STATES OF AMERICA

Published on this site October 2005


### Chicago Board of Acquisition Inc

5801 South Ellis Ave  
Chicago  
Illinois, 60637  
UNITED STATES OF AMERICA

Published January 2004

### Citiexchange Group

Level 12 Hibiya Central Building  
1-2-9 Nishi Shimbashi Minato-Ku  
Tokyo  
JAPAN



Associated individual: Angela Roberts

Published June 2005

### CitiFund Asset Management, Inc.

399 Park Avenue  
8th Floor New York  
New York  
UNITED STATES OF AMERICA

NOTE: This firm is not associated with any legitimate businesses conducted by Citigroup or Citibank, some of which have offices at 399 Park Avenue in New York.

Published October 2007

### Clanvale Securities S.A.

Edificio Torre America  
Floor 3 Office 307  
Avenida Venezeula  
Bello Monte  
Caracas  
VENEZUELA

Edificio Paladium  
Oficina 5F  
4 Avenida 15-70 Zona 10  
Guatemala City  
GUATEMALA C.A. 01010

Associated individuals: Lance Ramsey; John Sparks; Charles Blundell

Published November 2001 & March 2003

### Clarkson Gordon Limited

Daliana Court  
5 Chytron Street  
2nd Floor, Office 21  
1075 Nicosia  
CYPRUS

Associated individuals: Bernard Owens; George Scott

Published September 2003

### Classic Consultants

5419 Hollywood Boulevard  
Suite C-206  
Los Angeles  
CA 90027  
UNITED STATES OF AMERICA

Associated individuals: Jack Quinn; Mark Johnson



Published July 2005

## Classic Gaming

415 North Camden Drive, Beverly Hills, CA 90210  
UNITED STATES OF AMERICA

Associated individual: Andrew Kennedy

Published July 2005

## Clover Mergers & Acquisitions

United States Office  
South 700 East, South Salt Lake  
Salt Lake City  
UT 84107  
UNITED STATES OF AMERICA

Published November 2006

## Cohen Nesbit Group Limited

Level 19 Hong Leong Building  
16 Raffles Quay  
SINGAPORE

Published September 2001

## Colony Capital & Associates

20th Floor Marunouchi Building  
2-4-1 Marunouchi  
Chiyoda-ku  
Tokyo 100-6332  
JAPAN

Phone: +813 6688 7243

Fax: +813 4496 4202

Email: [info@colonycapitalassoc.net](mailto:info@colonycapitalassoc.net)

Website: [colonycapitalassoc.net](http://colonycapitalassoc.net)

Associated individuals:

Tom Clairmont (VIP Acquisitions Dept.)

Kim Glodenberg (Authorised signatory)

Published November 2007

## Compass-Asset Management

SWITZERLAND

NOTE: The Compass Asset Management listed here has stolen the identity of a legitimate firm in Switzerland.

The legitimate Compass Asset Management can be contacted by phone +41 91 9603983 or by fax on +41 91 960 3979.

Published April 2006



## Comtrade Group Pty Ltd

48 Cavill Avenue  
Surfers paradise  
Queensland, 4217  
AUSTRALIA

Phone: +61 300 216 143  
Fax: + 61 300 216 537  
E-mail: [info@comtrade-group.com](mailto:info@comtrade-group.com)  
Website: [www.comtrade-group.com](http://www.comtrade-group.com)

Associated individuals: Tony Davis; Matt Shannon

Published January 2011

## Consolidated Transfer Inc.

33 Hysan Avenue  
HONG KONG

Published May 2007

## Concorde Pacific Management Inc.

Madrona Plaza Building  
1305, 34th Avenue  
Seattle, WA 98122  
UNITED STATES OF AMERICA

Published April 2007

## Cooper Kline NYC

180 Malden Lane New York  
UNITED STATES OF AMERICA

Associated individuals: Drew Richards; Jonathan Smith

Emails: [drew\\_richards@cooperklinenyc.com](mailto:drew_richards@cooperklinenyc.com); [jonathan.smithcaptransfer@gmail.com](mailto:jonathan.smithcaptransfer@gmail.com)

Published August 2008


## Continental Allied Incorporated

30 Queen's Road  
HONG KONG

Published April 2005

## Corporate Mergers and Acquisitions Group

535 Madison Avenue  
Suite 300  
New York, NY10022  
UNITED STATES OF AMERICA



Phone: +1 646 810 8666  
Fax: +1 347 223 5234  
Email: [info@corporatemagroup.com](mailto:info@corporatemagroup.com)

Published October 2010

## Crawford Peale

Unit 1609  
16th Floor, Vaint 1 Building  
1126/1 New Petchburi Road  
Bangkok 10400  
THAILAND

Published September 2001

## Crest Asset Management

21 Science Park  
#06-07 The Aquarius  
SINGAPORE, 117628

Published July 2008

## Crest International Investment Inc.

First West Building  
200 First Avenue West Suite 400  
Seattle  
Washington 98119  
UNITED STATES OF AMERICA

Published February 2005

## Crown Capital Corporation

6 Sheraton St  
Soho  
LONDON  
UK W1F 8BH  
UNITED KINGDOM

Published June 2006

## D

## Davis Goldberg Group

782 NW 42nd Avenue  
Miami



FL 33135  
UNITED STATES OF AMERICA

Associated individual: Mark Hughes

Published May 2004

### Dawson Turner

Two Penn Centre Plaza  
Philadelphia, PA 19102-1706  
UNITED STATES OF AMERICA

Published February 2004

### De Verre Lloyd & Co

15th Floor, Cerulean Tower  
26-1 Sakuragaoka-cho  
Shibuya-ku  
Tokyo 150-8512  
JAPAN

Associated individual: Ian Walsh

Published July 2004

### Deacons Lasalle

London  
UNITED KINGDOM

Published March 2007

### Dearborn International

719 Griswold Street  
Detroit  
Michigan 48226  
UNITED STATES OF AMERICA

Associated individual: Gerry Markham

Published November 2004

### Dempster Hampton Duke

26th floor  
The Chrysler Building  
405 Lexington Avenue  
New York City  
NY10174  
UNITED STATES OF AMERICA

Published October 2005





## DKM Global Management Inc.

1 Lan Kwai Fong  
HONG KONG

Published November 2003

## Diligent Solutions

19 Hennessey Road  
Wanchai  
HONG KONG

Published June 2006

## Diversified Global Capital Group

2121 E. Pacific Coast Highway  
Corona Del Mar, California  
UNITED STATES OF AMERICA

Diversified Global Capital Group is fraudulently using the name and address of Diversified Global Capital Group, Inc. which is a legitimate corporation in United States of America.

Published April 2007

## Diversified Investments Group

Diversified Investments Group is fraudulently using the name of Diversified Investments Group Inc. which was a legitimate firm in United States of America. The legitimate Diversified Investments Group Inc. terminated registration on 2 October 2006.

Published October 2007

## Douglas Baker & Co.

800-615 West Broadway Ave.  
Vancouver, BC  
CANADA

Associated individual: Richard Mason

Published January 2004

## Dragon Pacific Company Limited

17th Floor, One Pacific Place  
140 Sukhumvit Road  
Bangkok  
THAILAND

Associated individual: Douglas King

Published August 2000



## Drake Asset Management

1991 Crocker Road  
Cleveland, OH 44145  
UNITED STATES OF AMERICA

Published May 2005

## Dreyfus Securities Limited

14/F Kamiya-cho Mori Building  
4-3-20 Toranomon, Minato-ku  
Tokyo 105-0001,  
JAPAN

Amnuaydech Suite 048  
22 Central Chidlom Tower  
Polenchit Road, Lumpini  
Pathumwan, Bangkok 10330  
THAILAND

29/F One Canada Square  
Canary Wharf, London  
UNITED KINGDOM, E14 5DY

Associated individual: Steven Dixon

Published July 2001

## Dukes and Company Securities Corporation

Unit 1009  
PSBank Tower  
Senator Gil J  
Puyat Avenue  
Makati City 1220  
PHILIPPINES

Constitution Drive  
PO Box 332  
Belmopan  
BELIZE

Associated individuals: Michael Martin; Ben Smit

Published September 2000

## Dune Dawson Inc.

The Lincoln Building  
305 Madison Ave, Suite 439, New York  
UNITED STATES OF AMERICA

Associated Individual: Chad Robinson

Published June 2005



## E

### Elders Cohen

Hills Plaza 1, 345 Spear Street, Suite 138  
San Francisco  
California  
CA94105  
UNITED STATES OF AMERICA

Associated individuals: Steve Thomas; Michael Sands

Published September 2003

### Eli Solomon

580 Madison Avenue, New York City  
New York 10022  
UNITED STATES OF AMERICA

Associated individual: Andrew Forster

Published November 2007

### Eno Capital Ltd

Level 9 AIG Building  
1-1-3 Marunouchi  
Chiyoda-ku  
Tokyo 100-0005  
JAPAN

Published October 2005

### Equinox Equities

19 Des Voeux Road  
HONG KONG

Published September 2005


### Equiserve Trust Capital Market

423 Walpole Ter Canton  
MA 02021  
UNITED STATES OF AMERICA

Published December 2005

### European Private Equity Group

Grosse Bockenheimer 13  
Suite 2160  
60313 Frankfurt, Am Main  
GERMANY



Published September 2005

## F

### Factor Ten Financial

30th Floor, Central Plaza  
18 Harbour Road  
HONG KONG

Published on this site February 2006

### Fairchild Roth Financial Inc

Gallery 4  
12 Leadenhall Street  
London EC3V 1LP  
UNITED KINGDOM

Published November 2003

### Famex Financial

9/F Henan Building  
17-19 Luard Road  
Wanchai, CBD District  
HONG KONG

Phone: +852 3180 7888

Fax: +852 3180 7899

Email: [info@famexfinancial.com](mailto:info@famexfinancial.com)

Website: [www.famexfinancial.com](http://www.famexfinancial.com)

Associated individual: John White

NOTE: This firm must not be confused with Famex Financial who have the same address and website but different phone and fax details. The legitimate Famex Financial can be contacted by phone +852 3180 7844 or by fax on +852 3180 7874.

Published February 2010

### Federal Equities Corporation

51 Madison Avenue  
New York, NY 1001  
UNITED STATES OF AMERICA

Phone: +1 646 360 1718

Email: [info@federalequitiescorp.com](mailto:info@federalequitiescorp.com)

Website: [www.federalequitiescorp.com](http://www.federalequitiescorp.com)

Associated individuals: James Fries; John Ognar

Published June 2010



## Financial Assets Corporation

30 Wall Street  
Suite 1203  
New York, NY 10005  
UNITED STATES OF AMERICA

Published October 2005

## First Capital Securities Limited

P O Box 847  
1 Capital Place  
Georgetown  
Grand Cayman  
CAYMAN ISLANDS

Published January 2004

## First Colonial Management

17 Ensign House, Admirals Way  
London E14 9XQ  
UNITED KINGDOM

Associate individual: Kent Daniels

Published June 2005

## First Financial Management

255 W 36th Street  
New York, NY 10018-7798  
UNITED STATES OF AMERICA

Phone: +1 646 351 1282

Fax: +1 646 961 4811

Email: [info@firstfinancialmgmt.com](mailto:info@firstfinancialmgmt.com)

Website: [www.firstfinancialmgmt.com](http://www.firstfinancialmgmt.com)

Associated individuals: Rob Jacob; John Lewis; Kris Reynolds; Ashley Waters

Published September 2010

## First Independent Capital Resources, Inc.

Shiroyuma JT Movi Building  
8-1 Toranoman 4 Chome  
Minato-Ku, Tokyo 105  
JAPAN

Published September 2002



## First Independent Resource Management Group Inc.

4, V.S. Prospero  
Milano  
ITALY

Published September 2001

## First International Equity & Acquisition Inc.

654 Madison Avenue  
New York  
NY 10021  
UNITED STATES OF AMERICA

Published April 2004

## First International Equity Inc.

UNITED STATES OF AMERICA

Associated individual: James C. King

Published March 2003

## First National Financial Group Inc.

Empire State Building  
350 6th Avenue Suite 3304  
New York  
NY 10118  
UNITED STATES OF AMERICA

46th Floor  
140 Broadway  
New York  
NY 10005  
UNITED STATES OF AMERICA

Published November 2003

## First National Reliance Incorporated

300 5th Avenue  
New York, NY 10001  
UNITED STATES OF AMERICA

Tel: +1 212 542 9166

Email: [legal@firstnationalreliance.com](mailto:legal@firstnationalreliance.com)

Website: [www.firstnationalreliance.com](http://www.firstnationalreliance.com)

Associated individuals: John Marshall ; Robert M. Pellecchia ; James Henry Johnson ; Doug Kramer

Published October 2010



## First Standard Consolidated

326 Regent Street  
London, UK W1B 3HH  
UNITED KINGDOM

Phone: +4419 2421 7168 / +4484 5130 8710  
Fax: +4418 9280 0012 / +4419 2420 0581  
Website: [www.firststandardcsld.com](http://www.firststandardcsld.com)  
Email: [info@firststandardcsld.com](mailto:info@firststandardcsld.com)

Associated individuals: Ted Simms

Published March 2010

## Fisher Sterling International Limited

302 Hung Kei Mansion  
5-8 Queen Victoria Street Central  
HONG KONG

Associated individual: Dave Adams

Published September 2001

## Flagship Consolidated

663 King's Road  
HONG KONG

Phone: +852 3693 1523  
Fax: +852 3015 8912  
Email: [info@flagshipcsld.com](mailto:info@flagshipcsld.com)  
Website: [www.flagshipcsld.com](http://www.flagshipcsld.com)

Associated individual: Jack Perez

Published February 2009

## Fleetwood Mergers and Acquisitions

2500 City West Blvd  
Houston  
TX 77042-3000  
UNITED STATES OF AMERICA

Published October 2006

## Foreign Currency International

27 Sukhumvit Soi 20  
Bangkok, 10110  
THAILAND

Associated individual: Stephen Sharpe

Published December 2000



## Foreign Trade International

12th Floor, 253 Sukhumvit Soi  
21 Asoke Road  
Bangkok 10110  
THAILAND

Associated individuals: Ian Morris; Christian Webb; Michael Lumby; Alex Pagan; Dennis Askew

Published August 2001

## FourWinds Trading Systems

Drake Chambers, Road Town  
Tortola  
PO Box 3321  
BRITISH VIRGIN ISLANDS

Associated individual: Scott Mullens

Published July 2004

## Fund Investors Inc.

Fund Investors Inc.  
10 King Street  
White Plains  
NY 10604  
USA

Tel: +1 914 214 5303

Fax: +1 914 462 3783

Email: [info@fundinvestorsinllc.com](mailto:info@fundinvestorsinllc.com)

Website: [www.fundinvestorsinllc.com](http://www.fundinvestorsinllc.com)

Associated individual: Allan Gates

NOTE: not to be confused with the genuine firm

Published March 2011

## FX Advisors East, LLC

200 Public Square Suite 2955  
Cleveland  
Ohio  
UNITED STATES OF AMERICA

Published August 2001





## G

### Gaylord & Finch

400 Broadway  
Seattle  
Washington  
UNITED STATES OF AMERICA

Associated individual: Peter Williams

Published September 2002

### Gilt Edged Equities

Fax: +1 212 8133254

Associated individual: Jeffrey Muller

Not to be confused with the genuine firm and individual, Gilt-Edged Equities, LLC, which has no retail customers.

Also associated with Gilt Edged Equities are: Global Transfer Corporation; First Standard Consolidated; Hobdell and Williamson; Alpha REIT Advisors Co. Ltd

Published March 2010

### Glendale Settlements Incorporated

Motion Picture Association Building  
888 16th Street NW  
Suite 800  
Washington DC 20006  
UNITED STATES OF AMERICA

Associated individual: James Shea

Published July 2005

### Global Asset Advisors S.A.

(could be operating from Spain)

Associated individual: Marc Dannenberg

Published April 2003

### Global Capital Securities Corporation

538 Broad Hollow Road, Suite 315E  
Melville  
New York  
UNITED STATES OF AMERICA

Associated individuals: Christopher Ferruzza; James Sparacino

Published April 2001



## Global Option Trading Co Limited

14th Floor  
253 Sukhumvit Soy 21, Asoke Rd  
Bangkok 10110  
THAILAND

Associated individuals: Jamie Nettleship; Callum Hunt

Published October 2001

## Global Select Portfolio Corp.

Carson City, Nevada  
UNITED STATES OF AMERICA

Phone: 702 430 1791 in London - Amsterdam

Phone: +44 2081 441097

Fax: +44 208 0825839

Email: david.benson@globalspc.net

Website: www.globalspcorp.com

Associated individual: David Benson

Published November 2008

## Global Transfer Corporation

66 Mody Road, Tsim Sha Tsui East  
Kowloon  
HONG KONG

Phone: +852 9046 2063

Fax: +852 3051 8205/8

Website: www.globaltransfercorp.com

Email: info@globaltransfercorp.com

Published March 2010

## Grand Capital Incorporated

NOTE: Grand Capital Incorporated is a fraudulent firm using the address of Grand Capital Corporation which is a legitimate corporation in United States of America.

250 West 57th Street,  
New York,  
New York 10107\*  
UNITED STATES OF AMERICA

Associated individual: Kelly Campbell

Published August 2006



## Granite Consolidated

22 Queen's Road  
Central  
Hong Kong

Published November 2007

## Graves Stanley & Peabody Limited

(latest activities may be based in Spain)

Associated individual: Richard Gaston

## Greenfield & Mato

Koraku Mori Bldg 9F  
1-4-14 Koraku  
Bunkyo-Ku  
TOKYO

Published January 2007

## Greater Advisory

Website: [www.greateradvisory.com](http://www.greateradvisory.com)  
Email: [info@greateradvisory.com](mailto:info@greateradvisory.com)

Associated individuals: David Proctor; John Castro

Published February 2010

## Gresham Management Inc.

207 South 79th Street  
Suite 1006  
New York  
NY 10024  
UNITED STATES OF AMERICA

Associated individuals: Edward Saunders; Martin Nelson; Cynthia Landsburg; Charles Hampton


Published September 2001

## Greystone Asset Management

120 Broadway, Suite 1744  
New York, NY 10271  
USA  
Fax: 1 212 208 2496  
Email: [info@greystoneassetmanagement.com](mailto:info@greystoneassetmanagement.com)  
Website: [www.greystoneassetmanagement.com](http://www.greystoneassetmanagement.com)

Associated individuals: Roger O. Elmer; Daniel J Hayes

Not to be confused with the genuine firm which has no website:  
Greystone Asset Management, LLC



780 Third Avenue, 43rd Floor  
New York, NY 10017  
USA  
Telephone: 1 212-521-3817

Published August 2009

## Griffin Mergers and Acquisitions Office

8th Street and Nicollet Mall, Downtown  
Minneapolis, MN 55402-8773  
UNITED STATES OF AMERICA

Published May 2007

## Guaranty Consolidated

New York  
UNITED STATES OF AMERICA

Published July 2007

## H

### Hamilton & Associates

Bahnhofstrasse  
52 CH8001  
Zurich  
SWITZERLAND

Associated individuals: Alexander Woodbridge; David A Smith; Michael Kennedy

Published October 2002

### Hamilton Trading Limited

OBF Centre  
Aratha Graha Bldg 6th Floor  
JI Jend Sudiram Kav  
52-53 Jakarta 12190  
INDONESIA

Phone: +62 2152898454

Fax: +62 2152898456

Email: [info@hamilton-trading.com](mailto:info@hamilton-trading.com)

Website: [www.hamilton-trading.com](http://www.hamilton-trading.com)

Associated individuals: Brian Johnstone; Richmond Capital Management

Published November 2008



## Hanworth Weir Ltd

Penthouse Level, Suntec Tower Three  
8 Temasek Boulevard  
SINGAPORE

Published 04 June 2004

## Harbour Capital Management

600 California St,  
15 Floor  
San Francisco  
CA 94108  
UNITED STATES OF AMERICA

Published August 2006

## Harbor Light Securities Inc.

1093 Deep Woods Drive  
Marion, North Carolina 28752  
UNITED STATES OF AMERICA

Phone: +1 828 527 0244

Fax: +1 877 426 8220

Email: [info@harborlightsecinc.com](mailto:info@harborlightsecinc.com)

Website: [www.harborlightsecinc.com](http://www.harborlightsecinc.com)

Associated individuals: Anita Baker; James Bradley; Dereck Hanson; Mark Mendoza

NOTE: Note to be confused with the genuine company:

Harbor Light Securities LLC  
1039 Deep Woods Drive  
Marion, North Carolina 28752  
UNITED STATES OF AMERICA  
Phone: +1 828 442 2765

Published September 2010


## Harris Atlantic Management Inc.

Suite 300-301 Paragon Towers  
233 Needham, Newton MA 02464  
UNITED STATES OF AMERICA

Published March 2005

## Harrison Lee Partners

2 Priestley Road  
Basingstoke, Hampshire  
ENGLAND RG24 9NP



82 Winglok Street  
HONG KONG

Associated individuals: Charles McKenzie, West Rock Group Co  
UNITED STATES OF AMERICA

Published July 2004, March 2005

### [Heinz Hokkaido International](#)

1585 Broadway  
New York  
NY 10016  
UNITED STATES OF AMERICA  
Website: [www.heinzhokkaido.net](http://www.heinzhokkaido.net)

Published on this site August 2008

### [Helvetica Trust & Fiduciary Group](#)

Bahnhofstrasse 71  
Surich 8001  
SWITZERLAND

Associated individual: Gerald Mulrine

Published September 2002

### [Heritage Financial Inc.](#)

103 Franklin Corner Road, Trenton  
New Jersey 08648  
UNITED STATES OF AMERICA

Published March 2005

### [Heritage Mergers & Acquisitions](#)

Kamiyacho Mt Building  
14th Floor, 4-3-20 Toranomom  
Minato-ku  
Tokyo 105-0001  
JAPAN

Published February 2006


### [Hing and Foster Partners](#)

30 Cecil Street  
SINGAPORE 049712

Published October 2005

### [Hobdell and Williamson](#)

2496/2494 Sand Hill Road, Suite 132, Menlo Park



California 94025  
UNITED STATES OF AMERICA

Phone: +1 650 963 5727 / +1 650-763-8061  
Fax: +1 650 240 3913  
Website: [www.hobdellwilliamson.com](http://www.hobdellwilliamson.com)  
Email: [info@hobdellwilliamson.com](mailto:info@hobdellwilliamson.com)

Associated individuals: Peter Gallagher; Graham Archer

Published March 2010

### Hoover Deplache Investments Inc.

1500 Euclid Avenue,  
730 Cleveland  
OH 4415

UNITED STATES OF AMERICA

Published April 2006

### Hudson International

Caracasbaaiweg 199  
PO Box 6050  
Curacao  
Netherlands Antilles  
WEST INDIES

Room 2207  
22/F, Il Lippo Centre  
Central  
HONG KONG

Associated individuals: Thomas Jenkins; Steven Billings; Jeffrey Kahn; Frank Edwards; Murray Skolsky

Published September 2000

### HVC - Hypo Venture Capital

Uraniastrasse 40  
Zurich, 8001  
SWITZERLAND

Tel: +41 350 016 736 / + 41 435 080 372  
Fax: +41 447 326 623  
Email: [info@hypovc.com](mailto:info@hypovc.com)  
Website: [www.hypovc.com](http://www.hypovc.com)

Associated individual: Charlotte Gruber

Published March 2011



## Hartford Capital Management, S.A

Panama  
Calle Eusebio A. Morales  
Suite 1 - A, # E1 Cangrejo  
Ciudad De Panama  
REPUBLICA DE PANAMA

Costa Rica  
Edificio Ortencia Ler Piso  
1 Caudra al Sur 200 Este de MacDonald's  
Sabana Sur, San Jose,  
COSTA RICA

Published December 2005

## Interactive Taxation Consultants / Interactive Taxation Consultants Limited

New York Office  
Samson Building Level 8-22G  
501 Fifth Avenue  
New York, NY 10017  
UNITED STATES OF AMERICA

Phone: +1 212 359 1682  
Fax: +1 212 954 5088  
Website: [www.taxationconsultants.com](http://www.taxationconsultants.com)  
Email: [info@taxationconsultants.com](mailto:info@taxationconsultants.com), [infor@interactivetaxationconsultants.com](mailto:infor@interactivetaxationconsultants.com)

Tokyo Office  
AIG Building, Level 14 2-56  
1-1-3 Maranuchi, Chiyoda-Ku  
Tokyo 100-0005

JAPAN  
Phone: +81 345 500 562, +81 345 500 502  
Fax: +81 344 965 042

Associated individuals: Peter Miller; Michael Rosen

Published April 2010

## International Asset Management

CP Tower Level 23  
313 Silom Road  
Silom 10500  
Bangkok  
THAILAND





Associated individual: Richard Jennings

Published February 2001

### Innova Equity Corporation

18th Floor  
Bund Centre  
22 Yanan Road East  
Shanghai  
CHINA

Published January 2004

### Interglobal Mergers & Acquisitions Inc.

55 Park Plaza Drive  
Daly City  
San Francisco  
California  
UNITED STATES OF AMERICA

Associated individuals: Vanessa Stone; Gregory Handsfield

Published March 2004

### International Association of Transfer Agents

30 Wall Street  
New York, New York 10005  
UNITED STATES OF AMERICA

Published June 2007

### InterTrade Asset Management

1800 E 9th # 1400  
Cleveland  
Ohio 44114  
UNITED STATES OF AMERICA

Associated individual: Maxwell Jones

Published April 2004

### ITB Limited

Level 2 Via Maistra 2  
St. Moritz  
SWITZERLAND

Published December 2003



## J

### J P Moreau Limited

Level 14 Prudential Tower  
30 Cecil Street  
049712  
SINGAPORE

Associated individuals: Lawrence Piper; Lily Chen

Published May 2003

### Jacobs & Kiplinger

Zurich World Trade Centre  
Leutschenbachstrasse 95  
8050 Zurich  
SWITZERLAND

Published May 2002

### Jefferson Clark Associates

PO Box 58389  
Seattle,  
Washington State,  
98138-1386  
UNITED STATES OF AMERICA

Published June 2008

### Johannson Linqvist Associates

Klarabergsviaduckten 70  
Kungsbron 1 Box 70301  
107 24 Stockholm  
SWEDEN

Associated individuals: Albert Stuart; Gerald Montrose

Published July 2005

### JR Hoffman & Associates

1 Place Ville Marie,  
18th floor Montreal  
Quebec, H3B 2E7  
CANADA

Published June 2008



## K

### Kearns Investments Inc.

Level 9 AIG Building  
1-1-3 Marunouchi Chiyoda-Ku  
Tokyo 100-0005  
JAPAN

Level 21 HSBC Tower  
101 Yin Cheng East Road  
Pudong  
Shanghai 200120  
CHINA

Level 36  
Menara Citibank  
165 Jalan Ampang  
50450 Kuala Lumpur  
MALAYSIA

Associated individuals: Michelle Von Wald; Cyrus Fahad; Tony Sacks; Michael Stuart

Published October 2001

### Kempton Fitzgerald Limited

Empire House  
175 Picadilly  
Mayfair  
London W1J 9TB  
UNITED KINGDOM

Published November 2003


### Kennedy Investments Limited

Edificio Centro Empresarial  
Oficina 403 Torre II  
5a Avenida 15-45 Zona 10  
Guatemala City  
GUATEMALA 01010

Published June 2003

### The Kensington Group

23F M Thai Tower  
All Seasons Place, 87 Wireless Road  
Phatumwan  
Bangkok  
THAILAND



18F, One International Finance Centre  
1 Harbour View Street  
Central  
HONG KONG

Published October 2000

### Kimberly Capital Corporation

14 George Road  
Glen Rock NJ 07452  
UNITED STATES OF AMERICA

Associated individuals: Laurence Smith; Kamal Pateal Smith; Shamon Peris

Telephone: 201 839 9517

Fax: 201 604 7444

Email: [contact@kimberlycapital.com](mailto:contact@kimberlycapital.com)

Website: [www.kimberlycapital.com](http://www.kimberlycapital.com)

NOTE: Kimberly Capital Corporation should not be confused with the legitimate Kimberly Capital Corporation incorporated in the US. It has stolen the name and address of the genuine firm. The genuine Kimberly Capital Corporation does not have a website and has different phone and fax numbers.

Published February 2009

### KLM Investment Services Limited

25 Dowgate Hill  
Cannon Bridge  
London  
UNITED KINGDOM

Associated individuals: Adam Lewis and Timothy Husk

Published August 2001

### Knobias Alliance Group


Kornhausstrasse 3  
CH 9000 St. Gallen  
SWITZERLAND

Associated individual: Jack Quinn

Published January 2004

## L

### Liberty Assets Inc.



3306 South Liberty Street, New Orleans  
LA 70115  
UNITED STATES OF AMERICA

Associated individuals: Eli Green; George Franks; George Buckingham; Steven Givens

Published 28 September 2004

### Liberty Capital International Limited

PO Box W829  
Corn Alley  
St John's  
ANTIGUA

Published June 2001

### Liberty First Advisory Services, S.A.

Paris, 101-107  
08029 Barcelona  
SPAIN

Associated individual: Randy Perry

Published April 2004

### Lincoln Partners M&A Inc.

415 Madison Avenue  
New York City, New York  
10017 UNITED STATES OF AMERICA

Published June 2007

### Limbaugh and York Associates

1200 McGill College Avenue  
Suite 1105 Execu-Centre  
Montreal, QC H3B 4G7  
CANADA

Phone: +1 514 906 1732

Fax: +1 514 221 3865

Email: [info@limbaughandyorkassociates.com](mailto:info@limbaughandyorkassociates.com)

Website: [www.limbaughandassociates.com](http://www.limbaughandassociates.com)

Published October 2008

### Livingston Asset Management

14 Ron  
1204 Geneva  
SWITZERLAND

Associated individuals: Ingo Janneau; Marc Philips; Aron Mozes; Jonathon Livingston; Charles Bond



Published June 2002

## Lloyds TSB

NOTE: Only the following particular Lloyds email address is identified as fraudulent.

Email: customer -service@lloydtsb.co.uk

Published June 2008

## Lombard Grand Incorporated

Level 21 Centennial Tower  
3 Temasek Avenue  
SINGAPORE 039190

Published March 2004

## Loyal Relations, Ltd

1805 Wheelock House  
20 Pedder Street,  
Central, HONG KONG

Published May 2007

## Lloyds & Barclays Inc.

Suite 3304, Empire States Building  
350 Fifth Avenue  
New York 10118  
UNITED STATES OF AMERICA

Associated individual: Sonny Danson

Published 28 September 2004

## Lynx Commodities

Asia House  
31-33 Lime Street  
London EC3M 7HT  
UNITED KINGDOM

Associated individual: James Wright

Published July 2005

## Lynx Mackenzie Incorporated

415 Madison Avenue  
New York, NY10017  
USA

Website: [www.lynxmackenzie.com](http://www.lynxmackenzie.com)

Published January 2009



## M

### Macintosh & Sons Ltd

8 Hampshire Lane  
3rd Floor  
Salisbury  
Wiltshire  
SP2 7TU  
UNITED KINGDOM

Associated individual: Edward D. Macintosh II

Published October 2003

### The Madison Group

23rd Floor, M.Thai Tower, All Seasons Place  
87 Wireless Road  
Phatumwan  
Bangkok 10330  
THAILAND

Associated individuals: Glen Bradshaw; Frank Harris; John Jacobsen

Published September 2000

### Magna Capital Research

702 Wheelok House  
20 Pedder Street  
Central Hong Kong  
HONG KONG

Published March 2006

### Magnusson Edward

17/F Cheung Kong Center  
2 Queen's Road Central  
HONG KONG

Published January 2006

### Manhattan Pacific Group Limited

The World Trade Centre  
Leutschenbachstrasse 95  
Zurich 8050  
SWITZERLAND

Associated individual: David Carlton

Published March 2005



## Manhattan Securities Corporation

166 Millbrook Circle  
Norwood  
NJ 07648  
UNITED STATES OF AMERICA

Published on this site May 2006

## Manning Capital, Inc

384 - 386 Greenwich Street  
NY 10013  
UNITED STATES OF AMERICA

Published April 2008

## Michael J Marrin

Attorney-at-Law  
44 Court Street  
Temple Bar Building, Suite 802  
Brooklyn  
New York  
NY 11201  
UNITED STATES OF AMERICA

NOTE: Not to confused with Michael J Marrin, Attorney-at-Law, 65 Southard Avenue, Rockville Center, New NY 11570, United States of America.

Published June 2008

## Marlborough Acquisitions Inc.

4600 South Ulster Street  
Denver, Colorado 80237-2882  
UNITED STATES OF AMERICA

Published March 2001

## Mason McHale Portfolio Management


19/F Hing Wai Building  
36 Queen's Road  
CENTRAL HONG KONG

Published 04 June 2004

## Master Bettman

548 8 Avenue  
New York  
UNITED STATES OF AMERICA





Level 25, Bank of China Tower  
1 Garden Road  
HONG KONG

Published April 2007

## Mayer Wegner Mergers & Acquisitions

Schwarzwaldstr, 88PLZ  
Stadt: 60528  
Frankfurt  
GERMANY

Published October 2005

## Mercantile International Securities

100 Summer Street  
Boston, MA 02110  
UNITED STATES OF AMERICA

Associated individual: William Blair

Published 17 August 2004

## Merit Capital Group

38 Russell Street  
28/Floor Soundwill Plaza  
Causeway Bay  
HONG KONG

Published July 2003

## Millennium Exchange

6919 Viejean Ave  
Van Nuys  
CA 914406  
UNITED STATES

Published May 2006

## Millenium Financial Group

23rd Floor Tower 1, The Enterprise Center  
6766 Ayala Avenue  
Makati City 1200  
PHILIPPINES

Associated individuals: Richard Arrowsmith; Gary Artzt, G. Edward Buell; Ben Cattaneo; Nica Gelera; Ray Gordon; Jon Jones; Jon Lopresti; Matthew McAllister; George Mitchell; Lenny Mazzola; Joseph Paterno; Ken Sheffield; Romson Velez; Robert Velis

Published March 2001



## Miller Bosses Acquisitions Inc.

4100 Lyndale Av

Minneapolis

MN 55409

UNITED STATES OF AMERICA

Associated individual: Charles Davenport

Published on this site 28 September 2004

## Monahan & Monahan Ltd

339 Florida Boulevard

Baton Rouge

Louisiana 70806

UNITED STATES OF AMERICA

Associated individual: Stephen P Monahan

Published November 2004

## Montgomery,Smith and Cooper

Phone: +1 212 710 1372

Fax: +1 718 725 8048

Published August 2008

## Morgan International Investment Group Inc.

6, Circuit de la Foire Internationale

BP 2507, L-1025 Luxembourg

GRAND-DUCHE DE LUXEMBOURG

Associated individuals: Thomas Carpenter; Simon Richardson; Diane Rosenberg

Published November 2001

## Morgan Pacific

138 Silom Road

Boonmitr Building 10th Floor

Suriyawongse

Bangrak

Bankok 10500

THAILAND

Associated individual: Graham Thompson

Published June 2001



## Morgan Price Limited

Suite 2/83 Walker Street  
North Sydney  
NSW 2060  
AUSTRALIA

Level 21, 201 Miller Street  
North Sydney  
NSW 2060  
AUSTRALIA

Registered Office  
Unit 81  
6 Greenknowe Avenue  
Elizabeth Bay  
NSW 2011  
AUSTRALIA

Associated individuals: Robbie Joseph; Douglas Pestano; Paul Cottingham Sohn

Published March 2003

## Morrison Cross Financial Investments Limited

Ave. Manuel Espinosa Batista  
International Business Center  
Floor 11  
PO Box 0833-0118  
Panama  
REPUBLIC OF PANAMA

Associated individuals: Kenneth Elliot; Max Peters

Published June 2001

## Muller and Sons Securities Management Inc.

Unit 114 Prince Plaza 1  
106 Legaspi Street  
Legaspi Village  
Makati City  
PHILIPPINES

Associated individuals: Ben Smit; Michael Martin; Stephanie Victoire; Maurie Wise

Published August 2000

## Muller Schmidt Associates

1500 W Lake St  
MN 55408  
UNITED STATES OF AMERICA

Published December 2005



## N

### Nakamoto International Group

Wakamatsu Building  
3-3-6 Nihonbashi Hon-cho  
Chuo-ku  
TOKYO 103-0023

Published June 2006

### Nasdaq Brokercheck

NOTE: Not to be confused with the genuine Nasdaq Stock Exchange ([www.nasdaq.com](http://www.nasdaq.com))

Published June 2008

### Nationwide Mergers & Acquisitions Inc.

3178 Johnson Ferry Road Northeast  
Atlanta, GA 30303  
UNITED STATES OF AMERICA

Published February 2005

### New Alliance Securities Inc.

1370 3rd Avenue  
New York, NY  
UNITED STATES OF AMERICA

Tel: +1 646 360 1715  
Fax: +1 646 224 9826  
Email: [info@newalliancesecurities.com](mailto:info@newalliancesecurities.com)

Associated individual: Jose Luis Barria

Published April 2011

### New York Income Partners II LLC

34445 Winton Place  
Rochester NY 14623  
UNITED STATES OF AMERICA

Phone: +1 866 365 0718/ +1 585 492 8900  
Fax: +1 202 262 1105  
Email: [info@nyipartners.com](mailto:info@nyipartners.com)

NOTE: Not to be confused with the genuine New York Income Partners II, LLC

Published January 2010



## Newmann Hamshire GmbH

21st Floor Mainzer Landstrasse 47  
60329 Frankfurt am Main  
GERMANY

Published November 2005

## New Market Corporation

Yurakucho 2-7-1  
Chiyoda-Ku  
Tokyo  
JAPAN

Website: [www.newmarketcorp.com](http://www.newmarketcorp.com)  
Email: [info@newmarketcorp.com](mailto:info@newmarketcorp.com)  
Phone: +813 4580 2171  
Fax: +813 4580 2197

Associated individual: Dave Chavez

Published April 2010

## Newport Pacific Securities & Management Inc.

Unit 404 Greenbelt Mansion  
106 Pera Street  
Legaspi Village  
Makati  
Manila  
PHILIPPINES

Associated individuals: Jack Miller; Thomas Massino; Johnny Morgan; Peter Lynch; Ron James

Published October 2000


## Noble International Consulting Inc.

PO Box 330  
Ste 505  
123 Queen Street  
Toronto  
Ontario M5H 2M9  
CANADA

Published August 2005

## Northpoint Portfolio Management Ltd (*see also earlier listing below*)

Chong Hing Finance Centre  
Level 12  
Nanjing West Road  
2003 Shanghai  
CHINA



Phone: +86 138 1655 0144  
Email: [clientservices@northppm.com](mailto:clientservices@northppm.com)  
Website: [www.northpmm.com](http://www.northpmm.com)

Associated individuals: Eric Demitrios; Richard Forsyth

Published October 2010

## North Point Asset Management Ltd and North Point Investment Management

Chongqing Finance Center  
Level 12, 288 Nanjing XI Road  
Huangpu district 200003  
Shanghai,  
CHINA

Phone: +86 138 165 501 44  
Fax: +86 216 163 8213  
Website: [www.northpointassetmanagement.com](http://www.northpointassetmanagement.com)

Associated individual: Chris Johnson

Published August 2009

## Norwich Capital Mutual Funds Limited

Valero Towers, Penthouse D  
122 Valero Street  
Salcedo Village  
Makati City  
PHILIPPINES

Associated individual: Chris Jones

Published August 2001

## Norwich International Trading Inc.

W910 West Tower  
Philippine Stock Exchange Centre  
Exchange Road  
Oritgas Centre  
Pasig City  
Metro Manila  
PHILIPPINES

Associated individuals: Kathleen Edward; Kevin Walker

Published November 2001

## NT Financial Services

808 Broadway, #1  
New York, NY 10003  
UNITED STATES OF AMERICA



Tel: +1 212 247 1798  
Fax: +1 212 937 3669  
Email: [info@ntfinancialservices.net](mailto:info@ntfinancialservices.net)  
Website: [www.ntfinancialservices.net](http://www.ntfinancialservices.net)

Associated individuals: Alyson White

Published October 2010

## Nuventis Corporate Services Group

18F Bund Center  
222 Yunan Road East,  
Shanghai 2000002  
CHINA

Published December 2005

## O

### Oakmont Financial Mergers

130 Bellevue Avenue  
Newport, RI 02840  
UNITED STATES OF AMERICA

Published February 2005

### Oasis Capital Inc.

542 Mt. Pleasant Road, Suite 105  
Toronto, Ontario  
CANADA M4S 2M7

Associated individuals: Timothy (Ted) E Manning; Judith M Switzer; James K de Roux

Published November 2003

### Ocean Blue Distribution Limited

380 Bloor St. W  
Toronto  
Ontario  
M7J-3M5  
CANADA

Associated individuals: Cindy Tan; William W. Baynes

Published July 2003



## Onyx Acquisitions

London  
ENGLAND

Published February 2006

## Oppenheimer International

No. 4 Royal Mint Court  
London EC3N 4HJ  
UNITED KINGDOM

Associated individuals: Jess Bunting; Carsten Straber; Patrick Seagraves

Published May 2003

## Oppenheimer Securities Inc.

1150 Silverado Street  
La Jolla  
California  
UNITED STATES OF AMERICA

Published May 2007

## Overseas Management Group Inc.

1054-356 Centre Street  
Toronto, Ontario  
Canada

Associated individual: Ricardo Martins

Published June 2005

## P

## Palladium Cathay Intermediaries

1266 Nanjing West Road, Shanghai  
200040  
CHINA

Published on this site April 2008

## Pan Euro Financial SA

10, Cours de Rive  
CP3237 - CH1211  
Geneva  
SWITZERLAND





Associated individuals: Steven Evans; Allen Kaplan; David Mills; Mike Nyberg

Published September 2003

### Paradigm Resources, Ltd

Mansell  
4555 Mansell Road  
Suite 625  
Atlanta  
GA 30022  
UNITED STATES OF AMERICA

Published December 2005

### Parker & Cramer Asset Management Inc.

First West Building  
200 First Avenue West Suite 400  
Seattle  
Washington 98119  
UNITED STATES OF AMERICA

Published February 2005

### Pacific Rim Wealth Management

16 Westlands Road  
HONG KONG  
Tel: 852 9573 7972  
Fax: 852 3050 9026  
Email: [info@pacificrimwealthmgmt.com](mailto:info@pacificrimwealthmgmt.com)  
Website: [www.pacificrimwealthmgmt.com](http://www.pacificrimwealthmgmt.com)

Associated Individuals: Judy Abbot; Ben Allan; Alan Jones; Tony Ortiz

Published June 2009

### Park Equity Ventures

78 York Street  
London  
UNITED KINGDOM  
Tel: +4420 3026 3883  
Fax: +4420 3014 9560  
Email: [info@parkequityventures.com](mailto:info@parkequityventures.com)  
Website: [www.parkequityventures.com](http://www.parkequityventures.com)

Associated individuals: David Graham; Dr Michael Bennett; Charles Davis; Ted James; George Nelson

Published December 2010



## Parker Jennings

2117 Buffalo Road, Rochester  
New York 14624  
UNITED STATES OF AMERICA

Published December 2002

## PCA Management

24 De Castro  
Road Town  
Tortola  
BRITISH VIRGIN ISLANDS

Published December 2005

## Pembridge Group

Suite 2903  
29/F, Tower 1  
Admiralty Centre  
HONG KONG

Associated individual: Justin Wentworth

Published August 2001

## Perpetual Trading Group

1650 S. Dixie Highway Suite 100  
Boca Raton  
Florida 33432  
UNITED STATES OF AMERICA

Published November 2004

## Pfeiffer Galland

Plaza Mashill Level 21  
Jalan Jendral Sudirman Kav 25  
Jakarta  
INDONESIA

Published October 2002


## Pinnacle Global Corporation

77 Lai Kwai Fong  
HONG KONG

Published November 2005

## Pinnacle Group LLC

1400 N. Dallas Parkway  
Suite 1200



Dallas, Texas 75240  
UNITED STATES OF AMERICA

Published March 2006

## Powell McDougall

Harcourt Centre  
Harcourt Road  
Dublin 2  
REPUBLIC OF IRELAND

Published March 2004

## Preferred Global Partners

Theaterstrasse 14  
Zurich 8001  
SWITZERLAND

Associated individual: Steven Marx

Published March 2005

## Preferred Performance Group, Company Limited

Richmond Building  
75 Sukhumvit Soi 26  
Bangkok  
THAILAND

Published November 2001

## The Prestige Group Ltd

National Newark Building  
744 Broad Street  
18th Floor  
Newark, NJ 07102  
UNITED STATES OF AMERICA

Published April 2007

## The Prestige Perspective

1 Harbour Road  
Wanchai  
HONG KONG

Published October 2005

## Premier eFinance

Central Centre, 99 Queens Road  
Hong Kong SAR



Tel: +852 8197 2553  
Fax: +852 3015 6867  
Email: [info@premier-efinance.com](mailto:info@premier-efinance.com)  
Website: [www.premier-efinance.com](http://www.premier-efinance.com)

Associated individual: Susan Crawford

Published March 2011

### Price & Partners Consultants

5-7C Duke Wellington House  
14-21 Wellington Street, Central District  
Hong Kong

Telephone numbers:

+852 3 6786714

+852 3 1750956

Emails:

[b.scott@priceandpartnersconsultants.com](mailto:b.scott@priceandpartnersconsultants.com)

[legal@priceandpartnersconsultants.com](mailto:legal@priceandpartnersconsultants.com)

Website: [www.priceandpartnersconsultants.com](http://www.priceandpartnersconsultants.com)

Associated individual: Brian Scott

Published April 2011

### Prime Capital Advisors

Nicolau Pentadromos Center  
25 Ayias Zonis Street  
Suite 1100 Limassol  
CYPRUS

Associated individual: Wendell Martin

Published November 2004

### Primesolutions Securities Inc.

Primesolutions Securities Inc. listed has stolen the identity of a legitimate firm in the United States.

The legitimate Primesolutions Securities Inc. can be contacted by phone +1 440 230 0400 or by fax on +1 440 230 9956.

Published August 2007

### Pro Capital Asset Management

25 Aphrodite Street  
PO Box 26025  
166 Nicosia  
CYPRUS

Associated individual: Scott Meadows

Published December 2007



## Profidex Ltd

Levels 9-11, AIG Building  
1-1-3 Marunouchi  
Chiyoda-Ku  
Tokyo 100-0005  
JAPAN

Published April 2006

## Q

### Quantum Capital Corporation

Hardturmstrasse 101  
Zurich, CH, 8005  
SWITZERLAND

Published November 2005

### Quantum Global Equities Inc.

19th St NW  
Washington, District of Columbia 20036  
USA

Tel: +1 202 3910 955  
Email: [info@quantumglobalequitiesinc.com](mailto:info@quantumglobalequitiesinc.com)

Associated individual: James Forbes

Published March 2011

## R

### Radius Resources

95 South Street  
New York, NY 10038  
UNITED STATES OF AMERICA

Published May 2007



## Remington Consultancy Limited

1245 Pleasant View Boulevard  
Scottsdale Arizona 85261  
UNITED STATES OF AMERICA

Associated individuals: Richard Remington; George Mason; John Richmonds

Published September 2001

## Richard Watson Associates

4021 27th Street, 2nd Floor  
Long Island City  
New York 11101  
UNITED STATES OF AMERICA

Published November 2003

## Richardson Resources Inc.

Carl-Zeiss-Str. 14-18  
65520 Bad Camberg  
GERMANY

81 Pedder Street  
HONG KONG

Associated individual: William Ford

Published August 2004

## Richmond Capital Management

21/F Seoul Finance Centre  
Taeyyeongno 1-ga  
Jung-gu, Seoul, Korea 100-768

Phone: +82 70 7894 5584

Fax: +82 2 3782 4820

Email: [info@richmondconsultancy.com](mailto:info@richmondconsultancy.com)

Website: [www.richmondconsultancy.com](http://www.richmondconsultancy.com)

NOTE: Not to be confused with the genuine company:

Richmond Capital Management  
Inc. 10800 Midlothian Turnpike  
Suite 217, Richmond, VA USA 23235  
Tel: (804) 379-8280  
Fax: (804) 379-9362

Associated company: Hamilton Trading Limited

Published June 2008, updated November 2008



## RJL International Ltd

625 Mt. Auburn Street  
Cambridge, MA 02138  
UNITED STATES OF AMERICA

Associated individuals: Vincent Gentile; Mike Eastwood; Jerry Bell

Published 15 April 2004

## Rosenberg Smith & Partners

2000 Steeles Avenue West, Suite 200  
Concord  
Ontario  
CANADA

Associated individuals: Norman Rosenberg; Morry Nosak

Published July 2004

## Rosenthal International

1370 Broadway  
New York  
NY 10018  
UNITED STATES OF AMERICA

Associated individuals: Jonathon Nagle; Michael Ryder

Published 17 August 2004

## Royal Acquisitions Inc.

96 West Park Place, Newark  
Delaware 19711  
UNITED STATES OF AMERICA

Associated individuals: Anthony Hutchins; Eric Collins

Published 28 September 2004

## Rutherford Acquisitions

7400 Metro Blvd  
Minneapolis  
Minnesota MN 55439  
UNITED STATES OF AMERICA

Published December 2002



## S

### Safeguard Equity Group

88 Queensway, Central  
HONG KONG

Phone: +852 9573 7990

Fax: +852 3016 6330

Email: [info@safeguardequity.com](mailto:info@safeguardequity.com)

Website: [www.safeguardequity.com](http://www.safeguardequity.com)

Associated individuals: Julia Lopez; Steve Edwards; Laura Bates

Published November 2008

### Salem Asset Management

1501 Frederica Street, Duluth  
Minnesota 42101  
UNITED STATES OF AMERICA

Associated individual: David Pearson

Published 17 August 2004

### Scudder, Stevens & Clark

60 St. Mary Ave  
London  
EC3A 8JQ  
UNITED KINGDOM

Published September 2003

### Schwartz Leiberman Associates

PO Box 16425  
Seattle  
Washington, 97271  
UNITED STATES OF AMERICA

Tel:

+1 206 350 4019

+1 206 202 6202

Fax:

+1 206 299 9239

+1 206 339 4812

Email: [info@schwartzleiberman.com](mailto:info@schwartzleiberman.com)

Website: [www.schwartzleiberman.com](http://www.schwartzleiberman.com)

Associated individual: John Campbell

Posted November 2010





## Seago South

One Harbour Place  
1901 S Harbor City Blvd  
Melbourne, FL 32901  
UNITED STATES OF AMERICA

Associated individuals: John Joust; Stephen J. Seago

Published November 2007

## Shanghai M&A International

3501 Citic Square  
1168 Nanjing Xi Lu  
Shanghai 200041  
CHINA

Published on this site April 2006

## Shin Kong Wedbush

6F, No.6, Sec.4, Xinyi Rd  
Taipei  
TAIWAN

Phone: +886 2 8758 2905

Fax: +886 2 6602 1275

Email: [info@shinkongwedbush.com](mailto:info@shinkongwedbush.com)

Website: [www.shinkongwedbush.com](http://www.shinkongwedbush.com)

Published October 2010

## Sherman Brothers

Unit 1911, 19th Floor, One Pacific Place  
140 Sukhumvit Road  
Klongtoey District  
Bangkok 10110  
THAILAND

Published September 2001

## Schiller Gates Incorporated

1695 Broadway  
New York, NY 10018 - 5009  
UNITED STATES OF AMERICA


Tel: +1 646 912 6185

Fax: + 1 646 861 4847

Email: [admin@schiller-gates.com](mailto:admin@schiller-gates.com)

Website: [www.schiller-gates.com](http://www.schiller-gates.com)

Associated individuals: Andrew Steve Johnson ; John Marshall



Published October 2010

## Sigama Capital Management

14th Floor, Kamiya-cho Mori Bldg  
4-3-20 Toranomom  
Minato, Tokio  
JAPAN

Also:

Level 18, One International Finance Centre  
1 Harbour View Street  
Central  
HONG KONG

Level 14/1401, One Pacific Place  
140 Sukhumvit Road  
Bangkok  
THAILAND

Associated individuals: David Burgess; Anne Davies

Published August 2000

## Silverstone Management S.L.

Avda, Diagonal 618, Planta 9  
0821  
Barcelona  
SPAIN

Associated individual: Matthew Thompson

Published July 2005

## Simmons, Blake & Fritch


27 Floor Jefferson Towers  
9823 Hover Street  
Maverick Avenue  
St Paul, Minnesota  
UNITED STATES OF AMERICA

Associated individuals: Jennifer Stone; Kate Jones; Timothy Croft

Published September 2001

## Simon Eastwood Asset Management

15/5 Cerulean Tower  
26-1 Sakuragaoka-cho  
Shibuya-ku, Tokyo 150 8512  
JAPAN



US Office  
3330 Cumberland Blvd.,  
Atlanta, GA 30339  
UNITED STATES OF AMERICA

China Office  
989 Changle Road  
Shanghai 200031  
CHINA

Published October 2005

### Simpson Venture Limited

ABC Centre, 500 North Michigan Ave.  
300, Chicago  
UNITED STATES OF AMERICA

Associated individual: Jason Edwards

Published July 2005

### Sino Intermediaries

Level 37  
Taipei 101 Tower  
7 Xinyi Road  
Section 5  
110 Taipei  
TAIWAN

Published May 2006

### Smith & Henderson Associates Inc.

Level 21, HSBC Tower  
101 Yin Cheng East Road  
Pudong  
Shanghai  
CHINA

Serrano 240 5th Floor  
28016 Madrid  
SPAIN

Published November 2001

### Smith Davidson Group Inc.

4-2880 Queen St. East  
Suite 304  
Brampton  
ON L6S 6H4  
CANADA



Published February 2006

### Smith Klein Venture Limited

3705 Bank of America Tower  
Suite 582  
12 Harcourt Road  
HONG KONG

Associated individual: Castor Hill

Published June 2005

### South East Asia Trading

12th Floor 253 Soi Sukhumvit  
21 Asoke Road  
Bangkok 10110  
THAILAND

Associated individuals: Jamie Nettleship; Andrew Hewit; Michelle Tetreaut

Published August 2001

### Stamford - Financial

Level 14, Hibiyo Central Building  
1-2-9 Nishi Shimbashi  
Minoto-ku  
Tokyo  
JAPAN

Published November 2002

### Standard United Corporation

8 Harbour Road  
Wanchai  
HONG KONG

Phone: +852 9575 4213

Fax: +852 3015 9768

Email: [info@standardunited.com](mailto:info@standardunited.com)

Website: [www.standardunited.com](http://www.standardunited.com)

Associated individuals: Isabel Green; Ray Chavez

Published August 2008

### Sterling Capital Corp.

23rd Floor, 6750 Ayala Ave  
Makati City, Metro Manila  
1226 THE PHILIPPINES

Associated individuals: Steven Thompson; John Davis; Michael Cayhill; Jane Alexander



Published November 2001

## Sumitomo Financial Corporation

NOTE: Not to be confused with the legitimate entity Sumitomo Mitsui Banking Corporation and Sumitomo Mitsui Financial Group, Inc (<http://www.smfg.co.jp/english/>)

1-8-3 Marunouchi  
Chiyoda-Ku  
Tokyo 1006601  
Japan

Tel: 81 345 888 710

Website: [www.sumifincorp.com](http://www.sumifincorp.com)

## Sun International Mergers & Acquisitions

1661 International Drive, Memphis  
TN 38120-1431  
UNITED STATES OF AMERICA

Published February 2006

## T

### Taylor Atlantic Ltd

Level 4, Tower 2  
Petronas Twin Towers  
Kuala Lumpur 50088  
MALAYSIA

Associated individual: John Sinclair

Published June 2001

### Tech-Link International Ltd

Shinjuku Park Tower N30  
Nishishinjuku 3-7-1  
Shinjuku-ku  
Tokyo  
JAPAN 163-030

Associated individual: Frank Vacarro

Published April 2004



## Thomas Reiss & Partners

Dahnstr. 4, T7 OC, D-13403  
Berlin  
GERMANY

Published February 2006

## Titan Capital Corporation

Published April 2008

## Tradex Corporation

Unit 811-813 Tower 1  
Junefield Plaza No.6 Xuanwumenwai Street  
Xuanwu District  
Beijing  
CHINA

Published February 2007

## Transglobal Consultants Limited

Pacific Place Two Building Suite 1707  
17th Floor, 142 Sukhumvit Road, Klongtoey  
Bangkok 10110  
THAILAND

Associated individuals: Paul Jenson; Josh Kaytor; Daniel Bailey; Robert Ellis; Jeremy Blake

Published August 2000

## Trans-National Securities and Trust SA

Birmensdorferstrasse 140  
CH-8003  
Zurich  
SWITZERLAND

Associated individual: John Montana

Published December 2000

## Trident International

Suite 2207  
88 Corporate Centre, 141 Valero Street  
Salcedo Village  
Makati  
Manila  
PHILIPPINES

Associated individual: Richard Bell

Published October 2000



## Turner Goodman Group

1650 Madison Avenue, 7th Floor  
New York 11002-311  
UNITED STATES OF AMERICA

Associated individual: Jeremy Collins

Published 17 August 2004

## Tzu, Waite & Associates

105 Cecil Street  
06-01 The Octagon  
SINGAPORE 069534

9 Raffles Place  
27-01 Republic Place  
SINGAPORE 048619

Associated individuals: Jonathan Charles Waite; Jenny Su

Published September 2003

## U

### Union Transfer Inc.

469 7th Avenue  
New York, NY 10018  
UNITED STATES OF AMERICA

Phone: 1 212 401 6220

Fax: 1 206 600 6553

Email: [info@uniontransferinc.com](mailto:info@uniontransferinc.com)

Website: [www.uniontransferinc.com](http://www.uniontransferinc.com)

Associated individual: Thomas Dickson

Published August 2009

### United Capital Management Inc.

1680 Ramon Magsaysay Centre  
Roxas Boulevard  
Manila  
PHILIPPINES

Associated individual: Richard Austin

Published October 2009



## United Capital Partners

21F Marajo Tower, 312, 26th Street, Corner 4th Avenue  
Fort Bonifacio Global City  
Manila  
PHILIPPINES

Phone: 632 856 1543 ext 570  
Fax: 632 856 7220  
Email: [info@unitedcapital-partners.com](mailto:info@unitedcapital-partners.com)  
Website: [www.unitedcapital-partners.com](http://www.unitedcapital-partners.com)

Associated individual: Richard G Burden  
Email: [richard@unitedcapital-partners.com](mailto:richard@unitedcapital-partners.com)

Published October 2010

## US Department of the Treasury

NOTE: Not to be confused with the genuine US Department of the Treasury. The e-mail address, [treasgov@consultant.com](mailto:treasgov@consultant.com), and phone and fax numbers shown are fraudulent and have been established to deceive investors.

1500 Pennsylvania Avenue, NW  
Washington DC 20220  
UNITED STATES OF AMERICA

Email: [treasgov@consultant.com](mailto:treasgov@consultant.com)  
Telephone: +1 646 395 1749  
Fax: +1 646 786 4658

Associated individual: Monique Wilson

Published March 2011

## US Stock Transfers Bureau

101 Federal Street  
Boston, MA  
UNITED STATES OF AMERICA

Email: [compliance@ustb.us](mailto:compliance@ustb.us), [info@ustb.us](mailto:info@ustb.us)  
Telephone: +1 617 517 0339  
Fax: +1 617 249 1763

Associated individual: Alan Schindler

Published February 2001

## Universal Consolidated

55 Wall Street  
New York, NY 10005  
UNITED STATES OF AMERICA

Phone: +1 212 401 6180  
Fax: +1 212 401 6181





Email: [info@universalcsld.com](mailto:info@universalcsld.com)  
Website: [www.universalcsld.com](http://www.universalcsld.com)

Associated individuals: Nicole Valdez; Cain Martin; Chris March; Olivia Rios; William Waldon  
Published June 2010

## US - Internal Revenue Service

NOTE: the above entity is an impersonation of the genuine US Internal Revenue Service

1220 S.W. Third Avenue  
Portland  
Oregon 97204  
UNITED STATES OF AMERICA

Toll Free Hotline Number: +1 8888 298 244  
Email: [usirs.gov@revenue.com](mailto:usirs.gov@revenue.com)

Associated individual: David Frank  
Published December 2010

## V

### Vantage Global Partners

Aikawa Building, 25 B 7th Floor  
Nishishinjuku  
Shinjuku-ku  
6-5-1  
Tokyo  
JAPAN

Phone: +81 345 884 017  
Fax: +81 345 884 020

Emails:  
[clientservices@vantageglobalpartners.com](mailto:clientservices@vantageglobalpartners.com)  
[info@vantageglobalpartners.com](mailto:info@vantageglobalpartners.com)

Website: [www.vantageglobalpartners.com](http://www.vantageglobalpartners.com)

Associated individuals: James Martins; Michael Klein; Peter Louw  
Published September 2010

### Vantage International Management Group Inc.

Times Square Building  
12th Floor, Unit 12-04B



246 Sukhumvit Road  
Klongtoey  
Bangkok 10110  
THAILAND

Published September 2001

## VantagePro Asset Management

Level 7, Wakamatsu Building  
3-3-6 Nihonbashi-Honcho, Chuo-Ku  
Tokyo 103-0023  
JAPAN

Tel: +81 3 6202 2913

Fax: +81 3 6202 2912

Associated individual: Richard Weller

Website: [www.vantagepro.jp](http://www.vantagepro.jp)

Email: [richard.weller@vantagepro.jp](mailto:richard.weller@vantagepro.jp)

Published February 2010

## VIP World Asset Management Co

Shirlaw House, Shirley Street  
P O Box SS-19084  
Nassau  
THE BAHAMAS

Associated individual: Joseph Santeramo

Published October 2000

## W

### Warren and Baker

Otemachi First Square East Tower 4F  
1 - 5 - 1 Otemachi  
Chiyoda-ku  
Tokyo 100-0004  
JAPAN

Associated individuals: Frank Raul; William H. Warren; James Rayburn

Published October 2003



## Webster Acquisitions

29th floor, One Canada Square  
Canary Wharf  
LONDON E14 5DY

Associated individual: Stephen Larson

Published November 2004

## West Golden Capital

Level 14 & 15, Prudential Tower  
30 Cecil Street  
SINGAPORE 049712  
Fax: +65 6491 5143  
Email: [support@westgoldencapital.com](mailto:support@westgoldencapital.com)  
Website: [www.westgoldencapital.com](http://www.westgoldencapital.com)

Associated individuals: Ronald Nicholson; Shaun Vincent; Brian O'Connor; Lourens Waller

Published March 2010

## The West Group

Glockengießerwall 17  
Hamburg  
GERMANY 20095

Associated individual: Doug Mason

Published March 2005

## West Pac Inc.

Published November 2006

## Westernfield Holdings Inc.

Shinjuku Park Tower S 20/F  
3-7-1 Nishi-Shinjuku  
Shinjuku-ku Tokyo 163-1035  
JAPAN

Phone: + 81-345209532

Fax: + 81-344966474

Email: [info@western-field.com](mailto:info@western-field.com)

Website: [www.western-field.com](http://www.western-field.com)

Associated individuals: Alex Barclay; Anthony Barling

Published February 2010



## Western Equities Corporation

Manhattan Business Centre, 15th Floor, 410 Park Avenue  
New York NY10022  
UNITED STATES OF AMERICA

Tel: +1 646 360 1663  
Fax: +1 914 462 3791  
Email: [infodesk@westernequitiescorp.com](mailto:infodesk@westernequitiescorp.com)  
Website: [www.westernequitiescorp.com](http://www.westernequitiescorp.com)

Associated individual: Kenneth Logan

Published March 2010

## Westgate Capital Management

The Westgate Capital Management listed here has stolen the identity of a legitimate firm in the United States.

The legitimate Westgate Capital Management is located at One Blue Plaza, 11th floor, Pearl River, NY 10965. They can be contacted on the phone at +1 845 620 1818 or by fax +1 845 620 6868.

UNITED STATES OF AMERICA

Published April 2008

## Whitby Dumas

130 Cromwell Street  
LONDON SW5 OBW

Published on this site 04 June 2004

## Whitman Lloyds and Associates Mergers and Acquisitions

70 West Madison Street  
Chicago  
IL 60602-4270  
UNITED STATES OF AMERICA

Published March 2006

## Whitman Wright & Associates

1886 Steeles Avenue west, Suite 201 Concord  
Ontario L4K 3E9  
CANADA

Published 04 June 2004

## The Williams Group

29 Harley Street  
London W1G 9QR

Associated individual: William Edwards

Published November 2004



## Worldwide Investors Management Inc.

Suites 303 and 305  
Valero Plaza  
124 Valero Street  
Salcedo Village  
Makati  
Manila  
PHILIPPINES

Associated individuals: Chase Trek; Ramiro Yabut; Christian Dupont; Richard Austin; Nathan Logan; Amador Pastrana; Toby Forster; Peter Lawson

Published October 2000

## Worldwide Service Inc.

322-2906 West Broadway Avenue  
Vancouver, British Columbia  
CANADA

Associated individual: Jeffery Diamond

Published July 2004

## X

### The Xenon Group

979 King's Road  
Island East  
HONG KONG-2761

Published August 2006

## Y

### Younger & Hausmann Private Equity

105 Cecil Street  
# 106 - 01 The Octagon  
SINGAPORE 069534

Published February 2005

### Youngson International Holdings Limited

45/F 1 Exchange Square  
8 Connaught Place  
HONG KONG

Published July 2005



## Z

### Zeus Enterprises

86 Queens Road Central  
HONG KONG

Published November 2005