

# 立法會

## Legislative Council

立法會CB(1)1930/04-05號文件

檔號：CB1/BC/6/04

### 《2005年證券及期貨(修訂)條例草案》委員會

2005年7月5日會議文件

#### 引言

在法案委員會2005年5月30日會議上，委員關注在政府當局的分拆建議下證券及期貨事務監察委員會未來的主席或行政總裁暫時缺勤期間的署任安排。考慮到英國金融服務管理局的運作經驗可作為有用的參考資料，主席指示秘書處向金融服務管理局尋求該局作出署任安排的做法的相關資料。

#### 向金融服務管理局作出查詢

2. 根據金融服務管理局網站登載的資料，金融服務管理局主席在該局的日常運作上無須承擔行政責任。然而，金融服務管理局現任主席Callum McCarthy爵士將於該局行政總裁John Tiner先生在2005年6月至9月缺勤期間暫代行政總裁之職。從金融服務管理局網站下載的相關資料夾附於**附件**。
3. 金融服務管理局回應秘書處的查詢時表示，金融服務管理局董事會討論上述署任安排的有關會議的紀要摘錄，將於2005年7月登載於金融服務管理局網站。秘書處並獲悉，金融服務管理局將於2006年6月／7月發表2005至06年度《年報》，屆時《年報》中的相關部分也可供參考。
4. 秘書處會繼續留意登載於金融服務管理局網站的相關資料，並會向委員匯報最新情況。

立法會秘書處  
議會事務部1  
2005年6月30日



## About the FSA

### Who are we

### The Board

## Sir Callum McCarthy

Chairman, the FSA



Sir Callum McCarthy joined the FSA in September 2003 from the Office of Gas and Electricity Markets where he was Chairman and Chief Executive. He had previously held senior positions in Barclays Bank, BZW and Kleinwort Benson, as well Department for Trade and Industry.

He is an economist and graduate of the School of Business at Stanford University, where he was a Sloan Fellow.

His early career was in the chemical industry, and in the DTI where he held several posts including Principal Private Secretary to Roy Hattersley when he was Secretary of State for Prices and Consumer protection and to Norman Tebbit when he was Secretary of State for Trade and Industry.

In 1985 he left the DTI and joined Kleinwort Benson as Director of Corporate Finance. In 1989 he joined Barclays' investment banking arm, BZW, as Managing Director and Deputy Head of Corporate Finance later becoming Chief Executive Officer of Barclays Bank group operations in Japan before moving to head the Bank's businesses in North America.

He left Barclays to become Director-General of the gas regulator Ofgas in 1998. When the new energy super-regulator Ofgem was set up the following year he became Chief Executive before becoming executive Chairman in 2000. At Ofgem he oversaw the introduction of greater competition into the gas and electricity markets.

Sir Callum is married with two sons and one daughter. He was born on 29 February 1944.

Sir Callum will be acting as the FSA's Chief Executive during John Tiner's absence between June and September 2005.



About the FSA

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**The Board**

## John Tiner

FSA Chief Executive



John Tiner was appointed FSA Chief Executive in September 2003. He joined the FSA in April 2001 as Managing Director of Consumer, Investment and Insurance Directorate following a broad-ranging career at Arthur Andersen. As Managing Director he spearheaded reform of regulation of the insurance industry and handled the implications of testing conditions in the equity market. He also had the most senior responsibility within the FSA for consumer interests and for developing the regulatory regime for mortgage and general insurance business.

John joined Arthur Andersen in 1976 and became Head of their world-wide Financial Services Industry practice in 1997. He led the Bank of England review of UK banking supervision in 1996 and worked on significant financial services assignments in Japan, the US, Germany, Norway and the Czech Republic. He is a member of the Institute of Chartered Accountants in England and Wales.

John was born on 25 February 1957 and is married with three children. He was educated at St Peter's School, Guildford and at Kingston University. John's interests revolve around family life, playing tennis, sailing and supporting Leeds United and Bath Rugby.

John will be absent from the office from the beginning of June until early September 2005. During this time Callum McCarthy will take over his Chief Executive responsibilities alongside his role as Chairman.

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About the FSA

Who are we

Management  
structure

Who's who in the  
FSA

Chairman

## Chairman

The Chairman has no executive responsibility for the day-to-day running of the FSA. However, Sir Callum will be acting as the FSA's Chief Executive during John Tiner's absence between June and September 2005.



Sir Callum  
McCarthy



Chairman

[Biography](#)

### The key responsibilities of the Chairman are to:

1. establish and develop an effective Board;
2. lead the Board as a team;
3. plan and manage the Board's business;
4. establish priorities for the FSA;
5. maintain and develop a productive relationship with the FSA Chief Executive, for whose recruitment he is responsible;
6. with the Chief Executive, lead the communication of FSA policies with a wide range of constituencies;
7. represent the FSA on particular national and international financial institutions;
8. establish and maintain high level contacts with the most important financial institutions worldwide;
9. act as an accountability focus for the FSA, chairing its annual public meeting, giving evidence to select committees, and writing to the Chancellor (if needed) on the most significant issues arising under the formal exchange of letters of December 2001;
10. represent FSA in the most senior meetings of the Tripartite Standing Committee, alongside the Chancellor of the Exchequer and the Governor of the Bank of England.