

Abbreviations

AIs	authorized institutions
BAO	Banking (Amendment) Ordinance 2002
BMs	branch managers
BO	Banking Ordinance (Cap. 155)
BOCHK	Bank of China (Hong Kong) Limited
CC	Consumer Council
CCB	Commercial Crime Bureau
CDO	collateralized debt obligations
CDS	credit default swap
CEO/SFC	Chief Executive Officer of the Securities and Futures Commission
CFD	Corporate Finance Division
CFR	Council of Financial Regulators
CHKL	Citibank (Hong Kong) Limited
CLAF	Consumer Legal Action Fund
CO	Companies Ordinance (Cap. 32)
CO Marketing Guidelines	"Guidelines on use of offer awareness and summary disclosure materials in offerings of shares and debentures under the Companies Ordinance" issued by the Securities and Futures Commission

Code of Conduct	Code of Conduct for persons licensed by or registered with the Securities and Futures Commission
DBSHK	DBS Bank (Hong Kong) Limited
DCE/HKMA	Deputy Chief Executive of the Hong Kong Monetary Authority
DPE	Diploma Programme Examination
DSB	Dah Sing Bank, Limited
ECHP	enhanced complaint-handling procedures
ED	executive director
EMTN	Euro Medium Term Note
EOs	executive officers
FDRC	Financial Dispute Resolution Centre
FPE	Foundation Programme Examination
FS	Financial Secretary
FSA	Financial Services Authority
FSC	Financial Stability Committee
FSTB	Financial Services and the Treasury Bureau
GP	general principles fundamental to the undertaking of regulated activities by intermediaries in the Code of Conduct
HKAB	The Hong Kong Association of Banks
HKMA	Hong Kong Monetary Authority

HKMA Review Report	Report of the Hong Kong Monetary Authority on Issues Concerning the Distribution of Structured Products Connected to Lehman Group Companies
HKSI	Hong Kong Securities Institute
ICs	investment consultants
IEC	Investor Education Council
Internal Control Guidelines	Management, Supervision and Internal Control Guidelines for Persons Licensed by or Registered with the Securities and Futures Commission
IPD	Investment Products Department
KYC	know your client
LB	Lehman Brothers
LB structured products	Lehman Brothers-related structured financial products
LBAL	Lehman Brothers Asia Limited
LB-CLNs	Lehman Brothers-related Constellation Notes
LB-ELNs	Lehman Brothers-related equity-linked notes
LBHI	Lehman Brothers Holdings Inc.
LB-PPNs	Principal Protected Notes issued by LB
LBTC	Lehman Brothers Treasury Co. B.V.
LCs	licensed corporations

LCPPO	Legislative Council (Powers and Privileges) Ordinance (Cap. 382)
LE	Licensing Examination
LegCo	Legislative Council
MA	Monetary Authority
Mevas	Mevas Bank Limited
MLNs	Market-linked Notes
MoU	Memorandum of Understanding signed between the Securities and Futures Commission and the Hong Kong Monetary Authority in December 2002
NASD	National Association of Securities Dealers
NDD	Notice of Disciplinary Decision
NID	Notice of Intention to Impose Disciplinary Sanction
NPDA _s	Notices of Proposed Disciplinary Action
OCI	Office of the Commissioner of Insurance
PIFL	Pacific International Finance Limited
PKFS	Product Key Facts Statement
RBS	The Royal Bank of Scotland N.V.
ReIs	relevant individuals
RI _s	registered institutions
RM _s	relationship managers

SCBHK	Standard Chartered Bank (Hong Kong) Limited
SFAT	Securities and Futures Appeals Tribunal
SFC	Securities and Futures Commission
SFC Review Report	Issues raised by the Lehmans Minibonds crisis – Report to the Financial Secretary
SFO	Securities and Futures Ordinance (Cap. 571)
SFST	Secretary for Financial Services and the Treasury
SHKIS	Sun Hung Kai Investment Services Limited
SIP Code	Code on Unlisted Structured Investment Products
SPM	Supervisory Policy Manual of the Hong Kong Monetary Authority
Suitability FAQ	"Frequently Asked Questions and Answers on Suitability Obligations" issued by the Securities and Futures Commission in May 2007
TCF	Treating Customers Fairly
the Subcommittee	Subcommittee to study issues arising from Lehman Brothers-related Minibonds and structured financial products
UK	United Kingdom
US	United States of America