

Schedule of hearings and attending witnesses

| <i>Phase I of Stage 2 – Hearings to receive evidence from the Administration and the regulators</i> | | |
|---|---------------------|--|
| <u>Hearing</u> | <u>Dates</u> | <u>Witnesses</u> |
| 1 | 20 February 2009 | Professor CHAN Ka Keung Secretary for Financial Services and the Treasury |
| 2 | 24 February 2009 | |
| 3 | 27 February 2009 | |
| 4 | 20 March 2009 | |
| 5 | 14 April 2009 | Mr Joseph YAM Chi-kwong Monetary Authority |
| 6 | 17 April 2009 | |
| 7 | 28 April 2009 | |
| 8 | 8 May 2009 | |
| 9 | 15 May 2009 | |
| 10 | 22 May 2009 | |
| 11 | 26 May 2009 | Mr Y K CHOI Deputy Chief Executive of Hong Kong Monetary Authority |
| 12 | 2 June 2009 | |
| 13 | 5 June 2009 | |
| 14 | 12 June 2009 | |
| 15 | 23 June 2009 | Mr Martin WHEATLEY Chief Executive Officer Securities and Futures Commission |
| 16 | 26 June 2009 | |
| 17 | 3 July 2009 | |
| 18 | 7 July 2009 | |

| <u>Hearing</u> | <u>Dates</u> | <u>Witnesses</u> |
|----------------|------------------|---|
| 19 | 17 July 2009 | Mr Brian HO Executive Director Corporate Finance Division of the Securities and Futures Commission |
| 20 | 21 July 2009 | |
| 21 | 3 August 2009 | Mr Martin WHEATLEY Chief Executive Officer Securities and Futures Commission |
| 22 | 10 November 2009 | Mr Y K CHOI Deputy Chief Executive of Hong Kong Monetary Authority |
| 23 | 17 November 2009 | |
| 24 | 11 December 2009 | Mr John C TSANG Financial Secretary |
| 25 | 18 December 2009 | |
| 26 | 8 January 2010 | Mr Martin WHEATLEY Chief Executive Officer Securities and Futures Commission |
| 27 | 19 January 2010* | Mr KO Ping Chung Harold Former employee Securities and Futures Commission |
| 28 | 26 January 2010 | |
| 29 | 29 January 2010 | |
| 30 | 9 February 2010 | Mr Martin WHEATLEY Chief Executive Officer Securities and Futures Commission |
| 31 | 26 March 2010 | |

(* denotes closed hearings)

Phase II of Stage 2 – Hearings to receive evidence from the top/senior management of six selected banks

| <u>Hearing</u> | <u>Dates</u> | <u>Witnesses</u> |
|-----------------------|---------------------|---|
| 32 | 16 April 2010 | Ms Amy YIP Chief Executive Officer |
| 33 | 20 April 2010 | DBS Bank (Hong Kong) Limited |
| 34 | 23 April 2010 | Ms Linda WONG |
| 35 | 30 April 2010 | Managing Director and Head of Consumer Banking Hong Kong & Mainland China DBS Bank (Hong Kong) Limited Ms Janet Hey CHONG Senior Vice President Consumer Investment & Insurance Products Consumer Banking DBS Bank (Hong Kong) Limited |
| 36 | 7 May 2010 | Mr HUNG Pi-cheng, Benjamin Executive Director & Chief Executive Officer |
| 37 | 11 May 2010 | Standard Chartered Bank (Hong Kong) Limited |
| 38 | 14 May 2010 | Ms Mary Wai Yi HUEN Head of Consumer Banking Standard Chartered Bank (Hong Kong) Limited |
| 39 | 25 May 2010 | Mr LO Wai-pak, Weber Chief Executive Officer & Country Business Manager |
| 40 | 28 May 2010 | Citibank (Hong Kong) Limited |
| 41 | 1 June 2010 | Ms Fanny LUM Director of Wealth Management Citibank (Hong Kong) Limited |

| <u>Hearing</u> | <u>Dates</u> | <u>Witnesses</u> |
|----------------|---------------|---|
| 42 | 4 June 2010 | Mr HUNG Pi-cheng, Benjamin Executive Director & Chief Executive Officer Standard Chartered Bank (Hong Kong) Limited Ms Mary Wai Yi HUEN Head of Consumer Banking Standard Chartered Bank (Hong Kong) Limited |
| 43 | 29 June 2010 | Ms Amy YIP Chief Executive Officer DBS Bank (Hong Kong) Limited Ms Linda WONG Managing Director and Head of Consumer Banking Hong Kong & Mainland China DBS Bank (Hong Kong) Limited Ms Janet Hey CHONG Senior Vice President Consumer Investment & Insurance Products Consumer Banking DBS Bank (Hong Kong) Limited |
| 44 | 6 July 2010 | Mr CHU Ren-ye, Alexander Country Executive, Hong Kong |
| 45 | 9 July 2010 | The Royal Bank of Scotland N.V. Mr John SHELLEY Chief Operating Officer (Retail and Commercial Markets, Asia) The Royal Bank of Scotland N.V. |
| 46 | 13 July 2010* | Mr Martin WHEATLEY# Chief Executive Officer Securities and Futures Commission |

| <u>Hearing</u> | <u>Dates</u> | <u>Witnesses</u> |
|-----------------------|---------------------|--|
| 47 | 13 July 2010 | Mr CHU Ren-yee, Alexander Country Executive, Hong Kong The Royal Bank of Scotland N.V. Mr John SHELLEY Chief Operating Officer (Retail and Commercial Markets, Asia) The Royal Bank of Scotland N.V. |
| 48 | 21 September 2010 | |
| 49 | 28 September 2010* | Ms Linda WONG Managing Director and Head of Consumer Banking Hong Kong & Mainland China DBS Bank (Hong Kong) Limited |
| 50 | 28 September 2010* | Mr LAM Yim-nam Deputy Chief Executive Bank of China (Hong Kong) Limited |
| 51 | 28 September 2010* | Ms Fanny LUM Director of Wealth Management Citibank (Hong Kong) Limited |
| 52 | 28 September 2010* | Mr John C LAM Alternate Chief Executive and Executive Director Dah Sing Bank, Limited |
| 53 | 5 October 2010 | Mr HE Guangbei Vice Chairman and Chief Executive Bank of China (Hong Kong) Limited Mr LAM Yim-nam Deputy Chief Executive Bank of China (Hong Kong) Limited |
| 54 | 8 October 2010 | |
| 55 | 8 October 2010* | Mr LAM Yim-nam Deputy Chief Executive Bank of China (Hong Kong) Limited |

| <u>Hearing</u> | <u>Dates</u> | <u>Witnesses</u> |
|--|---------------------|---|
| 56 | 19 October 2010* | Mr CHU Ren-yee, Alexander Country Executive, Hong Kong The Royal Bank of Scotland N.V. |
| 57 | 19 October 2010* | Ms Mary Wai Yi HUEN Head of Consumer Banking Standard Chartered Bank (Hong Kong) Limited |
| 58 | 19 October 2010* | Ms Fanny LUM Director of Wealth Management Citibank (Hong Kong) Limited |
| 59 | 19 October 2010 | Mr HE Guangbei Vice Chairman and Chief Executive Bank of China (Hong Kong) Limited |
| 60 | 23 October 2010(am) | |
| 61 | 23 October 2010(pm) | |
| 62 | 2 November 2010 | Mr WONG Hon-Hing, Derek Managing Director and Chief Executive Dah Sing Bank, Limited |
| 63 | 5 November 2010 | |
| 64 | 9 November 2010 | |
| (The post titles/positions indicated against the names of the above witnesses are those held by the witnesses when they attended the hearings) | | |

(* denotes closed hearings)

(# The evidence received from the witness was in connection with Phase I)

| <i>Phase III of Stage 2 – Hearings to receive evidence from the frontline staff of the six banks</i> | | |
|--|-------------------------------------|---------------------------------------|
| <u>Hearing</u> | <u>Dates</u> | <u>Witnesses</u> |
| 65 to 90 | From December 2010 to January 2011* | 26 frontline staff from the six banks |
| <i>Phase IV of Stage 2 – Hearings to receive evidence from certain investors who had purchased LB structured products through the six banks</i> | | |
| <u>Hearing</u> | <u>Dates</u> | <u>Witnesses</u> |
| 91 | 25 February 2011 | Ms IP Chun |
| 92 | 25 February 2011 | Mr NG Joong-yee |
| 93 | 25 February 2011 | Ms HO Lai-yuet |
| 94 | 18 March 2011 | Ms TAM Sui-lin |
| 95 | 18 March 2011 | Ms KO Yuk-ha |
| 96 | 22 March 2011 | Ms CHUNG Kit-chu |
| 97 | 22 March 2011 | Mr KAN Bing-kwong |
| 98 | 25 March 2011 | Mr TSE Chin-to |
| 99 | 25 March 2011 | Ms FUNG Kit-mui |
| 100 | 12 April 2011 | Ms FUNG King-cheung, Vency |
| 101 | 12 April 2011 | Ms CHAN King-hing |
| 102 | 12 April 2011 | Mr YIP Kai-chiu |
| 103 | 19 April 2011 | Ms LI Yuk-mui |
| 104 | 19 April 2011 | Ms LAW Siu-luen |
| 105 | 19 April 2011 | Mr KWOK Ming-sum |
| 106 | 31 May 2011 | Mr YEE Heung-ming |

(* denotes closed hearings)