

Follow-up to the hearing in the afternoon on 23 October 2010

**Information (including relevant documents and records, if any)
on the following issues**

1. It is stated in paragraph 68.1 of W40(C) that 282 complaint cases involving Minibonds remained unresolved. Of these cases, please advise:
 - (a) the number of cases that has been/are in litigation; and
 - (b) the number of cases where prosecution has been initiated by the Police.
- 1.1 Out of these 282 cases, there are 4 cases where there is civil litigation and there are 2 cases where prosecution has been initiated by the Police.
2. Please provide a full set of the series-specific training materials provided to the Relevant Individuals of BOCHK in preparation for the launch of each series of Lehman Brothers (LB)-related structured financial products as mentioned in paragraph 23.8 of W40(C) (excluding those that had already been provided to the Subcommittee).
- 2.1 Please refer to Attachment 1.
3. It is stated in paragraph 36.1 of W40(C) that there were more than one version of Questionnaire on Investment Preference (QIP). Please provide a copy of all versions of the QIP from April 2003 to September 2008 and their respective scoring methodology.
- 3.1 From April 2003 to September 2008, the QIP had been reviewed and enhanced and there were four versions (August 2003, August 2004, April 2006 and March 2007) during the said period. Please refer to Attachment 2 for copies of the QIPs and their respective scoring methodologies.

List of Attachments

Attachment 1	
– training materials of Lehman Brothers-related structured financial products	
1.	Minibond Series 9 – 六星級
2.	Minibond Series 10 – 堡壘
3.	Minibond Series 11 – 將士
4.	Minibond Series 12 – 長城 (發售日期至 2004 年 8 月 27 日)
5.	Minibond Series 15 – 長城 (發售日期至 2004 年 12 月 17 日)
6.	Minibond Series 16 – 金字塔
7.	Minibond Series 17 – 金鼎
8.	Minibond Series 18 – 金牌
9.	Minibond Series 19 – 金錢
10.	Minibond Series 20 – 金聲
11.	Minibond Series 21 – 金象獎
12.	Minibond Series 22 – 金龍
13.	Minibond Series 23 – 高飛
14.	Minibond Series 25 – 騰飛
15.	Minibond Series 26 – 金象獎 II
16.	Minibond Series 28 – 佳釀 II
17.	Minibond Series 29 – 駿駒
18.	Minibond Series 30 – 金醇
19.	Minibond Series 31 – 犀利
20.	Minibond Series 33 – 高瞻
21.	Pyxis Notes Series 20
22.	Pyxis Notes Series 21
23.	Profund Notes Series 1 – 蜜源
24.	Profund Notes Series 2 – 神州
25.	Constellation Notes Series 55 – 58
26.	Octave Notes Series 10 – 精明
27.	Octave Notes Series 11 – 12 – 精明
Attachment 2	
– Questionnaire for Investment Preference (QIP) & scoring methodology	
28.	August 2003
29.	August 2004
30.	April 2006
31.	March 2007