

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

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

1. It is stated in item 67a of W40(C) (Mr HE's written statement) that the highest number of complaints received by your staff member in relation to Lehman Brothers (LB)-related Minibonds was 84 complaints. Please advise:
 - (a) the name of the staff member who had received the highest number of complaints (84 complaints) in relation to the sale of LB-related Minibonds and the branch to which the person belonged; and
 - 1.1 The 84 complaints are related to [REDACTED] who worked in 3 branches, namely Stage 2 Mei Foo Sun Chuen Branch, Mei Foo Mount Sterling Mall Branch, and Mei Foo VIP Centre. The Minibond transactions handled by her spanned from March 2004 to February 2008 during the Relevant Period.
 - (b) of these 84 complaints, a breakdown on the number of such complaints that had been settled before and after the introduction of the enhanced complaint handling procedure.
 - 1.2 Out of 84 complaints received, 74 cases (52 of which were settled under the Repurchase Scheme) were settled before the implementation of the enhanced complaint handling procedure, while 7 cases were settled after going through the enhanced complaint handling procedure. The remaining 3 complaints were rejected after investigation under the enhanced complaint handling procedure.