

Dated 28 June 2010

**WRITTEN RESPONSE OF  
MR CHU REN-YEE, ALEXANDER, COUNTRY EXECUTIVE, HONG KONG,  
THE ROYAL BANK OF SCOTLAND N.V.**

To the facsimile dated 21 June 2010 from the Subcommittee to Study Issues Arising  
from Lehman Brothers-related Minibonds and Structured Financial Products of the  
Hong Kong Legislative Council

**RESPONSE TO REQUEST FOR ADDITIONAL INFORMATION**

- 1** Regarding the complaint cases handled by Hong Kong Monetary Authority (HKMA) concerning The Royal Bank of Scotland N.V.(RBS)'s sale of Lehman Brothers-related investment products during the period April 2005 to May 2008, please clarify the following:
  - (a)** whether RBS is aware of the number of such complaint cases which have been referred by HKMA to the Securities and Futures Commission (SFC); if yes, please provide the number of cases and the number of existing staff and/or former staff involved;
  - (b)** whether RBS has received a copy of the proposed disciplinary notice or decision notice issued to the relevant individual(s) (RI) concerned or whether RBS has been notified of the issuance of such notices to the RI(s); and
  - (c)** if the answer to (b) is in the affirmative, the number of existing and/or former staff and the number of cases involved.
- 1.1** The Royal Bank of Scotland N.V. (formerly ABN AMRO Bank N.V.) (“RBS”) is either not aware of, or is subject to secrecy obligations in relation to, such information. RBS is therefore unable to provide that information.