

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-ye, 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)