



## Appendix E

### List of Respondents to the Consultation Paper

(in alphabetical order)

1. A group of accounting students from the Hong Kong University of Science and Technology
2. ABN AMRO Asset Management (Asia) Ltd
3. AIA Wealth Management Company Limited
4. Allen & Overy (安理國際律師事務所)
5. Allianz Global Investors Hong Kong Limited
6. American International Assurance Company (Bermuda) Limited
7. Andrew Godwin
8. Australasian Compliance Institute
9. AXA China Region Investment Services Limited & AXA China Region Insurance Bermuda Company Limited
10. Barclays Capital Asia Limited
11. Brian Lo
12. CACEIS Hong Kong Ltd
13. CASH Financial Services Group Limited (時富金融服務集團)
14. Chan
15. Chen Weizhen
16. Chinese Securities Association of Hong Kong (香港中資證券業協會)
17. Chiu
18. Clifford Chance (高偉紳律師行)
19. CompliancePlus Consulting Limited
20. Consumer Council (消費者委員會)
21. Convoy Asset Management Limited & Convoy Investment Services Limited (康宏理財)



22. Deacons (的近律師行)
23. Franklin Templeton Investments (Asia) Limited
24. Friends Provident International Ltd. (英國友誠國際有限公司)
25. Fung
26. Glenn Turner
27. Hong Kong General Chamber of Commerce (香港總商會)
28. Hong Kong Investment Funds Association (香港投資基金公會)
29. Hong Kong Securities & Futures Industry Staff Union (香港證券及期貨業職工會)
30. Hong Kong Securities Association Ltd. (香港證券業協會有限公司)
31. Hong Kong Securities Professionals Association (香港證券學會)
32. Hong Kong Trustees' Association Ltd (香港信託人公會)
33. HSBC Insurance (Asia-Pacific) Holdings Limited
34. Institute of Financial Planners of Hong Kong (香港財務策劃師學會)
35. International Swaps and Derivatives Association, Inc (ISDA)/ Securities Industry and Financial Markets Association (SIFMA)
36. ipac financial planning Hong Kong Limited
37. JPMorgan Funds (Asia) Limited
38. JPMorgan Securities (Asia Pacific) Limited
39. K C Lo
40. Karl-Thomson Securities Co. Ltd.
41. Ko Tsun Hung Nelson
42. Lee Yuk Kwan
43. Lo Chi Kwong (盧志光)
44. Lovells (路偉律師行)
45. M. J. Kenny
46. Mallesons Stephen Jaques
47. Manley Tai



48. Manulife (International) Limited (宏利)
49. Manulife Asset Management (Hong Kong) Limited
50. Matthew Man Shek Poon
51. Office of Hon. IP LAU Suk Yee, Regina (葉劉淑儀議員辦事處)
52. OSK Securities Hong Kong Limited
53. Philip Chiu
54. Pictet (Asia) Limited
55. Professional Insurance Brokers Association (香港專業保險經紀協會)
56. Quam Securities Company Limited (華富嘉洛證券有限公司)
57. Raymond W. So
58. SBI E2-Capital (HK) Limited (軟庫金匯融資有限公司)
59. SG Securities (HK) Limited
60. Simmons & Simmons on behalf of UBS
61. Standard Life (Asia) Limited
62. State Street Global Advisors Asia Limited
63. Sun Life Hong Kong Limited (香港永明金融有限公司)
64. Taifook Securities Company Limited (大福證券有限公司)
65. The Alternative Investment Management Association Limited (AIMA) - Hong Kong Branch
66. The British Chamber of Commerce in Hong Kong (香港英商會)
67. The Hong Kong Association of Banks (香港銀行公會)
68. The Hong Kong Association of Online Brokers Limited
69. The Hong Kong Confederation of Insurance Brokers (香港保險顧問聯會)
70. The Hong Kong Federation of Insurers (香港保險業聯會)
71. The Hong Kong Society of Financial Analysts (香港財經分析師學會)
72. The Independent Financial Advisors Association



73. The Institute of Securities Dealers Ltd. (證券商協會有限公司)
74. The Law Society of Hong Kong (香港律師會)
75. UBS AG
76. Vincent Cheng
77. Wong Chung Ngok
78. Wong Kin Wing
79. Wong Kwok Tung
80. Yip Chun Kong
81. 保障投資者協會
82. 倫樹霖
83. 國際金融管理學會 (IAFM) 香港分會
84. 香港財務策劃人員總工會
85. Other submissions from individuals - Over 700 responses, which appear to contain similar suggestions

The respondents above have no objection to publication of their respective names and content of their submissions.