

## Our management

### Executive Directors

#### Martin Wheatley, JP Chief Executive Officer

(From 23 June 2006. Current appointment expires on 30 September 2011.)

SFC: Chairman (from 1 October 2005 to 22 June 2006) and Executive Director, Supervision of Markets Division (from 6 June 2005 to 30 September 2005); Member, FSB Standing Committee on Standards Implementation; Member, IOSCO Technical Committee; Chairman, IOSCO Technical Committee Task Force on Short Selling; Member of Council of the Treasury Markets Association and HKEx Listing Nominating Committee. Deputy Chief Executive, London Stock Exchange (LSE) 2001-2004; Board Member, LSE 1998-2004; Chairman, FTSE International Ltd 2000, 2002, 2004; Member, Listing Authority Advisory Committee of the Financial Services Authority of England 2003-2004.

Chairs Executive Committee. Member of Advisory Committee, Budget Committee and SFC (HKEC Listing) Committee.

#### Brian Ho Executive Director, Corporate Finance Division

(From 28 August 2006. Current appointment expires on 27 August 2012.)

SFC: 1992-1994 and 1995-present; Senior Director, 2000-2006. Solicitor admitted in Hong Kong in 1988. Member of HKEx Listing Nominating Committee. Member of the Advisory Committee on Bond Market Development.

Chairs Public Shareholders Group. Member of Executive Committee.

#### Paul Kennedy Executive Director and Chief Operating Officer

(From 16 October 2006. Appointment expired on 7 April 2010.)

Chartered Accountant; Certified Public Accountant; KPMG Hong Kong 1983-2005: Partner 1990-2005; Member, Advisory Committee on Human Resources Development in the Financial Services Sector; Member, Business Support Committee, Hong Kong Securities Institute; Member, Regulatory Accountability Board, Hong Kong Institute of Certified Public Accountants.

Chairs Investor Education Advisory Committee. Member of Advisory Committee, Budget Committee, Executive Committee and SFC (HKEC Listing) Committee. Director of the Investor Compensation Company Ltd.

#### Alexa Lam Executive Director, Policy, China and Investment Products Division and Deputy Chief Executive Officer

(From 1 December 2001. Current appointment expires on 28 February 2011.)

SFC: Executive Director and Chief Counsel (March-November 2001), Chief Counsel 1999-2001, Senior Adviser-Chairman's Office 1998-1999; Visiting Lecturer, Faculty of Law, University of Hong Kong 1997-1998; Private law practice in Hong Kong, New York and Chicago 1981-1997; Member, Hong Kong Trade Development Council Financial Services Advisory Committee; Member, Professional Advisory Board – The University of Hong Kong Faculty of Law's Asian Institute of International Financial Law; Member, Finance Management Committee, The Hong Kong Management Association (since 9 September 2009).

Chairs Committee on Unit Trusts, Committee on Investment-Linked Assurance and Pooled Retirement Funds, Committee on Real Estate Investment Trusts and Academic and Accreditation Advisory Committee. Member of Advisory Committee, Budget Committee, Executive Committee, Securities Compensation Fund Committee, Investor Compensation Fund Committee and SFC (HKEC Listing) Committee.

#### Keith Lui Executive Director, Supervision of Markets Division

(From 28 August 2006. Current appointment expires on 27 August 2012.)

SFC: 1991-1994 and 1995-present; Commission Secretary, 2001-2004; Senior Director, 2002-2006. Member of HKEx Risk Management Committee.

Chairs Securities Compensation Fund Committee and Investor Compensation Fund Committee. Member of Budget Committee, Executive Committee and SFC (HKEC Listing) Committee. Director of the Investor Compensation Company Ltd.

#### Mark Steward Executive Director, Enforcement Division

(From 25 September 2006. Current appointment expires on 24 September 2012.)

Deputy Executive Director, Enforcement, Australian Securities and Investments Commission (ASIC) 2004-2006; Director, Enforcement, ASIC 2003-2004; Solicitor admitted in Australia in 1990.

Member of SFC (HKEC Listing) Committee and Executive Committee.



*Front row (left to right) Martin Wheatley, Brian Ho and Alexa Lam. Back row (left to right) Mark Steward and Keith Lui.*