

**REPORT ON  
SECURITIES ACTIVITY ON THE INTERNET III**

**ANNEX 2 – PARTICIPANTS ROUND TABLES**

## **Asian Roundtable Hong Kong, 23 – 25 June 2002**

### Panelists<sup>1</sup>

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|------------------------|--|
| Mr Peter Bobris        | - Financial Markets Executive, IBM Corp., Greater China  |
| Mr John Fildes         | - Executive Director, Morgan Stanley Dean Witter Asia Ltd, Hong Kong                                     |
| Mr Sadakazu Osaki      | - Head of Capital Market Reseach Group, Nomura Research Institute, Japan                                 |
| Mr Peter Koo           | - Partner, Security Consulting Services, Deloitte Touche Tohmatsu, HK                                    |
| Mr Shu-Pui Li          | - Consultant, Hong Kong Monetary Authority, HK   |
| Mr Hiroko Uto          | - General Manager, Daiwa Institute of Research, Japan  |
| Mr Stephen Fletcher    | - Senior Associate, Linklaters, HK   |
| Mr Ian Struthers       | - Chief Executive Officers, DBS TD Waterhouse, Singapore   |
| Mr Larry Wok           | - Vice Chairman, Consumer Council, HK  |
| Mr Bernard Pouliot     | - Chairman, Quam Limited, HK   |
| Mr Hilton Chan         | - Superintendent, Technology Crime Division, Commercial Crime Bureau,<br>Government of the Hong Kong SAR |
| Mr Chester Soong       | - Hong Kong Internet Services Provider Association, HK   |
| Mr Yoshiteru Yamaguchi | - Executive Director, Contents Development, I-mode Business Department,<br>NTT DoCoMo, Inc, Japan        |

### Moderators

- |                    |   |
|--------------------|---|
| Mr Andrew Sheng    | - Chairman, Securities and Futures Commission, HK   |
| Ms Su Hoong Chang  | - Director, Securities Regulatory Development Division, Monetary Authority<br>of Singapore          |
| Mrs The Ija Jalil  | - Manager, Securities Commission, Malaysia  |
| Mr Ethiopis Tafara | - Assistant Director, Office of International Affairs, US SEC                                       |
| Mr Paul Ortiz      | - Senior Staff member International Secretariat, Netherlands Authority for the<br>Financial Markets |

### Other participants

- |                     |  |
|---------------------|--|
| Ms Susanne Ho       | - Assistant Secretary, D Division, Informationa Technology and Broadcasting<br>Bureau, Government of the HKSAR |
| Mr Steve Chan       | - Hong Kong Association of Online Brokers (CEO, BOCI Online Trading Ltd)                                       |
| Ms Cynthia Lam      | - Vice-Chair, Hong Kong Association of online Brokers<br>(Director, DBS TD Waterhouse (HK) Ltd)                |
| Mr David Lo         | - Vice President, Hong Kong Exchanges and Clearing Ltd   |
| Mr Derek Tam        | - Senior Vice President, Honmg Kong Exchanges and Clearing Ltd   |
| Mr Chester Soong    | - Chairman, Hongkong ISP Association   |
| Mr Lam Kin-Hing     | - Managing Director Quam Capital (Holdings) Ltd  |
| Mr Hiroyuke Yoshida | - Manager, Information Provider Relations, I-mode, NTT DoCoMO, Inc   |
| Mr James Lau        | - Committee Meber, Association of Stockbroking Companies Malaysia  |
| Mr Peter Leong      | - Association of Stockbroking Companies Mal;aysia  |
| Mr Lum Chee Wah`    | - manager, IT Compliance, Kuala Lumpur Stock Exchange  |

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<sup>1</sup> In order of the panels

Ms Juliana Cheng - Country Head, DBS TD Waterhouse  
Mr Linus Koh - COO, G.K. Goh Stockbrokers Pte Ltd

Others

Chairman and members of the IOSCO Internet Project Team  
Staff members of the Securities and Futures Commission HK

**Americas Roundtable Toronto , 25 – 26 November 2002**

Panelists<sup>2</sup>

Mr Doug Steiner	- Managing Director, Venturion Group Inc.
Mrs Joanne Hill	- Managing Director, Goldman Sachs
Mr Luiz Gonzaga de Oliveira Simões	- Information Technology Director, Sao Paulo Stock Exchange
Mr Pierre Gourdon	- Business Development Executive, IBM
Mr Scott Johnston	- Managing Director and CIO, Chicago Mercantile Exchange Inc.
Mr Carl Landauer	- Vice President and Associate General Counsel, Charles Schwab
Mr Gary De Waal	- Director, Global Legal and Compliance , EVP & General Counsel, Fimat USA
Mr John See	- President, TD Waterhouse Discount Brokerage
Mrs Anita Anand	- Assistant Professor- Queen's University, Faculty of Law
Mr Scott Stapf	- Senior Partner, The Hastings Group
Mr Richard Holthaus	- President and CEO, National Association of Investors Corp.
Mr João Lauro Amaral	- Managing Director, BM&F, USA
Mr Barry Goldsmith	- Executive Vice President, Enforcement, NASD
Mr Stewart Baker	- Partner, Steptoe & Johnson LLP
Mr Thomas Dailey	- General Counsel, Verizon Online

Moderators

Mr Howard Wetson	- Vice Chair, Ontario Securities Commission
Mr Larry Bergmenn	- Associate Director, Securities and Exchange Commission
Mrs Andrea Corcoran	- Director, Office of International Affairs, Commodity Futures Trading Commission
Mr Eduardo Gomes	- Head of International Affairs, Comissao de Valores Mobiliarios, Brasil
Mr David Brown	- Chairman, Ontario Securities Commission

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<sup>2</sup> in order of the panels

#### Other participants

Mr Bill Huzar	- Director , Consumers Council of Canada
Mr David Whitaker	- Electronic Financial Services Council, USA
Mr Ken Nickerson	-CEO, iBinary, Canada
Mr Kerry D. Adams	- Chair, Investor e.ducation Fund, Canada
Mrs Kathryn Cairns	- Board Member, Investor e.ducation Fund, Canada
Mr Ian Domowitz	- Managing Director ITG Inc. USA
Mrs Yvonne Downs	- National Futures Association, USA
Mr Paul Bates	- Principal, PM Corp., Canada
Mr Brent Moore	- Vice President and Director RBC Dominion Securities
Mr Grant Rasmussen	- President & CEO, Royal Bank Action Direct Inc, Canada
Mrs Jill D. Leverage	- Managing Director, TD Securities Inc., Canada
Mr William Mann	- Senior editor investing, The Motley Fool, USA
Mr Stephen Butler	- Director Corporate Development, TSX Markets, Canada

#### Others

Chairman and members of the IOSCO Internet Project Team

Staff members of the Ontario Securities Commission

### **European Roundtable Amsterdam , 3 – 4 March 2003**

#### Panelists<sup>3</sup>

Mrs Carole Lawday	- Technology General Manager, Capitol, France
Mr Piet van de Velde	- Global Head Markets Infrastructure, IBM Global Financial Markets
Mr Uto Baader	- Chairman Council Bavarian Stock Exchange, Germany
Mr Alessandr Foti	- CEO of Banca Fin-Eco Sp.A., Italy
Mr Ronald Koorn	- Partner KPMG, The Netherlands
Mr Diogo Cunha	- Member of the Board Banco de Investimento Global, Portugal
Mr Ignacio Santillan	- Legal Adviser Linklaters, Spain
Mrs Catherine Coffin	- Director, Ecole de la Bourse, France
Mr Peter Verhaar	- Director Business Development ALEX, The Netherlands
Mr Ben Jacobsen	- Associate Professor Financial Markets , Erasmus University Rotterdam, The Netherlands

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<sup>3</sup> in order of the panels

Mr Alessandro Prampolini - Managing Director Intesa Trade, Italy  
Mr Eric Ducoulombier - European Commission, DG Internal Market, Unit F-4

Panelists (cont.)

Mr Wim Mijs - Chairman Financial Market Committee of the European Banking Federation  
Mr Peter Gormley - Director Legal and Compliance, Credit Suisse Financial Services, Switzerland  
Mr. Julio Pastor - Manager Editio Department Invertia, Spain  
Mr Richard Clayton - University of Cambridge/ Thus, plc, UK  
Mr Henry Manisty - Head of government and regulatory affairs Reuters, UK

Moderators

Mr Jaap Koelewijn - Head Research Department, Netherlands Authority for the Financial Markets  
Mr Peter Parker - Head Internet Unit, Financial Services Authority, UK  
Mr Arthur Docters van Leeuwen - Chairman Netherlands Authority for the Financial Markets  
Mr Georg Wittich - Advisor BAFIN, Former Chairman BAWe (Germany)  
Mr Andrew Procter - Director of Enforcement, Financial Services Authority, UK

Other participants

Mr B Contreras - Sociedad de Bolsas, Vendor Feed Department, Madrid  
Mr S Collins - Yahoo, Director of International Publ. Policy  
Mr R. Droz - S Broker AG, Managing Director Business Development, Germany  
Mr W. van Damme - Investment Insight, Director, The Netherlands  
Ms C. Decortiat - Association Brokers On Line, Managing Director  
Mr N. Franklin - Fidelity Investments, Head of Compliance  
Mr E. Garcia - Tressis A.V, Director IT  
Mr F. Gherra - ASSOSIM, Secretary General, Italy  
Mrs B. Inel - European Banking Federation  
Mrs C. de Haan - NCVB (Dutch Association of Investment Clubs), Managing Director  
Mr J. Harvey - Barclays, Director Compliance  
Mr H. Leemans - NLIP (Dutch Association of Service Providers), CEO  
Mr S. Mai - Deutsche Börse, Market Policy  
Mr A. Marco Ortuno - Invertia  
Mr J.-C. Martinez - IBM, Director Financial Markets, Spain  
Mr M. McAteer - Consumer's Association UK, Senior Policy Researcher

Mr J. Moreno Cepada	- IBM Global Services, partner Business Consulting Services,
Mr J. Navas	- Sociedad de Bolsas, S.A., Spain, Vendor Feed Dpt
Mrs F. Nieddu	- Trading Lab, Head of Product Management
Mr J-P Ory	- Compliance officer, ODDO & Cie, France
Mr M. Olivier de France	- Head stockbrokerage development and internet marketing , Cortal, France
Mr J. Pastor	- Invertia, Spain, Director de Contenidos
Mr A. Poudereux Gamo	- Banco Inversis Net, Chief Financial Officer, Spain
Mr C. Rainer	- Deutsche Bank AG
Mr J. Fernandes-Samaniego	- Linklaters, Managing Associate, Spain
Mr E. Smid	- Dutch Central Bank, Senior Policy Advisor,
Mr M. Tofanelli	- Assoreti (broker dealers association), Italy
Mr L. Walton	- LIFFE

Others

Chairman and members of the IOSCO Internet Project Team

Staff members of the Netherlands Authority for the Financial Markets