

13 November 2020

## NOTICE OF 23<sup>rd</sup> ANNUAL GENERAL MEETING

Notice is hereby given that the 23<sup>rd</sup> Annual General Meeting (“2020 AGM”) of Members of the Hong Kong Securities and Investment Institute (“HKSI Institute”) will be held at the HKSI Institute, Room 510, 5/F, Wing On Centre, 111 Connaught Road Central, Hong Kong at **5:30pm Thursday, 10 December 2020**. Subject to the latest development of COVID-19, we will accept a limited number of Voting Members to attend the 2020 AGM in person, in addition to offering live broadcast via ePlatform. Please refer to the Important Notes on next page for registration details.

The 2020 AGM agenda is as follows:

1. To appoint three Directors to the Board of Directors (the “Board”).

For the election of five Directors to the Board, there are three eligible candidates <sup>Note 1</sup> who will stand for Board election. They are:

<u>Candidate</u>	<u>Business Sector Represented</u>
1. Mr Graham Michael COTTINGHAM	Investment Analysts Group
2. Miss Angelina Agnes KWAN	Corporate Finance Group
3. Mr LIEM Chi Kit Kevin	Fund Management Industry

Pursuant to Articles 18.1 of the Articles of Association (AA), at least one of the vacancies shall be filled from the Investment Analysts Group, accordingly Mr Graham Michael COTTINGHAM will be deemed to have been reappointed as Director pursuant to Article 21.2.

Remaining Board vacancies will be filled by the other two candidates standing for an uncontested election, subject to passing a separate resolution for appointment of each Director at the 2020 AGM in compliance with section 460 of the Companies Ordinance (cap. 622 of the laws of Hong Kong). Such resolution should be passed by a *simple majority* of all the votes casted.

2. To receive and adopt the Report of the Directors and the Audited Accounts of the HKSI Institute for the year ended 31 March 2020 <sup>Note 2</sup>.
3. To re-appoint KPMG as the Honorary Auditor.

By order of the Board

Company Secretary

Note 1: Personal statements of 3 candidates are enclosed.

Note 2: Please download the Audited Accounts from our website, [www.hksi.org](http://www.hksi.org), under the section “About Us>Governance>General Meeting>AGM 2020 Details”.

**Important Notes:**

1. Only Voting Members are entitled to vote. Voting Members include Senior Fellows, Fellows, Ordinary Members and Corporate Members (represented by Authorised Representatives).
  2. Subject to the latest development of COVID-19, we will accept a limited number of Voting Members to attend the 2020 AGM in person. Please visit our website [www.hksi.org](http://www.hksi.org) ("Latest News > AGM") to register if you wish to attend. For Authorised Representatives of Corporate Members, please register via [agm@hksi.org](mailto:agm@hksi.org). Registration opens from 13 November 2020 to 6.30pm, 8 December 2020 on a first-come-first-served basis and successful registrant will receive an email confirmation. Voting Members without prior registration may not be admitted to the on-site 2020 AGM.
  3. Voting Members can choose to vote via the following means if they cannot attend the 2020 AGM on 10 December 2020:
    - a) **ePlatform** (13 November 2020 – 6:30pm, 8 December 2020)  
Please login to the ePlatform <https://web.lumiagm.com/108271471> to vote. A password has been sent to your preferred email address on 13 November 2020 to access the ePlatform. If you cannot find the email in your inbox, please check your spam email box.
    - b) **Proxy** (13 November 2020 – 6:30pm, 8 December 2020)  
Pursuant to Article 17.6 of the AA, any Voting Member of the HKSI Institute entitled to attend and vote at the 2020 AGM can appoint a **proxy** (need not be a member of the HKSI Institute) to attend and vote on his/her behalf. A Voting Member wishing to vote by proxy must complete the attached proxy form and deliver the original form, in person or by mail using the enclosed business reply envelope, to the HKSI Institute **on or before 6:30pm, Tuesday, 8 December 2020**.
    - c) **eKiosk** (3:30pm – 5:30pm, 10 December 2020)  
Voting Members can vote via eKiosk, a stand-alone voting machine, which will be available at the HKSI Institute's premises. The eKiosk is an additional voting method introduced this year as part of our social distancing measures.
- An "**Easy Guide to AGM Voting**" providing an overview of the key dates, eligibility and voting methods is prepared for your easy reference. Please visit our website [www.hksi.org](http://www.hksi.org) under the section "About Us>Governance>General Meeting>AGM 2020 Details".
4. Live broadcast of the 2020 AGM will be available on the ePlatform on 10 December 2020 from 5:30pm until the end of the 2020 AGM. Please log in 10 minutes prior to the start time.
  5. Should you have any queries, please email [agm@hksi.org](mailto:agm@hksi.org) or call our hotline (852) 3120 6100 (please press "6").