

12 November 2021

## NOTICE OF 24<sup>th</sup> ANNUAL GENERAL MEETING

Notice is hereby given that the 24<sup>th</sup> Annual General Meeting (“2021 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, 9 December 2021** for the following purpose:

1. To elect 6 Directors to the Board of Directors (the “Board”).

There are 8 eligible candidates <sup>Note<sup>1</sup></sup> who will stand for Board election:

<u>Candidate</u>	<u>Business Sector Represented</u>
1. Mr YIM Hong Cheuk, Foster	Academia
2. Mr CHAN Chun Hung, Vincent	Fund Management Industry
3. Mr WAN Mun Wah	Fund Management Industry
4. Mr TONG Piu, Barry	Futures Industry
5. Mr WANG Zhongze	Futures Industry
6. Mr LUI Chi Wang	Securities Industry
7. Ms LEE Yim Lan, Phyllis	Others
8. Mr SHAFTESLEY Colin Stuart	Others

Pursuant to Articles 18.1 of the Articles of Association (AA), at least one of the vacancies shall be filled from the Futures Industry. To go green, the candidates’ detailed personal statements are available on the 2021 AGM ePlatform (“ePlatform”) (please refer to Important Notes below).

2. To receive and adopt the Report of the Directors and the Audited Accounts of the HKSI Institute for the year ended 31 March 2021 <sup>Note 2</sup>.
3. To re-appoint KPMG as the Honorary Auditor.

By order of the Board

Chairman of the Board

<sup>1</sup> Brief introduction, extracted from information provided by the candidates, of the 8 eligible candidates is enclosed.  
<sup>2</sup> Please download the Audited Accounts from our website, [www.hksi.org](http://www.hksi.org), under the section “About Us>Governance>General Meeting>AGM 2021 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. Voting Members can choose to vote via the following means:

**a) ePlatform (12 November 2021 to 6:30pm, 7 December 2021)**

You can login to the ePlatform <https://web.lumiagm.com/#/m/111068478> to vote. The password to access the 2021 AGM ePlatform has been sent to your preferred email address on 12 November 2021. If you cannot find the email in your inbox, please check your spam email box.

**b) Proxy (12 November 2021 to 6:30pm, 7 December 2021)**

Pursuant to Article 17.6 of the AA, any Voting Member of the HKSI Institute entitled to attend and vote at the 2021 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, 7 December 2021**.

**c) eKiosk (3:30pm to 5:30pm on 9 December 2021)**

Voting Members can vote via eKiosk, a stand-alone voting machine, which will be available at the HKSI Institute's premises on 9 December 2021.

An "**Easy Guide to AGM Voting**" (PDF and video) 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 2021 Details".

3. In compliance with the social distancing requirements and for the health and safety of the Members, there will be limited capacity for Voting Members to attend the 2021 AGM in person. As a result, prior registration is required. Registration will open between 29 November and 3 December 2021 on a first-come-first-served basis and successful registrants will receive an email confirmation on 6 December 2021. Voting Members without prior registration and confirmation will not be admitted to the on-site 2021 AGM.
4. Live broadcast of the 2021 AGM will be available on the ePlatform on 9 December 2021 from 5:30pm until the end of the 2021 AGM.
5. Should you have any queries, please email [agm@hksi.org](mailto:agm@hksi.org).