



15 November 2017

Dear Member,

THE 20TH ANNUAL GENERAL MEETING

Further to our letter dated 6 October 2017, please note that the 20th Annual General Meeting (“2017 AGM”) will be held on **Thursday, 14 December 2017 at 5:30 p.m.** (Registration will begin at 5:00 p.m.) at the Hong Kong Securities and Investment Institute (“HKSI Institute”), Room 510, 5/F, Wing On Centre, 111 Connaught Road Central, Hong Kong. All Voting Members (Senior Fellows / Fellows / Ordinary Members and Authorised Representatives of Corporate Members) are cordially invited to attend the 2017 AGM and Cocktail Reception. The Notice of 2017 AGM and relevant information are enclosed for your information.

For the election of five Directors to the Board, a total of four nominations were received at the close of nomination period. They are:

<u>Candidate</u>	<u>Business Sector Represented</u>
1. COTTINGHAM, Graham Michael	Investment Analysts Group
2. DAY, Paul	Securities Industry
3. KWAN, Angelina Agnes	Corporate Finance Group
4. LEE, Hung Bun Victor	Futures Industry

Pursuant to Articles 8.01 and 11.03 of the Articles of Association (“AA”) of the HKSI Institute, Mr Victor Lee shall be deemed uncontested and be appointed as a Director of the HKSI Institute at the 2017 AGM, being the only candidate from Futures Industry business sector. His appointment as a Director of the HKSI Institute will be subject to the resolution of members passed at the 2017 AGM. Accordingly, remaining Board vacancies will be filled by other three candidates standing for an uncontested election at 2017 AGM. The personal statements of all candidates are attached for your perusal.

The HKSI Institute also proposed to amend the AA regarding the retirement mechanism of elected Directors from “rotation basis” to “retirement after a 3-year fixed term service”. The restriction of a maximum 6 consecutive years of service in the Board remains unchanged. Such amendment was already approved by the Board and Companies Registry.

Pursuant to Article 7.06 of the AA, any Voting Member of the HKSI Institute entitled to attend and vote at the 2017 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 please 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 6:30 p.m. on Tuesday, 12 December 2017.

Should you have any queries on the 2017 AGM, please visit the HKSI Institute website under the section at “About us>Governance>General Meeting” or email us at agm@hksi.org.

We look forward to seeing you at the 2017 AGM.

Yours faithfully,

Alex Mak
Company Secretary