

30 September 2016

Dear Member,

Nomination and Election of Board Directors

This is to inform you that there will be five Director vacancies to be filled by election at the 19th Annual General Meeting (“2016 AGM”) of the Hong Kong Securities and Investment Institute (“HKSI Institute”) which will be held on Thursday, 8 December 2016.

Pursuant to Article 8.01 of the Articles of Association (“AA”) of the HKSI Institute, the Board consists of maximum twelve elected Directors and three Directors appointed by the Securities and Futures Commission. Pursuant to Article 11.01 of the AA of the HKSI Institute, one-third of the elected Directors, who are listed below, shall retire from office by rotation at the 2016 AGM.

<u>Name</u>	<u>Business Sector Represented</u>
Professor Vincent Kwan <i>(Note 1)</i>	Academia
Mr Craig Lindsay <i>(Note 1)</i>	Futures Industry
Mr Trini Tsang	Others
Ms Anna Wong	Others

Note 1: under Article 11.11 of the AA of the HKSI Institute, the retiring Directors are eligible for re-election.

In addition, one vacancy shall be filled to replace the deceased Director, Professor Michael Firth, who passed away on 24 August 2016.

As stipulated in Article 11.04(b) of the AA of the HKSI Institute, all Senior Fellows, Fellows and Ordinary Members are eligible to stand for election to the Board. To qualify as a candidate for election, interested Members have to be proposed by at least twenty-five (25) qualified voting members (Senior Fellows, Fellows, Ordinary Members or Authorised Representatives of Corporate Members). The nomination deadline for candidacy for election at the 2016 AGM is 1 November 2016.

For further information on the commitment expected of Directors and the nomination requirements, please visit the HKSI Institute’s website under the section at “About us>AGM>AGM 2016” or email us at agm@hksi.org.

Formal notice of the 2016 AGM will be sent to you in due course.

Yours faithfully,



Alex Mak
Company Secretary