

(Please read the Annex "Guidelines to Candidates Running for Board Election at the 21st Annual General Meeting" before completing this nomination form)

(請於填寫本表格前細閱附件「第21屆周年大會選舉董事局成員的候選人指引」)

Candidate Information 候選人資料

Full Name in English: (Surname, First Name) ¹ 英文姓名 (姓 · 名) ¹ :	
Full Name in Chinese: (Surname, First Name) ¹ 中文姓名 (姓 · 名) ¹ :	
Membership No.: 會員編號:	
Hong Kong Identity Card No./Passport No.: 香港身份證號碼/護照號碼	
Corresponding Address: 通訊地址:	
Business sector: 界別: (Please refer to Annex Note 1) (請參閱附件附註1)	<p>Please select ONE from below by placing a "✓" in the box: 請於以下選擇一項並在適當的方格內填上"✓":</p> <p><input type="checkbox"/> Academia 學術界</p> <p><input type="checkbox"/> Corporate Finance Group 企業融資業</p> <p><input type="checkbox"/> Fund Management Industry 基金管理業</p> <p><input type="checkbox"/> Futures Industry 期貨業</p> <p><input type="checkbox"/> Investment Analysts Group 投資分析業</p> <p><input type="checkbox"/> Securities Industry 證券業</p> <p><input type="checkbox"/> Others 其他</p>
Please briefly tell us the reasons why you would like to represent this business sector: 請說明閣下出選這界別的原因:	

¹ As stated on your Hong Kong Identity Card/Passport 必須與香港身份證/護照上相同

Deadline for submission of this nomination form: 5:30 p.m. 6 November 2018 (Tuesday)

截止提名日期: 2018年11月6日 (星期二) 下午5時30分

DECLARATION 聲明

1. Have you been convicted of any offence (excluding any minor offence (Note 1)(Note 2)) or been subject to any disciplinary investigation(s) or disciplinary action (for instance being cautioned, fined, suspended) by any law enforcement authority or regulatory body in Hong Kong or any place outside Hong Kong?

閣下曾否在香港或其他地方被定罪(輕微罪行除外(注一)(注二))或被香港或其他地方的任何執法或監管機構進行任何形式的紀律調查或處分(例如受到警告、罰款、暫時吊銷牌照)?

☐ Yes – I have. Please provide full details on additional paper.
有。請於附加頁提供完整詳情。

☐ No – I have not.
沒有。

2. Are there any criminal or disciplinary or regulatory investigations and / or proceedings pending against you in Hong Kong or any place outside Hong Kong?

閣下目前在香港或其他地方是否涉及任何刑事或紀律或被監管機構調查或/及程序?

☐ Yes. Please provide full details on additional paper.
有。請於附加頁提供完整詳情。

☐ No.
沒有。

Note 1 注一:

Including offences spent under s.2 Rehabilitation of Offenders Ordinance (Cap.297) (or equivalent legislation outside of Hong Kong). 包括根據《罪犯自新條例》(香港法例第 297 章)第 2 條(或香港以外的相關法例條例)已喪失時效的罪行。

Note 2 注二:

Offences punishable by a maximum fixed penalty under the Fixed Penalty (Traffic Contraventions) Ordinance (Cap. 237), the Fixed Penalty (Criminal Proceedings) Ordinance (Cap. 240) or the Fixed Penalty (Public Cleanliness Offences) Ordinance (Cap. 570), or other offence punishable by a maximum penalty of a fine of not more than HK\$10,000 or equivalent, whether committed Hong Kong or elsewhere.

根據香港法律第 237 章《定額罰款(交通違例事項)條例》、第 240 章《定額罰款(刑事訴訟)條例》或第 570 章《定額罰款(公眾地方潔淨及阻礙)條例》等法例可作出定額罰款不超於港幣 10,000 元的罪行或任何其他最高定額罰款不超過港幣 10,000 元的罪行，不論在香港或其他地方干犯。

Signature 簽名: _____

Signed this 簽署日期 _____ day of _____, 2018

Deadline for submission of this nomination form: 5:30 p.m. 6 November 2018 (Tuesday)

截止提名日期: 2018年11月6日(星期二)下午5時30分

DECLARATION ON PERSONAL STATEMENT 有關個人簡介的聲明

I declare that 本人聲明:

- ☐ All particulars pertaining to me provided in Personal Statement are true, complete and accurate, and that I accept responsibility for the truthfulness, accuracy and completeness of the particulars.
本人在個人簡介中提供的所有個人資料均為真實、完整及準確，且本人對上述資料的真實性、準確性及完整性承擔責任。
- ☐ I have not made any statements or omissions which would render such particulars untrue or misleading. I understand that the consequences of providing information which is false or misleading may result in disqualification from the HKSI Institute Board Election and disciplinary proceedings by the HKSI Institute.
本人亦沒有作出任何聲明或遺漏，致使有關資料不真實或具誤導性。本人亦明白提供虛假或具誤導性的資料可能引致的後果包括被取消參選香港證券及投資學會（“學會”）董事局的資格或被學會紀律處分。
- ☐ I consent to HKSI Institute providing the information to the HKSI Institute Membership Committee, agents or other third parties to process this application, including for verification purposes or processing of this application if required.
本人同意學會將本人提供的個人資料轉交學會會籍委員會，學會代理或其他第三方以處理本人的申請包括驗證或跟進此申請（如需要）。

Note: Please tick (✓) in the box for confirmation 注：請於方格內填上剔號(✓)以作確認。

Signature 簽名: _____

Signed this 簽署日期 _____ day of _____, 2018

Name of Candidate 候選人姓名	Membership No. 會員編號	Business Sector 界別

Name of Proposer * 提名人姓名*	Membership No. 會員編號	Signature 簽名	Date 日期
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			

*** Important Note to the Proposer: Voting members qualified to vote at the meeting, can propose ONLY ONE candidate from each business sector; otherwise the proposal of such member will be invalid.**
請提名人注意，每位合資格投票之會員在每一界別只能提名一位候選人，否則該會員的提名視作無效。

Deadline for submission of this nomination form: 5:30 p.m. 6 November 2018 (Tuesday)

截止提名日期：2018年11月6日（星期二）下午5時30分

Name of Candidate 候選人姓名	Membership No. 會員編號	Business Sector 界別

Name of Proposer * 提名人姓名*	Membership No. 會員編號	Signature 簽名	Date 日期
11.			
12.			
13.			
14.			
15.			
16.			
17.			
18.			
19.			
20.			

*** Important Note to the Proposer: Voting members qualified to vote at the meeting, can propose ONLY ONE candidate from each business sector; otherwise the proposal of such member will be invalid.**
請提名人注意，每位合資格投票之會員在每一界別只能提名一位候選人，否則該會員的提名視作無效。

Deadline for submission of this nomination form: 5:30 p.m. 6 November 2018 (Tuesday)
截止提名日期：2018年11月6日（星期二）下午5時30分

Name of Candidate 候選人姓名	Membership No. 會員編號	Business Sector 界別

Name of Proposer * 提名人姓名*	Membership No. 會員編號	Signature 簽名	Date 日期
21.			
22.			
23.			
24.			
25.			
26.			
27.			
28.			
29.			
30.			

*** Important Note to the Proposer: Voting members qualified to vote at the meeting, can propose ONLY ONE candidate from each business sector; otherwise the proposal of such member will be invalid.**
請提名人注意，每位合資格投票之會員在每一界別只能提名一位候選人，否則該會員的提名視作無效。

Deadline for submission of this nomination form: 5:30 p.m. 6 November 2018 (Tuesday)

截止提名日期：2018年11月6日（星期二）下午5時30分