

Guidelines to Candidates Running for Board Election at the 21st Annual General Meeting

PLEASE READ THE FOLLOWING INFORMATION CAREFULLY

1. Deadline for Nomination for Board Election: **5:30 p.m. 6 November 2018 (Tuesday)**. Should a candidate fail to supply the requisite information to the Company Secretary of the Hong Kong Securities and Investment Institute (the "HKSI Institute") on or before the Deadline, the HKSI Institute has the right not to accept the nomination.
2. Candidates are required to submit the following documents to the Company Secretary of the HKSI Institute (Address: Room 510, 5/F, Wing On Centre, 111 Connaught Road Central, Hong Kong) on or before nomination deadline:
 - i) Duly completed ORIGINAL in writing "Nomination Form for Board Election at the 21st AGM" (please refer to Note 1 for details);
The Nomination Form can be downloaded from our website "About us>Governance>General Meeting" section
 - ii) Your Personal Statement (please refer to Note 2 for details);
 - iii) Duly signed Declaration form for Personal Statement and
 - iv) Recent passport photo (Size: 40mm(W) x 50mm(H) or 1200px(W) x 1600px(H) in JPG format).

(Note 1) Nomination Form ("NF")

- A valid NF has to be:
 - Duly completed and signed by the candidate;
 - With at least **25** qualified Voting Members (Senior Fellows, Fellow Members, Ordinary Members or Authorised Representatives of Corporate Members of the HKSI Institute) signed on the NF;
 - Any Voting Member can propose **ONLY ONE** candidate from each business sector. If any Member proposes more than one candidate from one single business sector, the proposal of such Member in relation to the candidates who fall within the same business sector will be invalid and shall not be taken into account for counting of the number of proposers;
 - The candidate has to indicate his/her business sector selected. Below is the business sector representation of the 11 elected Members of the current Board:

Pursuant to Article 18.1 of the Articles of Association of the HKSI Institute, the Board shall consist of **at least one (1) Director but **not more than three (3)** Directors from each of the business sector.**

Business Sector	No. of Board Directors	No. of Directors who will retire at 21 st AGM	Remarks
Academia	1	-	-
Corporate Finance Group	3	1	-
Fund Management Industry	1	1	At least 1 director to be elected
Futures Industry	1	-	-
Investment Analysts Group	2	1	-
Securities Industry	3	1	-
Total	11		

Note: there will be five (5) Director vacancies to be filled by election at the 2018 AGM.

(Note 2) Personal Statement ("PS")

- Both in English and Chinese with maximum 250 words for each of the version in Word format
- Candidates may consider to include the following information in the PS:
 - i) Basic personal information (Name, photograph and membership no. of the HKSI Institute);
 - ii) Academic and professional qualification(s);
 - iii) Indicate category represented and provide information to support relevance;
 - iv) Employment position(s) and company(s) in recent TEN years;
 - v) Years of membership and participation in Board, Committee(s), Sub-Committee(s), Group(s), other volunteer and supporting capacities in the HKSI Institute in the past TWO years.
- The HKSI Institute may vet the PS for any incorrect statements, but only for information that can be checked against the HKSI Institute's record.
- Please sign the declaration form for PS.

Commitment Expected of Directors

- Attend Board Meetings around 4-6 times per year
- Sit on at least one standing Committee
- Committee chairs are also Executive Committee Members
- Lead by example in support, participation in events & programmes, sponsorship beyond Member and Committee expectation

Enquires

If you have any questions regarding the nomination process, please feel free to contact us via email agm@hksi.org.