

15 November 2019

NOTICE OF 22nd ANNUAL GENERAL MEETING

Notice is hereby given that the 22nd Annual General Meeting (“2019 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 on **Thursday, 12 December 2019 at 5:30pm** (registration will begin at 5:00pm) with agenda below:

1. To elect 3 Directors to the Board of Directors (the “Board”).

A total of 4 candidates ^{Note 1} will stand for Board election at the 2019 AGM:

<u>Candidate</u>	<u>Business Sector Represented</u>
1. CHAU, Shing Yim David	Corporate Finance Group
2. CHEUNG, Yin Pok Wilson	Others
3. LEE, Fai Man Christopher	Academia
4. TSANG, Chiu Mo Samuel	Securities Industry

Pursuant to Articles 18.1 and 21.2 of the Articles of Association (“AA”) of the HKSI Institute, Mr Christopher Lee, being the only candidate from Academia business sector, shall be deemed uncontested and be appointed as a Director of the HKSI Institute at the 2019 AGM.

2. To receive and adopt the Report of the Directors and the Audited Accounts of the HKSI Institute for the year ended 31 March 2019 ^{Note 2}.
3. To re-appoint KPMG as the Honorary Auditor.

By order of the Board

Company Secretary

Note 1: Personal statements of four candidates are enclosed.

Note 2: Please download the Audited Accounts from our website, www.hksi.org, under the section “About Us>Governance>General Meeting”.

Important Notes:

1. All HKSI Institute Members are welcome to attend the 2019 AGM.
2. Only Voting Members are entitled to vote. Voting Members include Senior Fellows, Fellows, Ordinary Members and Authorised Representatives of Corporate Members.
3. Voting members can elect to vote via the following means if they cannot attend the AGM in person on 12 December 2019:
 - a) Submit the Proxy form
Pursuant to Article 17.6 of the AA, any Voting Member of the HKSI Institute entitled to attend and vote at the 2019 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 6:30 p.m. on Tuesday, 10 December 2019.**
 - b) Vote via the ePlatform (15 November 2019 – 12 December 2019, 6:15pm)
Please login to the ePlatform <https://web.lumiagm.com/m#/176012642> to vote. A password has been sent to your preferred email address on 15 November 2019 to access the ePlatform.
4. Live stream broadcast of the 2019 AGM will be available on 12 December 2019, from 5:30pm until the end of the 2019 AGM.
5. Should you have any queries, please email us at agm@hksi.org.