



Guidelines and Nomination Form for Candidates Running for Board Election at the 23rd Annual General Meeting

**Nomination period: 6 October 2020 (Tuesday) to
6:30p.m. 4 November 2020 (Wednesday)**

PLEASE READ THE FOLLOWING INFORMATION CAREFULLY

I. General Guidelines

1. Any person who is a Senior Fellow, a Fellow Member or an Ordinary Member of the Hong Kong Securities and Investment Institute (“HKSI Institute”) is eligible to be appointed or elected as the Board Director of HKSI Institute pursuant to Article 21.8 of the Articles of Association (“AA”).
2. All Candidates should submit the completed Nomination Form and signed Declarations in ORIGINAL to the Company Secretary of the HKSI Institute at the address of Room 510, 5/F, Wing On Centre, 111 Connaught Road Central, Hong Kong, on or before **6:30 p.m. 4 November 2020 (Wednesday)** (“Deadline”).
3. The Nomination Form for Board Election (“Nomination Form”) consists of FOUR (4) Parts
Part A: Personal Information
Part B: Personal Statement
Part C: Declarations
Part D: Nominations Record Sheets (separately attached)
4. All Candidates should duly complete Part A and B of the Nomination Form and sign Part C “Declarations” for either electronic or paper mode.
5. If the Candidate chooses to obtain nominations via paper mode, he/she is required to submit Part D “Nominations Record Sheets” to the Company Secretary on or before the Deadline.
6. Candidates may choose to receive their nominations by electronic mode, paper mode or a combination of electronic and paper mode.
7. All Candidates are required to prepare their Personal Statement (“PS”), both English and Chinese, in Word format of not more than 250 words, and in one A4 page for each version. Candidates may include the following information in the PS:
 - (i) Basic personal information (name, photograph and your HKSI Institute’s membership number);
 - (ii) Academic and professional qualification(s);
 - (iii) Indicate business sector represented and provide reasons why you would like to represent this business sector
 - (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) and other volunteering and supporting capacities in the HKSI Institute in the past TWO years.

The content of the personal statement **WILL NOT** be vetted by the Company Secretary. Candidate is required to declare its accuracy and correctness by signing the Declarations.
8. Candidate **CANNOT** change the business sector selected once the Nomination Form is submitted and the information is published on the electronic platform (“ePlatform”).
9. Should the Candidate fail to submit the requisite information as stipulated in point (3) to the Company Secretary of the HKSI Institute on or before the Deadline, the HKSI Institute has the absolute right of not accepting and/or processing the nomination.

10. All Candidates should be supported by at least **25** qualified Voting Members* in the form of:

- signatory collected on the Nominations Record Sheets (Part D) [paper mode]; or
- nominations received on the ePlatform [for electronic mode]; or
- a combination of both paper mode and electronic mode

11. Any Voting Member* can propose **ONLY ONE** candidate from each business sector. If any Voting 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 consideration. For the purpose of counting the number of nominations, proposals submitted via paper mode and electronic mode will both be counted;

** According to the AA, **Voting Members** means Senior Fellows, Fellow Members, Ordinary Members or Authorised Representatives of Corporate Members of the HKSI Institute*

12. The Nomination Form can be downloaded from the HKSI Institute website (“About us>Governance>General Meeting” section) on the following dates:

Form	Date
Nomination Form for Board Election	25 September 2020
Nomination Record Sheets	6 October 2020

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

II. Guidelines for Candidates using ELECTRONIC mode to collect nominations

1. The Candidate’s name, business sector represented and personal statement (“Information”) will be posted to the ePlatform **within one working day** upon receipt of the Nomination Form and the signed Declarations during the nomination period. If the Candidate is ultimately qualified to run for Board election, the Information of the Candidate will still be posted to the AGM electronic voting platform.
2. If the Candidate would like his/her Information being posted to the ePlatform at the commencement of the nomination period, please submit the Nomination Form and the signed Declarations (i.e. Part A – C) to the Company Secretary **at least one working day prior to 6 October 2020**.
3. The Company Secretary will provide a report which shows the number of nominations received (“Report”) via ePlatform to the Candidates on following dates during the nomination period:

One week before the Nomination Deadline	28 October 2020
One day before the Nomination Deadline	3 November 2020

4. Please note that proposers may change their preference of Candidate(s) any time via the ePlatform until the Nomination Deadline. As such, Candidates should acknowledge that there may be changes or withdrawals of nominations made by proposers any time during the nomination period and the last nomination of a proposer recorded on the ePlatform will be counted as their final decision. The Reports provided by the Company Secretary are for reference only and the Company Secretary should not be held responsible for any discrepancies between the figures in the Reports and the final number of nominations. The HKSI Institute including the Company Secretary shall be under no obligation whatsoever in relation to the correctness and accuracy of the information contained in the Reports.

5. If a proposer submits a proposal for the same Candidate via both ePlatform and paper mode, only one nomination will be counted.

III. Guidelines for Candidates using PAPER mode to collect nominations

For the sake of transparency, Candidate's name, business sector represented and personal statement ("Information") of those who opt for paper mode will also be posted to the ePlatform within one working day upon receipt of the completed Nomination Form and the signed Declarations during the nomination period. If the candidate is ultimately qualified to run for Board election, the Information will still be posted to the AGM electronic voting platform.

IV. Commitment to be expected from Board Directors

Apart from the statutory duties and the power of directors as stated in the AA, Board Directors are expected to:

- attend Board Meeting around 3-4 times per year
- sit on at least one standing Committee (the Committee chairs are also Executive Committee Members)
- lead by example in supporting and participating in various events & programmes, as well as sponsorship for such events/programmes

V. Overview of Business Sector Representation of current Board (as of 25 September 2020)

Pursuant to the Article 18.1 of the AA 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 following six business sectors [(1) to (6)]:

Business Sector	No. of Board Directors	No. of Directors who will retire at the 23 rd AGM	Remarks
(1) Academia	1	-	-
(2) Corporate Finance Group	2	1	-
(3) Fund Management Industry	1	-	-
(4) Futures Industry	2	1	-
(5) Investment Analysts Group	2	2	At least 1 director to be elected
(6) Securities Industry	3	1	-
Others	1	-	-
Total	12		

Note: there will be five (5) Director vacancies to be filled by election at the 23rd AGM.

Part A: Personal Information

<p>Full Name in English: (Surname, First Name) (As stated on your Hong Kong Identity Card/Passport)</p>	
<p>Full Name in Chinese: (Surname, First Name) (As stated on your Hong Kong Identity Card/Passport)</p>	
<p>Membership No.:</p>	
<p>Hong Kong Identity Card No./Passport No.:</p>	
<p>Business sector:</p>	<p>Please select ONE from the below by placing a “✓” in the box:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Academia <input type="checkbox"/> Corporate Finance Group <input type="checkbox"/> Fund Management Industry <input type="checkbox"/> Futures Industry <input type="checkbox"/> Investment Analysts Group <input type="checkbox"/> Securities Industry <input type="checkbox"/> Others
<p>Please briefly explain the reasons why you would like to represent this business sector:</p>	

Part B: Personal Statement

Please submit both English and Chinese versions of not more than 250 words, and in one A4 page for each version. You can provide the Personal Statement in WORD format in separate files. Candidate may include the following information in the Personal Statement:

- (i) Basic personal information (name, photograph and membership no. of the HKSI Institute);
- (ii) Academic and professional qualification(s);
- (iii) Indicate business sector represented and provide reasons why you would like to represent this business sector
- (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) and other volunteering and supporting capacities in the HKSI Institute in the past TWO years.

The content of the personal statement **WILL NOT** be vetted by the Company Secretary. Candidate should check and sign the Declarations to confirm its accuracy and correctness.

Part B: Personal Statement
English

Part B: Personal Statement
Chinese

Part C: Declarations

Please tick (✓) in the box for confirmation

I, _____ **(name of the Candidate),**

- have read and accept the “Guidelines and Nomination Form for Candidates Running for Board Election at the 23rd Annual General Meeting”.
- give consent to the HKSI Institute to provide my information to the HKSI Institute Membership Committee, agents or other third parties to process this application, including for verification purposes if required.

I declare that:

- All particulars pertaining to me provided in the Personal Statement are true, complete and accurate, and that I accept responsibility for the truthfulness, accuracy and completeness of the particulars.
- 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.

Declaration of Convictions for Offences

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?

- Yes, I have. *(Please provide full details on additional paper.)*
- No, I have not.

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?

- Yes *(Please provide full details on additional paper.)*
- No

Signature: _____ Name: _____

Membership No.: _____ Date: _____

Note 1: Including offences spent under s.2 Rehabilitation of Offenders Ordinance (Cap.297) (or equivalent legislation outside of Hong Kong).

Note 2: 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.