

2021



## **Guidelines and Nomination Form for Candidates Running for Board Election at the 24<sup>th</sup> Annual General Meeting**

### **Nomination period**

**from WEDNESDAY, 6 OCTOBER 2021 to**  
**FRIDAY, 29 OCTOBER 2021 (6:00pm)**

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. Candidates may choose to receive their nominations by electronic mode, paper mode or mixed mode (i.e. a combination of electronic and paper mode).
3. 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 6:00 p.m. Friday, 29 October 2021 (“Deadline”).
4. 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 (applicable for paper or mixed mode)
5. The Nomination Form (Part A – D) can be downloaded from the HKSI Institute website (“About us>Governance>General Meeting” section) on 6 October 2021.
6. **All Candidates should duly complete Part A and B of the Nomination Form and sign Part C “Declarations” for either electronic or paper mode.**
7. 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.
8. All Candidates are required to prepare their Personal Statement (Part B), 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 Personal Statement:
  - (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.
9. Candidate **CANNOT** change the business sector selected once the Nomination Form is submitted and the information is published on the electronic platform (“ePlatform”).
10. 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.

11. All Candidates should be supported by **at least 25 qualified Voting Members\*** (Article 21.3 (b) of AA) in the form of:
- signatory collected on the Nominations Record Sheets (Part D) [paper mode]; or
  - nominations received on the ePlatform [electronic mode]; or
  - a combination of both paper mode and electronic mode

12. 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*

13. Enquiries: If you have any questions regarding the nomination process, please contact us via email [agm@hksi.org](mailto: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 (i.e. Part A – C) throughout 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. The Company Secretary will provide a report which shows the number of nominations received ("Report") via ePlatform to the Candidates on following dates:

One week before the Nomination Deadline	22 October 2021
One day before the Nomination Deadline	28 October 2021

3. Proposers can 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.
4. 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 (i.e. Part A – C) 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 and programmes, as well as sponsorship for such events/programmes

#### V Overview of Business Sector Representation of current Board (as of 30 September 2021)

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 24 <sup>th</sup> AGM	Remarks
(1) Academia	1	-	-
(2) Corporate Finance Group	2	-	-
(3) Fund Management Industry	2	1	-
(4) Futures Industry	1	1	At least 1 director to be elected
(5) Investment Analysts Group	1	-	-
(6) Securities Industry	1	-	-
Others	1	1	-
<b>Total</b>	<b>9</b>		

*Note: there will be **six (6)** Director vacancies to be filled by election at the 24<sup>th</sup> AGM.*

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# Nomination Form for Board Election

Part A: Personal Information

Part B: Personal Statement (English and Chinese)

Part C: Declarations

Part D: Nominations Record Sheets

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**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.: (Please check the HKSI Institute Online Portal or refer to the email dated 6 October 2021 which contains the password accessing the nomination ePlatform)</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"> <li><input type="checkbox"/> Academia</li> <li><input type="checkbox"/> Corporate Finance Group</li> <li><input type="checkbox"/> Fund Management Industry</li> <li><input type="checkbox"/> Futures Industry</li> <li><input type="checkbox"/> Investment Analysts Group</li> <li><input type="checkbox"/> Securities Industry</li> <li><input type="checkbox"/> Others</li> </ul>
<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)**

[Empty box for personal statement]



**Part B: Personal Statement(Chinese)**

Blank area for the Personal Statement in 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 24<sup>th</sup> 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 nomination, 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: \_\_\_\_\_

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.

**Part D: Nominations Record Sheets for Board Election (applicable for Paper or Mixed Mode)**  
**D部份：董事局選舉提名人簽署表格(適用於紙張或混合提名方式)**

*(Important Note: While this document is mandatory for Candidates using paper mode to collect nominations, it is optional for Candidates using electronic mode to collect nominations)*

Please fill in the Candidate's information and proposers' information clearly.  
 請清楚填寫被提名人及提名人的資料。

Name of Candidate 候選人姓名	Membership No. 會員編號	Business Sector 界別
		<input type="checkbox"/> Academia 學術界 <input type="checkbox"/> Corporate Finance Group 企業融資業 <input type="checkbox"/> Fund Management Industry 基金管理業 <input type="checkbox"/> Futures Industry 期貨業 <input type="checkbox"/> Investment Analysts Group 投資分析業 <input type="checkbox"/> Securities Industry 證券業 <input type="checkbox"/> Others 其他

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。

**Nomination period: Wednesday, 6 October 2021 to Friday, 29 October 2021 6:00pm**  
**提名期：2021年10月6日(星期三)至2021年10月29日(星期五)下午6時**

**Part D: Nominations Record Sheets for Board Election (applicable for Paper or Mixed Mode)**  
**D部份：董事局選舉提名人簽署表格(適用於紙張或混合提名方式)**

Please fill in the Candidate's information and proposers' information clearly.  
 請清楚填寫被提名人及提名人的資料。

Name of Candidate 候選人姓名	Membership No. 會員編號	Business Sector 界別
		<input type="checkbox"/> Academia 學術界 <input type="checkbox"/> Corporate Finance Group 企業融資業 <input type="checkbox"/> Fund Management Industry 基金管理業 <input type="checkbox"/> Futures Industry 期貨業 <input type="checkbox"/> Investment Analysts Group 投資分析業 <input type="checkbox"/> Securities Industry 證券業 <input type="checkbox"/> Others 其他

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.			

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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。

**Part D: Nominations Record Sheets for Board Election (applicable for Paper or Mixed Mode)**  
**D部份：董事局選舉提名人簽署表格(適用於紙張或混合提名方式)**

Please fill in the Candidate's information and proposers' information clearly.  
 請清楚填寫被提名人及提名人的資料。

Name of Candidate 候選人姓名	Membership No. 會員編號	Business Sector 界別
		<input type="checkbox"/> Academia 學術界 <input type="checkbox"/> Corporate Finance Group 企業融資業 <input type="checkbox"/> Fund Management Industry 基金管理業 <input type="checkbox"/> Futures Industry 期貨業 <input type="checkbox"/> Investment Analysts Group 投資分析業 <input type="checkbox"/> Securities Industry 證券業 <input type="checkbox"/> Others 其他

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.			

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 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。