

### **Important Notes**

Voting Members can vote on the AGM resolutions through one of the following methods:

1. by **proxy** by completing and returning the attached Proxy Form to the HKSI Institute on or before 6:30pm, 7 December 2021; OR
2. via the **2021 AGM ePlatform** on or before 6:30pm, 7 December 2021; OR
3. via the **eKiosk** at the HKSI Institute on 9 December 2021, from 3:30pm – 5:30pm
4. **vote in person at the AGM** at 5:30pm, 9 December 2021 (prior registration of attendance is required due to social distancing restriction).

Please be reminded that Voting Members should **only choose ONE voting method** and only the **LATEST submitted vote by any means**, will be counted.

Please note that a **Valid Proxy Form** must be:

- completed with your name, address and membership number;
- signed by you or your attorney duly authorised in writing; AND
- deposited together with the original or notarially certified copy of power of attorney and board resolution in respect of the appointment of an authorised representative of Corporate Member under which it is signed, at the registered office of the HKSI Institute at Room 510, 5/F, Wing On Centre, 111 Connaught Road Central, Hong Kong on or before 6:30pm on Tuesday, 7 December 2021.

**2021**

**PROXY FORM FOR 24<sup>th</sup> ANNUAL GENERAL MEETING**

(Please complete the form using BLOCK CAPITALS)

I, \_\_\_\_\_ (Full Legal Name)

of \_\_\_\_\_ (Address)

Membership No. **SF / FM / M / C** \_\_\_\_\_ being a/an **Senior Fellow /**

**Fellow Member / Ordinary Member / authorised representative of the Corporate Member** of the Hong

Kong Securities and Investment Institute (“HKSI Institute”) entitled to attend and vote at general meetings,

HEREBY APPOINT the **Chairman of the Meeting<sup>1</sup>**, or \_\_\_\_\_

(Full Name) of \_\_\_\_\_

(Address) (Hong Kong Identity Card No. \_\_\_\_\_<sup>2</sup>) **or failing him/her,**

\_\_\_\_\_ (Full Name)

of \_\_\_\_\_ (Address)

(Hong Kong Identity Card No. \_\_\_\_\_<sup>2</sup>) as my proxy to attend the 24<sup>th</sup> Annual

General Meeting of the HKSI Institute (or at any adjournment thereof) to be held at the HKSI Institute,

Room 510, 5/F, Wing On Centre, 111 Connaught Road Central, Hong Kong on Thursday, 9 December

2021 at 5:30pm for the purpose of considering and, if thought fit, passing the resolutions referred to in the

notice convening the meeting and at such meeting (or at any adjournment thereof) to vote for me and on

my behalf in respect of the resolutions set out at back page, and, if no such indication is given, as my


proxy thinks fit.

<sup>1</sup> If any proxy other than the Chairman of the Meeting is preferred, please strike out the words “Chairman of the Meeting” and insert the name and address of the proxy desired in the space provided. Any Senior Fellow / Fellow / Ordinary Member / Authorised Representative of the Corporate Member who is entitled to attend and vote at the meeting may appoint a proxy to attend and on a poll to vote for and on his/her behalf. A proxy needs not be a member of the HKSI Institute but must attend the meeting in person to represent you. Any alteration made to this proxy form must be initialled by the person who signs it. Any alteration other than the deletion of the words “Chairman of the Meeting” without the undersigned’s initial will render the proxy form invalid and the Company Secretary of the HKSI Institute will not contact any person for clarification.

<sup>2</sup> Please include the Hong Kong Identity Card number of your appointed proxy, which is used for identification purpose only.

**2021**

If you wish to vote for the resolution, tick (✓) in the box marked "For". If you wish to vote against the resolution, tick (✓) in the box marked "Against". **Failure to tick (✓) in either box will entitle your proxy to cast your vote at his/her discretion.**

RESOLUTION 1:	For	
<b>To elect <b>SIX (6)</b> Directors to the Board of Directors ("Directors") of the HKSI Institute (Vote for maximum of six candidates):</b>		
1. Mr CHAN Chun Hung, Vincent representing Fund Management Industry sector		
2. Ms LEE Yim Lan, Phyllis representing Others sector		
3. Mr LUI Chi Wang representing Securities Industry sector		
4. Mr SHAFTESLEY Colin Stuart representing Others sector		
5. Mr TONG Piu, Barry representing Futures Industry sector		
6. Mr WAN Mun Wah representing Fund Management Industry sector		
7. Mr WANG Zhongze representing Futures Industry sector		
8. Mr YIM Hong Cheuk, Foster representing Academia sector		
If less than SIX (6) boxes are selected, your proxy may elect the remaining number of candidate(s) as he/she thinks fit. <b><u>If you do not want your proxy to elect the remaining number of candidates for you, please state the number of candidates you have selected in the adjacent box.</u></b>  <b><u>If you selected more than SIX (6) boxes, all the votes for this resolution will not be counted.</u></b>		
RESOLUTION 2:	For	Against
<b>To receive and adopt the Report of the Directors and the Audited Accounts of the HKSI Institute for the year ended 31 March 2021.</b>		
RESOLUTION 3:	For	Against
<b>To re-appoint KPMG as the Honorary Auditor.</b>		

Signature: \_\_\_\_\_

Signed this \_\_\_\_\_ day of \_\_\_\_\_, 2021