

17 November 2023

## NOTICE OF 26TH ANNUAL GENERAL MEETING

Notice is hereby given that the 26th Annual General Meeting (“AGM 2023”) of the Hong Kong Securities and Investment Institute (“HKSI Institute”) will be held at the HKSI Institute, 17/F, Cambridge House, Taikoo Place, 979 King’s Road, Quarry Bay, Hong Kong on **Thursday, 14 December 2023, at 5:30pm** for the following purposes:

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

There are 5 eligible candidates <sup>Note<sup>1</sup></sup> who will stand for Board election:

<u>Candidate</u>	<u>Business Sector Represented</u>
1. Mr CHAU Shing Yim, David	Corporate Finance Group
2. Mr CHIU Pat Ngao, Steven	Corporate Finance Group
3. Mr LEUNG Ping Tak, Peter	Fund Management Industry
4. Mr LIEM Chi Kit, Kevin	Fund Management Industry
5. Ms Helen LEUNG	Investment Analysts Group

The candidates’ detailed personal statements are available on the AGM 2023 ePlatform (“ePlatform”) (please refer to Important Notes below).

2. To receive and adopt the Report of the Directors and the Audited Accounts of the HKSI Institute for the year ended 31 March 2023 <sup>Note<sup>2</sup></sup>.
3. To re-appoint KPMG as the Honorary Auditor.

By order of the Board

Chairman of the Board

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<sup>1</sup> A brief introduction of the 5 eligible candidates, extracted from the information provided by them, is enclosed.

<sup>2</sup> Please download the Audited Accounts from our website, [www.hksi.org](http://www.hksi.org), under the section “About Us>Governance>General Meeting>AGM 2023 Details”.

**Important Notes:**

1. Only Voting Members are entitled to vote. Voting Members include Senior Fellows, Fellow Members, Ordinary Members and Corporate Members (represented by Authorised Representatives).
2. Voting Members can choose to vote via the following means:
  - a) **ePlatform** (Period: 17 November 2023 to 12 December 2023, 6:30pm)

You can login to the ePlatform <https://web.lumiagm.com/127307858> to vote. The password to access the ePlatform has been sent to your preferred email address on 17 November 2023. If you cannot find the email in your inbox, please check your spam email box.
  - b) **Proxy** (Period: 17 November 2023 to 12 December 2023, 6:30pm)

Pursuant to Article 17.6 of the AA, any Voting Member of the HKSI Institute entitled to attend and vote at the AGM 2023 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 Tuesday, 12 December 2023, 6:30pm**.
  - c) **On-site AGM 2023** (Period: 14 December 2023, 5:30pm until end of AGM voting proceedings)

Voting Members who would like to attend the AGM 2023 in person are highly encouraged to register in advance. Confirmation emails will be sent to successful registrants by 13 December 2023. Those without prior registration may not be admitted.

Please register at <https://bit.ly/HKSIagm2023> **on or before 12 December 2023, 6:30pm**. For Authorised Representatives of Corporate Members, please register by emailing us at [agm@hksi.org](mailto:agm@hksi.org).
3. An “Easy Guide to AGM Voting” video providing an overview of the key dates, eligibility and voting methods is prepared for your easy reference. Please visit our website [www.hksi.org](http://www.hksi.org) under the section “About Us>Governance>General Meeting>AGM 2023 Details” for more details.
4. Live broadcast of the AGM 2023 will be available online on 14 December 2023 from 5:30pm until the end of the AGM. The access link will be sent to you by email in early December.
5. The English version of this Notice shall prevail in case of any discrepancy or inconsistency between the English version and its Chinese translation.
6. Should you have any queries, please email us at [agm@hksi.org](mailto:agm@hksi.org).