

21 November 2024

## NOTICE OF 27TH ANNUAL GENERAL MEETING

Notice is hereby given that the 27th Annual General Meeting (“AGM 2024”) of the Hong Kong Securities and Investment Institute (“HKSI Institute”) will be held as a hybrid meeting at the HKSI Institute, 17/F Cambridge House, Taikoo Place, 979 King’s Road, Quarry Bay, Hong Kong, with online access through AGM 2024 ePlatform (“ePlatform”) on **Wednesday, 18 December 2024, at 5:30pm** for the following purposes:

1. To elect 6 Directors to the Board of Directors (the “Board”).

There are 7 eligible candidates who will stand for Board election:

<u>Candidate</u>	<u>Business Sector Represented</u>
1. Mr HO Shing Hin, Jason	Corporate Finance Group
2. Miss KWAN Angelina Agnes	Fund Management Industry
3. Mr TONG Piu, Barry	Futures Industry
4. Dr WANG Zhongze	Futures Industry
5. Mr CHIU Pat Ngao, Steven	Securities Industry
6. Mr FOOTMAN Michael Henry Charles	Securities Industry
7. Mr LUI Chi Wang, Robert	Securities Industry

Pursuant to Article 18.1 of the Articles of Association (“AA”), one vacancy must be filled from the Futures Industry and one from the Securities Industry.

The candidates’ detailed personal statements are available on the ePlatform.

2. To receive and adopt the Report of the Directors and the Audited Accounts of the HKSI Institute for the year ended 31 March 2024 <sup>Note 1</sup>.
3. To appoint PKF Hong Kong Limited as the new Auditor for the 2024/2025 term until the conclusion of the next annual general meeting of the HKSI Institute and to authorise the Board to fix the remuneration <sup>Note 2</sup>.

Please refer to the **Important Notes on the next page** for note 1 and 2, as well as the voting and meeting arrangement of the AGM 2024. For enquiries, please email to [agm@hksi.org](mailto:agm@hksi.org).

By order of the Board

Chairperson of the Board

## Important Notes

### Note 1

The Audited Accounts is posted on our website at [www.hksi.org](http://www.hksi.org) under the section “About Us>Governance>General Meeting>AGM 2024 Details”.

### Note 2

KPMG will retire as Honorary Auditor of the HKSI Institute upon expiration of its current term of office at the conclusion of AGM 2024. The Audit and Risk Committee has recommended, and the Board has resolved to propose, PKF Hong Kong Limited as the new Auditor upon retirement of KPMG.

### Voting and Meeting Arrangements of the AGM 2024

Only Voting Members are entitled to vote at the AGM 2024. Voting Members include Senior Fellows, Fellow Members, Ordinary Members and Corporate Members (represented by Authorised Representatives).

1. Vote during the **Pre-AGM period from 21 November 2024 to 16 December 2024, 6:30pm**: Voting Members can vote via the ePlatform <https://web.lumiconnect.com/190361758> using the unique password provided to them.

Please do not share the password with any other individual. Please refer to the “[User Guide on Pre-AGM Online Voting](#)” for the voting process.

2. Attend and vote at **AGM 2024 on 18 December 2024 (either in person or online)**: Voting Members can choose to attend and vote at the AGM 2024 via one of the following means:

- a) **Attend AGM 2024 in person and vote via ePlatform**

Voting members are encouraged to register on or before 16 December 2024.

- Individual Members: through our website at <https://shorturl.at/cvezw>
- Authorised Representatives of Corporate Members: by emailing to [agm@hksi.org](mailto:agm@hksi.org)

Successful registrants will be notified on 17 December 2024.

- b) **Attend AGM 2024 online and vote via ePlatform**

Voting Members can watch the live broadcast and cast votes via the ePlatform <https://web.lumiconnect.com/190361758> using the unique password mentioned in item 1.

- c) **By Proxy**

Pursuant to Article 17.6 of the AA, any Voting Member of the HKSI Institute can appoint a proxy (need not be a member of the HKSI Institute) to attend the AGM and vote on his/her behalf. Voting Members should complete and return the [Proxy Form](#) to the registered office of HKSI Institute on or before 16 December 2024, 6:30pm. Proxies must attend the AGM in person but they DO NOT need to register.

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

*The English version of this Notice and Important Notes shall prevail in case of any discrepancy or inconsistency between the English version and its Chinese translation.*