



# **Guidelines and Procedures for Application and Nomination of Candidates for Board Election at the 28th Annual General Meeting**

## **Application Period**

**2 October 2025 - 14 October 2025, 6:00pm**

## **Nomination Period**

**22 October 2025 - 12 November 2025, 6:00pm**

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 21.7 of the Articles of Association (“AA”).

Prospective Candidates and Proposers should read the information in their respective sections carefully.

## I. Application Guidelines and Procedures

### (For Prospective Candidates)

1. All Prospective Candidates should submit the **completed and duly signed Application Form for Board Election (“Application Form”)** on or before the application deadline, which is approximately two (2) weeks from the start of the application period, either
  - via email to [agm@hksi.org](mailto:agm@hksi.org); or
  - in person or by post to HKSI Institute at 17/F Cambridge House, Taikoo Place, 979 King’s Road, Quarry Bay, Hong Kong.
2. Should the Prospective Candidate fail to submit the requisite information as stipulated in point (1) to HKSI Institute on or before the submission deadline, HKSI Institute has the absolute right of not accepting and/or processing the application.
3. The Application Form consists of THREE (3) Parts:
  - Part A: Personal Information
  - Part B: Personal Statement
  - Part C: Declarations and Consent
4. The Application Form can be downloaded from HKSI Institute website (“About Us>Governance>General Meeting” section).
5. Please note that in the Part B Personal Statement section, both **English and Chinese versions in Word format should be provided**. Each version does not exceed one A4 page using a font size of 10pts or above.
6. Prospective Candidate will be personally responsible for the content of the personal statement which **WILL NOT** be vetted by HKSI Institute. Prospective Candidate is required to declare the accuracy and correctness by signing the Declarations and Consent.
7. Prospective Candidate **CANNOT** change their selected business sector after submitting the Application Form. However, the Secretariat reserves the right to request a change after reviewing the Candidate’s profile.
8. The Secretariat will notify the Prospective Candidates regarding their eligibility to proceed to the nomination phase within two business days after the application period ended.

## **II. Nomination Guidelines and Procedures**

### **(For Prospective Candidates)**

1. All Prospective Candidates should be supported by not less than **one (1) Board Director who is qualified to vote and two (2) Voting Members<sup>1</sup>** (Article 21.3 of AA) in the form of **duly signed Nomination Letters**.
2. Prospective Candidates are not allowed to nominate themselves.
3. **Nomination Letter for Voting Members use** and **Nomination Letter for Board Director use**, both of which are in a prescribed format, can be downloaded from the HKSI Institute website (“About Us>Governance>General Meeting” section) upon the commencement of the nomination period which will last for **THREE (3) weeks**.
4. A virtual briefing may be held to facilitate the nomination process.
5. HKSI Institute will provide contact information of the Board Directors, who are qualified to nominate, upon the Prospective Candidate’s request. The Prospective Candidate is required to sign a Confidentiality Statement to access this information. Please note that such Board Director has absolute discretion to decide whether to support the Prospective Candidate.

### **(For Prospective Candidates and Proposers)**

6. The **completed and duly signed Nomination Letters** should be submitted **on or before the nomination deadline** either:
  - via email to [agm@hksi.org](mailto:agm@hksi.org); or
  - in person or by post to HKSI Institute at 17/F Cambridge House, Taikoo Place, 979 King’s Road, Quarry Bay, Hong Kong.
7. Any Proposer (Board Director and Member who are qualified to vote) can propose **ONLY ONE** Prospective Candidate. If any Proposer submits more than one nomination, the nominations of such members in relation to the Prospective Candidates will be invalid and shall not be considered.

## **III. Qualified Board Director Candidate**

If the Prospective Candidate is ultimately qualified to run for board election, his/her name, business sector representation, and personal statement will be posted on the AGM electronic voting platform (administered by Lumi), together with all the AGM related documents.

<sup>1</sup> Please refer to Article 11.1 of AA for details of Voting Members

#### 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 Meetings around 6 times per year
- sit on at least one standing Committee
- 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

Pursuant to Article 18.1 of the AA of 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 28th AGM	Remarks
(1) Academia	1	1	At least one director to be elected from this business sector
(2) Corporate Finance Group	3	1	-
(3) Fund Management Industry	1	-	-
(4) Futures Industry	2	-	-
(5) Investment Analysts Group	2	1	-
(6) Securities Industry	3	-	-
Appointed by SFC	3	-	-
Total	15		

*Note: there will be **three (3)** Director vacancies to be filled by election at the 28th AGM.*

## VI. Important Dates

Items	Dates
<b>Application period commenced and Application Form ready for download</b>	2 October 2025
<b>Submission deadline for Application Form</b>	14 October 2025, 6:00pm
<b>Virtual briefing session on the nomination process (if required)</b>	Week of 20 October 2025
<b>Nomination period commenced and Nomination Letters ready for download</b>	22 October 2025
<b>Submission deadline for Nomination Letters</b>	12 November 2025, 6:00pm

Enquiries: For questions regarding the application and nomination processes, please contact the Secretariat via email at [agm@hksi.org](mailto:agm@hksi.org).