



Guidelines and Procedures for Application and Nomination of Candidates for Board Election at the 29th Annual General Meeting

Application Period

2 October 2026 - 15 October 2026, 6:00pm

Nomination Period

22 October 2026 - 11 November 2026, 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; 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 the 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, each as a separate Word document, must be submitted. Use a font size of 10 pt or above and ensure each version does not exceed one A4 page.**
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 Members¹** (Article 21.3 of the AA), through **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. Upon request, HKSI Institute will provide the contact information of Board Directors who are qualified to nominate a Prospective Candidate. The Prospective Candidate is required to sign a Confidentiality Statement to access this information. Please note that each Board Director has absolute discretion to decide whether to support a Prospective Candidate.

(For Prospective Candidates and Proposers)

6. The **completed and duly signed Nomination Letters** must be submitted **on or before the nomination deadline** either:
 - via email to 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 a 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 other AGM-related documents.

¹ 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 29th AGM	Remarks
(1) Academia	1	-	-
(2) Corporate Finance Group	3	1	-
(3) Fund Management Industry	1	1	At least one director to be elected from this business sector
(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 29th AGM.*

VI. Important Dates

Items	Dates
Application period commences and Application Form ready for download	2 October 2026
Submission deadline for Application Form	15 October 2026, 6:00pm
Virtual briefing session on the nomination process (if required)	Week of 19 October 2026
Nomination period commences and Nomination Letters ready for download	22 October 2026
Submission deadline for Nomination Letters	11 November 2026, 6:00pm

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