

To Fellows and Members of the Chartered Institute for Securities & Investment

Dear Fellow/Member

You will find attached, notice of this year's CISI AGM, together with a voting form for the Ordinary Resolutions.

Six nominations have been received for the six vacancies for elected places on the Board.

The following Directors retire by rotation and will stand for re-election at the AGM. All have made a significant contribution to the Institute's affairs during their period of service and the Board believes that it is in the interest of members and of the Institute that they should continue to serve on the Board.

Fionnuala Carvill, Chartered FCSI
Richard Stockdale, Chartered FCSI
Nick Swales, Chartered FCSI

The following Directors will resign from the Board at the AGM. We are very grateful for their expertise and wise counsel over the years.

Robert Barnes, Chartered FCSI
Chris Harris-Deans, Chartered FCSI
Nick Parkes, Chartered FCSI

The Board is pleased to endorse and nominate Claire Perryman Chartered MCSI, Puranam Ravikumar FCSI(Hon) and Gary Teper MCSI as candidates for election to the Board of Directors.

Bios for all candidates are appended to this Notice and the Regulations governing appointment to the Board can be found at www.cisi.org.

I do hope that you will take time to cast your votes on the matters covered in the enclosed papers.

The Board will hold its Autumn meeting this year in Bristol and have decided to hold the AGM at the same venue. Members are, as always, welcome to join us for the AGM (details are provided on the Notice of AGM attached).

Yours sincerely



Sir Alan Yarrow, Chartered FCSI(Hon)
Chairman
30 August 2016

NOTICE OF ANNUAL GENERAL MEETING

Notice is hereby given that the Annual General Meeting of the Institute will be held in the Merchant 1 Room at the Bristol Marriott Royal Hotel, College Green, Bristol BS1 5TA, on Thursday 6 October 2016 from 14:30 to 15:00, to transact the following business:

1. to receive the report of the Directors and the financial statements for the year ended 31 March 2016;
2. **Ordinary Resolution No. 1:** to reappoint Crowe Clark Whitehill LLP as auditors of the Institute and to authorise the Directors to fix their remuneration;
3. **Ordinary Resolution No. 2:** to elect the Directors, as described in Agenda Item 3 below;

By order of the Board.

Broadway Secretaries Ltd
Company Secretary
30 August 2016

Chartered Institute for Securities & Investment, 3rd Floor, 20 Fenchurch Street, London EC3M 3BY
Telephone: 020 7645 0600 Fax: 020 7645 0601 Website: cisi.org VAT registration number 644 8569 95
A company limited by guarantee and registered in England and Wales, number RC000834. A charity registered in Scotland, number SC040665

AGENDA ITEM 3 – ELECTION OF DIRECTORS

The six candidates listed in alphabetical order below are offering themselves for election to the Board. The symbol # denotes that the candidate is an existing Director of the Institute.

Fionnuala Carvill, Chartered FCSI FCIB FCIS #

Fionnuala Carvill, Chartered FCSI FCIB FCIS is previous Head of Private Wealth Management at Kleinwort Benson. Prior to this role Fionnuala spent four years as Commission Secretary and Head of Innovation at the Guernsey Financial Services Commission. Before joining the Commission Fionnuala was a Director of Rothschild Bank (CI) Ltd before deciding to spend five months as a volunteer with VSO in China in 2009 where she was an Organisational Development Adviser. During her time at Rothschild she was responsible for the management and development of the Private Banking business in addition to marketing and business development.

Fionnuala is a Board Member of The Chartered Institute for Securities & Investment; a Past President, and committee member of The Chartered Institute for Securities & Investment, Guernsey Branch; a Chartered Fellow of The Chartered Institute for Securities & Investment; a Fellow of the Chartered Institute of Bankers (Institute of Financial Services); a Fellow of the Institute of Secretaries and Administrators; an Ambassador for the Chartered Management Institute; a past Council Member of the Guernsey Chamber of Commerce; a director of The Guernsey Community Foundation; a member of the Institute of Directors; Past President of Women in Professions; a Liveryman of the Worshipful Company of International Bankers and was granted Freedom of the City of London in 2007.

Claire Perryman, Chartered MCSI #

Claire has 20 years of financial services experience. Until recently, she was a Managing Director and led the iShares Wealth Management and Retail Sales business in UK, Ireland & the Channel Islands at BlackRock. In September, she will commence a new role at another global asset management firm, as head of their UK ETF business.

At BlackRock, which she joined in 2008, Claire led a team responsible for the distribution of iShares products to wealth managers, multi-family offices, discretionary investment managers, independent financial advisors and platforms. Additionally, Claire was a co-head of BlackRock's Women's Initiative Network for EMEA. Prior to joining BlackRock, Claire spent three years in Business Development for a multi-manager hedge fund, and nine years at UBS – first in their Investment Bank, then in Wealth Management.

Claire is a graduate in Finance from the University of Birmingham, holds the Chartered Alternative Investment Analyst designation, and is a Chartered Member of the Chartered Institute for Securities & Investment. She has been a co-opted member of the CISI Board of Directors since 2015, and sits on the Editorial Panel and Investment Committee of the CISI.

Puranam Ravikumar FCSI(Hon)

Mr Puranam Hayagreeva Ravikumar (P.H.Ravikumar) is the Chairperson of the CISI's India Advisory Committee. He is a banker by profession, a commerce graduate and an associate of Indian Institute of Bankers, Mumbai and also of Chartered Institute of Bankers, London. He is an Honorary Fellow of the CISI. He is currently the Chairman of Vastu Housing Finance Corporation Ltd., an affordable mortgage lending entity in India and also of Bharat Financial Inclusion Ltd, the largest listed microfinance entity in India. He is also a member of the Board of Directors of several listed and unlisted entities spanning financial sector segments such as mutual funds and pensions.

Richard Stockdale, Chartered FCSI #

Richard spent his entire banking career with LloydsTSB Bank, formerly as Middle Eastern Regional Head and latterly as CEO of Global Services and as India Country Head. He has spoken on the subjects of anti-money laundering, combatting terrorist financing and corruption at the request of the UN, IMF/World Bank, Arab Monetary Fund, Swiss Government and UAE Central Bank, et al. He has been an expert trial witness for the US Dept of Justice and has sat on a NYC domiciled committee advising the UN Security Council Monitoring Committee on Terrorist Financing Sanctions. After leaving LloydsTSB Richard established a Washington DC company offering consultancy and educational services in the above specialist subject areas. This company is not now operational but Richard continues his focus on combatting corruption and is the only non-Indian citizen sitting on the Advisory Board of India's first Anti Corruption Academy, based in New Delhi.

Richard is a Chartered Fellow of the CISI and a Fellow of the Chartered Institute of Bankers, current President of the CISI's UAE Regional Advisory Board and a past President of the CISI's India Regional Advisory Board.

Nick Swales, Chartered FCSI #

After attaining a degree in Politics and Economics from The University of Newcastle upon Tyne, Nick started his professional career as a private client stockbroker with Wise Speke then in 1990 and after gaining the CISI Diploma, became a member of the London Stock Exchange. Nick developed his career by working for two international banks, Merrill Lynch and UBS before becoming Regional Director of Rathbones heading up its Newcastle upon Tyne office.

As well as his role on the CISI Board, Nick Chairs the Investment Sub Committee and is a Trustee of the CISI Educational Trust. Nick is Chairman of the Board at the Percy Hedley Foundation a Charity for disabled people based in the North East and is Trustee of both the Newcastle University Retirement Benefits Fund and the University's Development Trust.

Gary Teper LLB(Hons) MSc, MCSI

Gary Teper holds a Bachelor of Law LLB (Hons) and an MSc in Financial Regulation. Gary initially qualified as a solicitor in a London law firm before joining Charles Stanley in November 1998. In 2000, he was promoted to the position of Group Company Secretary and assumed a place on the Charles Stanley & Co Ltd operational Board of Directors in April 2005. Since 2012 Gary has been a Director of the parent company Charles Stanley Group PLC and today leads their Private Client Investment Management Division. He also has Board Responsibility for Legal, Human Resources and Training & Development functions. Gary has been a member of CISI since 1993.

VOTING

Any member of the Institute entitled to attend and vote at the meeting may, by using the procedures set out below, appoint one or more proxies to attend and vote instead of him or her. A proxy need not be a member.

There are four ways that a member's vote can be cast:

1. vote online using the link in the members area at www.cisi.org;
2. use Form A (page 4) to appoint the Chairman as your proxy and post the form to the Company Secretary, to be received not later than 11am on Tuesday 4 October 2016;
3. use Form B (page 4) to appoint a proxy to exercise all or any of your rights to attend and speak at the meeting and to vote on your behalf;
4. attend the AGM and vote yourself.

FORM A

Use this form only if you want the Chairman to be your proxy. If you wish to appoint a proxy to speak on your behalf at the meeting, please use Form B below and give your instructions directly to him/her.

(mark X in the appropriate box)

- **Ordinary Resolution No. 1:** to reappoint Crowe Clark Whitehill LLP as auditors of the Institute and to authorise the Directors to fix their remuneration.

FOR AGAINST

- **Ordinary Resolution No. 2:** to elect the Directors.

The candidates proposed by the Board of Directors are:

indicates an existing Board member

Fionnuala Carvill #	FOR	<input type="checkbox"/>	AGAINST	<input type="checkbox"/>
Claire Perryman #	FOR	<input type="checkbox"/>	AGAINST	<input type="checkbox"/>
Puranam Ravikumar	FOR	<input type="checkbox"/>	AGAINST	<input type="checkbox"/>
Richard Stockdale #	FOR	<input type="checkbox"/>	AGAINST	<input type="checkbox"/>
Nick Swales #	FOR	<input type="checkbox"/>	AGAINST	<input type="checkbox"/>
Gary Teper	FOR	<input type="checkbox"/>	AGAINST	<input type="checkbox"/>

Name (please print)Signature.....Date.....Membership No.....

Post this form to the Company Secretary, Chartered Institute for Securities & Investment, 3rd Floor, 20 Fenchurch Street, London EC3M 3BY to arrive not later than 11am on Tuesday 4 October 2016

To appoint a proxy other than the Chairman, please use Form B below

FORM B

Use this form only if you want to appoint a proxy other than the Chairman to attend the meeting and vote on your behalf. Your proxy must bring the form with him/her.

I,of
 being a member of the Chartered Institute for Securities & Investment, hereby appoint:

..... of
 as my proxy to vote in my name and on my behalf at the Annual General Meeting of the Institute to be held on 6 October 2016 and at any adjournment thereof.

Name (please print)Signature.....Date.....Membership No.....