



【Important Notice】 CLIENT CONSENT ON THE NORTHBOUND INVESTOR ID MODEL

Dear Valued Client,

The Hong Kong Securities and Futures Commission has announced the investor identification regime for Northbound trading under China Connect Service. It will entail the collection and use of personal data (including name, ID type and number, issuing state, etc) by the SEHK and its subsidiaries, as well as its transfer to the Mainland exchanges and the CSRC.

From 17 Sep 2018 onwards, to continue with northbound trading, please ensure that you have completed and submitted the “Client Consent on the Northbound Investor ID model” to Customer Services Department, 40/F, Lee Garden One, 33 Hysan Avenue, Causeway Bay. Please refer to the Client Consent document sent on 15 Jun 2018.

Upon implementation of the investor identification regime, failure to provide Southwest with the Client Consent will result in northbound trading service being restricted to sell-only. Subsequent submission of the “Client Consent on the Northbound Investor ID model” will require 2 trading days to process. (Actual effective date will be subject to our company’s processing time).

Should you have any queries, please contact our Customer Services Hotline at (852)2238 9238.

Yours faithfully,
Southwest Securities (HK) Brokerage Limited