HKEX 香港交易所

Monthly Return of Equity Issuer on Movements in Securities

For the month ended	
(dd/mm/yyyy) :	

31/10/2018

To : Hong Kong Exchanges and Clearing Limited

Name of Issuer	Southwest Securities International Securities Limited	
Date Submitted	05/11/2018	

I. Movements in Authorised Share Capital

1. Ordinary Shares			
(1) Stock code : <u>812</u> Descrip	otion :		
	No. of ordinary shares	Par value (HK\$)	Authorised share capital (<i>HK</i> \$)
Balance at close of preceding month	4,000,000,000	0.1	400,000,000
Increase/(decrease)	0		0
Balance at close of the month	4,000,000,000	0.1	400,000,000
(2) Stock code :Descrip	otion :		
	No. of ordinary shares		Authorised share capital (<i>HK\$</i>)
Balance at close of preceding month			
Increase/(decrease)			
Balance at close of the month			

2. Preference Shares

Stock code :Desc	ription :		
	No. of preference shares	Par value (HK\$)	Authorised share capital (<i>HK</i> \$)
Balance at close of preceding mont	th		
Increase/(decrease)		-	
Balance at close of the month			

3. Other Classes of Shares

Stock code :	Description :		
	No. of other classes of shares	Par value (HK\$)	Authorised share capital (<i>HK</i> \$)
Balance at close of preceding	month		
Increase/(decrease)			
Balance at close of the month			

Total authorised share capital at the end of the month (*HK*\$) 400,000,000

II. Movements in Issued Share Capital

	No. of ordina (1)	ary shares (2)	No. of preference shares	No. of other classes of shares
Balance at close of preceding month	2,441,220,409			
Increase/ (decrease) during the month	0			
Balance at close of the month	2,441,220,409			

III. Details of Movements in Issued Share Capital

Share Options (und	ler Share Opt	ion Schemes o	f the Issuer)			
Particulars of						No. of new shares of
share option						issuer which may be
scheme					the month pursuant	
including SGM					thereto	thereto as at close of
approval date	Ν	Novement durir	ng the month		_	the month
(dd/mm/yyyy) and						
class of shares						
issuable	Granted	Exercised	Cancelled	Lapsed		
1.						
(/ /)						
shares						
(Note 1)			<u> </u>			
2						
2.						
(/ /)						
shares						
(Note 1)						
(
3.						
<u>.</u>						
(/ /)						
shares						
(Note 1)						
		Total	A. (Ordina	ry shares)	0	
			(Preference)	ce shares)		
			(Ot	her class)		
Total funds raised d	uring the mo	nth from exercis	•	,		
of options (<i>HK</i> \$)					0	
L						

Warrants to Issue Shares of the	e Issuer which	are to be Listed				
Description of warrants (Date of expiry - dd/mm/yyyy)	Currency of nominal value	Nominal value at close of preceding month	Exercised during the month	Nominal value at close of the month	No. of new shares of issuer issued during the month pursuant thereto	No. of new shares of issuer which may be issued pursuant thereto as at close of the month
<u>1.</u>						
(/ /) Stock code (if listed) Class of shares issuable (Note 1) Subscription price SGM approval date						
(if applicable) (dd/mm/yyyy)	()				
2.	(/ /)	-			
(/ /) Stock code (if listed) Class of shares issuable (Note 1) Subscription price						
SGM approval date (if applicable) (dd/mm/yyyy) 3.	(/ /)	-			
(/ /) Stock code (if listed) Class of shares issuable (Note 1) Subscription price			- -			
SGM approval date			-			
(if applicable) (dd/mm/yyyy)	(/ /)				
4.	, ,	/	-			
(/ /) Stock code (if listed) Class of shares issuable (Note 1)						
Subscription price			-			
SGM approval date (if applicable) (dd/mm/yyyy)	(/ /)	-			
		Total E	(Preferen	ary shares) ice shares) other class)		

Convertibles (i.e. Convertible	into Shares of th	e Issuer which	are to be Liste	∋d)		
Class and description	Currency of amount outstanding	Amount at close of preceding month	Converted during the month	Amount at close of the month	No. of new shares of issuer during the month pursuant thereto	No. of new shares of issuer which may be issued pursuant thereto as at close of the month
<u>1.</u>						
Stock code (if listed) Class of shares issuable (Note 1)						
Subscription price SGM approval date (if applicable) (dd/mm/yyyy) 2.	(/ /)					
Stock code (if listed) Class of shares	_ 					
issuable (Note 1) Subscription price SGM approval date (if applicable)						
(dd/mm/yyyy)3.	(/ /) 					
Stock code (if listed)	_ 					
Class of shares issuable <i>(Note 1)</i> Subscription price SGM approval date						
(if applicable)	(//)					
	_					
Stock code (if listed) Class of shares issuable (Note 1) Subscription price					_	
SGM approval date (if applicable)	(//)		otal C. (Ordina	arv shares)	C)
			(Preferen	ce shares) ther class)		_

Options (other than under Share Option Schemes)		
Full particulars including SGM approval date (dd/mm/yyyy), if applicable, and class of shares issuable:	No. of new shares of issuer issued during the month pursuant thereto	No. of new shares of issuer which may be issued pursuant thereto as at close of the month
1		
shares (Note 1)		
2.		
2		
shares (Note 1)		
		·
3.		
	•	
shares (Note 1)		
Total D. (Ordinary shares)	0	
	0	
(Preference shares)		
(Other class)		

Any other Agreements or Arrangements to Issue Shares of the Issuer which are to be Listed, including Options (other than under Share Option Schemes)

	<u>ner Movements i</u>	n Issued Sha	are Capi	tal						No. of new shares of issuer issued during the month pursuant thereto	No. of new shares of issuer which may be issued pursuant thereto as at close of the
	Type of Issue										month
					Class of shares issuable (Note 1)	_					
1.	Rights issue	At price :	HK\$		Issue and allotment date : (dd/mm/yyyy)	(/	/)		
					SGM approval date: (dd/mm/yyyy)	(/	/)		
					Class of shares issuable (Note 1)						
2.	Open offer	At price :	HK\$		Issue and allotment date : (dd/mm/yyyy)	(/	/)		
					SGM approval date: (dd/mm/yyyy)	(/	/)		
					Class of shares issuable (Note 1)						
3.	Placing	At price :	HK\$		Issue and allotment date : (dd/mm/yyyy)	(/	/)		
					SGM approval date: (dd/mm/yyyy)	(/	/)		
					Class of shares issuable (Note 1)						
4.	Bonus issue				Issue and allotment date : (dd/mm/yyyy)	(/	/)		
					SGM approval date: (dd/mm/yyyy)	(/	/)		

Class of shares		Type of Issue							No. of new shares of issuer issued during the month pursuant thereto	No. of new shares of issuer which may be issued pursuant thereto as at close of the month
5. Scrip dividend At price : HK\$ Issue and allotment (///) SGM approval date: (d//mm/yyyy) SGM approval date: (//) 6. Repurchase of shares Class of shares repurchased (Note 1) 6. Repurchase of shares Cancellation date : (//) 7. Redemption of shares Class of shares redeemed (Note 1) 7. Redemption of shares Class of shares redeemed (Note 1) 8. Consideration At price : HK\$ Class of shares issuable (Note 1) 8. Consideration At price : HK\$ Issue and allotment (//) 8. Consideration At price : HK\$ Issue and allotment (//)										
(dd/mm/yyyy)	5.	Scrip dividend	At price :	HK\$	 Issue and allotment	()		
repurchase of shares repurchased (Note 1) 6. Repurchase of shares Cancellation date : (/ /) (dd/mm/yyyy) SGM approval date: (/ /) (dd/mm/yyyy) SGM approval date: (/ /) (dd/mm/yyyy) 7. Redemption of shares Class of shares					SGM approval date: (dd/mm/yyyy)	()		
repurchase of shares repurchased (Note 1) 6. Repurchase of shares Cancellation date : (/ /) (dd/mm/yyyy) SGM approval date: (/ /) (dd/mm/yyyy) SGM approval date: (/ /) (dd/mm/yyyy) 7. Redemption of shares Class of shares										
shares (dd/mm/yyyy) (dd/mm/yyyy) SGM approval date: (/ /) (dd/mm/yyyy)										
(dd/mm/yyyy)	6.	Repurchase of shares				()		
7. Redemption of shares Redemption date : (/ /) (dd/mm/yyyy) 8. Consideration issue At price : HK\$ 8. Consideration At price : HK\$ Issue and allotment (/ /) (dd/mm/yyyy) 8. Consideration issue HK\$					SGM approval date: (dd/mm/yyyy)	()		
7. Redemption of shares Redemption date : (/ /) (dd/mm/yyyy) SGM approval date: (/ /) (dd/mm/yyyy) SGM approval date: (/ /) (dd/mm/yyyy) 8. Consideration issue At price : HK\$ 8. Consideration at price : HK\$ Issue and allotment (/ /) (dd/mm/yyyy) 8. Consideration issue SGM approval date: (/ /) (dd/mm/yyyy) 8. Consideration issue SGM approval date: (/ /) () () () () () () () ()										
shares (dd/mm/yyyy) (dd/mm/yyyy) SGM approval date: (/ /) (dd/mm/yyyy) (/ /) Class of shares										
(dd/mm/yyyy) Class of shares Subscript{Subscript{Class of shares	7.				Redemption date : (dd/mm/yyyy)	()		
8. Consideration issue At price : HK\$ Issue and allotment (/ /) date : (dd/mm/yyyy) SGM approval date: (/ /)					SGM approval date: (dd/mm/yyyy)	(/ /)		
8. Consideration issue At price : HK\$ Issue and allotment (/ /) date : (dd/mm/yyyy) SGM approval date: (/ /)										
issue At price : HK\$ date : (dd/mm/yyyy) SGM approval date: (/ /)										
SGM approval date: (/ /) (dd/mm/yyyy)	8.		At price :	HK\$		()		
					SGM approval date: (dd/mm/yyyy)	()		

			No. of new shares of issuer issued during the month	shares of issuer which may be issued pursuant
	Type of Issue		pursuant thereto	thereto as at close of the month
		Class of shares issuable (Note 1)	_	
9.	Capital reorganisation	Issue and allotment (/ / date : (dd/mm/yyyy))	
		SGM approval date: (/ / (dd/mm/yyyy))	
		Class of shares issuable (Note 1)	_	
10.	Other (Please specify) At price : HK\$	Issue and allotment (/ / date : (dd/mm/yyyy))	
		SGM approval date: (/ / (dd/mm/yyyy))	_
		Total E. (Ordinary sha (Preference sha (Other cl	ares)(ares) ass)	<u>0</u>

Total increase / (decrease) in ordinary shares during the month (i.e. Total of A to E): (1)	0			
(2)				
Total increase / (decrease) in preference shares during the month (i.e. Total of A to E):				
Total increase / (decrease) in other classes of shares during the month (i.e. Total of A to E):				
(These figures should be the same as the relevant figures under II above ("Movements in Issued Share Capital").)				

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Remarks (if any):	
Submitted by: Tam Lai Kwan Terry	
Title: <u>Company Secretary</u> (Director, Secretary or other duly authorised officer)	

Notes :

- 1. State the class of shares (e.g. ordinary, preference or other).
- 2. If there is insufficient space, please append the prescribed continuation sheet.