

## CLIENT'S KNOWLEDGE OF DERIVATIVE PRODUCTS AND RISK DISCLOSURE STATEMENT

To : Southwest Securities (HK) Brokerage Limited/Southwest Securities (HK) Futures Limited  
 ( "Southwest Securities (HK)" )

### PART I : CLIENT'S INFORMATION

Account Type :	<input type="checkbox"/> Individual Account <input type="checkbox"/> Joint Account <input type="checkbox"/> Corporate Account		
Client's Name :		Account No. :	

### PART II : CLIENT'S KNOWLEDGE OF DERIVATIVE PRODUCTS *please tick the appropriate box(es)*

<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	1. I/We have attended training or courses on derivative products. 2. I/We have current or previous work experience related to derivative products. 3. I/We have executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Rights, Stock Options, Futures and Options, Commodities, Structured Products, Exchange Traded Funds, Exchange Traded Convertible Bonds, Equity Linked Instruments/Notes, etc. 4. I/We confirm that I/we have read and fully understood the Risk Disclosure Statement in the Client Agreement of Southwest Securities (HK), and have obtained explanation from Southwest Securities (HK) in a language (English or Chinese) of my/our choice.*
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### PART III : CLIENT'S DECLARATION

I/We hereby declare that all information provided on this form are true, complete and correct. I/We acknowledge and understand Southwest Securities (HK) will assess whether I/we have adequate knowledge on derivative products according to the above information I/we provided.

I/We **AGREE** to trade derivative products with and through Southwest Securities (HK). I/We hereby sign to confirm and accept the explanation of risks in trading different derivative products provided by Southwest Securities (HK).

I/We clearly understand the risks that may be caused by trading these derivative products and agree to bear such risks, as well as to take responsibilities involved.

Client's Signature : \_\_\_\_\_ Date : \_\_\_\_\_

Please use the signature filed with our Company (For Joint Account, all account holders are required to sign).

### PART IV : FOR OFFICIAL USE ONLY

<b>Signed by Licensed Representative</b>	<b>SFC CE No.</b>	<b>Date</b>
<b>Authorized Signature(s)</b>	<b>Name of Authorized Person</b>	<b>Date</b>
Customer Services Department :		
Verified by :	Checked by :	Inputted by :      Approved by :