

Venture Smart Asia Limited
意博資本亞洲有限公司

Venture Smart Asia Limited is a licensed corporation (CE No. BCO369) licensed with the Securities and Futures Commission to carry on Type 1 (dealing in securities), Type 4 (advising on securities) and Type 9 (asset management) regulated activities and is an Exchange Participant of The Stock Exchange of Hong Kong Limited.

意博為一間經香港證券及期貨事務監察委員會批准(中央編號：BCO369)之持牌公司，可從事第1類(證券交易)、第4類(就證券提供意見)及第9類(提供資產管理)受規管活動及香港聯合交易所之參與者。

IMPORTANT NOTICE 重要提示
1. All transactions to be conducted with or through Venture Smart Asia Limited ("VSAL") shall be subject to the terms and conditions of the Client Agreement (as defined hereinafter). 所有經由意博資本亞洲有限公司(“意博”)進行的交易，均受《客戶協議書》(如下文定義)內之條款及規定所約束。 2. Please read carefully the Client Account Opening Documentation with which you have been provided in a language (English or Chinese) of your choice, ask questions and seek independent advice if you so wish. 請仔細閱讀已按照閣下所選擇的語言(英文或中文)而提供予閣下的客戶開戶檔，提出問題及徵求獨立的意見(如閣下有此意願)

ACCOUNT OPENING FORM (INDIVIDUAL / JOINT ACCOUNT)
開戶表格(個人/聯名帳戶)

PART I – TYPE OF ACCOUNT 第一部分 – 帳戶類別
☐ Individual Account 個人帳戶 ☐ Joint Account 聯名帳戶 (Each of the joint account holders shall complete the Account Opening Form) (聯名帳戶的每名帳戶持有人均需填妥開戶表格)

PART II – TYPE OF SERVICES 第二部分 – 服務類別
☐ Discretionary Portfolio Management 全權委託投資組合管理 ☐ Portfolio to be held by VSAL (refer to Part A & C of Client Agreement) 投資組合保管於意博(參考《客戶協議書》之甲部和丙部) ☐ Portfolio to be held by external custodian (refer to Part A & C of Client Agreement) 投資組合保管於外部保管人(參考《客戶協議書》之甲部和丙部) ☐ Non-discretionary Investment Services and/or Securities Dealing 非全權委託投資服務及/或證券交易 ☐ Dealing and custodian of securities by VSAL (refer to Part A of Client Agreement) 證券交易及保管人(參考《客戶協議書》之甲部) ☐ Investment advisory services & placement of trading instructions to external custodian on behalf of clients (refer to Part A & B of Client Agreement) 投資諮詢服務及代表客戶於外部保管人發放交易指令(參考《客戶協議書》之甲部和乙部) ☐ Others ☐ Investment advisory services (Portfolio <u>not</u> held by VSAL nor external custodian) 投資諮詢服務(投資組合<u>並不</u>保管於意博或外部保管人) ☐ Private placement of securities (Securities <u>not</u> held by VSAL nor external custodian) 私人證券交易及配售(證券<u>並不</u>保管於意博或外部保管人) ☐ Please specify 請注明: _____

PART III – CLIENT INFORMATION STATEMENT (Sole / First Joint Account Holder)			
第三部分 – 客戶資料聲明 (單一 / 首名聯名帳戶持有人)			
Personal Information 個人資料			
Name in Chinese 中文姓名:			
Name in English 英文姓名:			
Sex 性別:	☐ Mr. 先生 ☐ Miss 小姐 ☐ Ms. 女士 ☐ Mrs. 太太 ☐ Dr. 博士		
Date of Birth 出生日期:	Place of Birth 出生地點:	Nationality 國籍:	
ID Card / Passport No. 身份證/護照號碼:			
Marital Status 婚姻狀況: ☐ Single 單身 ☐ Married 已婚 ☐ Others 其他: _____			
Spouse Information 配偶信息	Name in Chinese 中文姓名:	Date of Birth 出生日期:	
	Name in English 英文姓名:	ID Card 身份證:	
☐ You are a US Person ¹ 閣下為美國人士 ☐ You are NOT a US Person 閣下並非美國人士			
Residential Address 住宅地址 (in English BLOCK letters 請以英文正楷填寫):			
Correspondence Address 通訊位址 (if different from the above, in English BLOCK letters 如與上述不同，請以英文正楷填寫):			
Home Tel. No. 住宅電話號碼:		Mobile Phone No. 手提電話號碼:	
Fax No. 傳真號碼:		Email Address 電郵:	
Employment Status 就業情況			
☐ Full-time employed 全職 ☐ Student 學生 ☐ Not currently employed 現未有就業 ☐ Part-time employed 兼職 ☐ Housewife 家庭主婦 ☐ Others 其他 ☐ Self-employed 自僱 ☐ Retired 退休 (please specify 請註明: _____)			
Name of Employer 任職公司名稱:			
Position 職位:			
Nature of Business 業務性質:		Years of Service 服務年期:	
Office Tel. No. 公司電話號碼:		Fax No. 傳真號碼:	
Office address 公司地址 (in English BLOCK letters 請以英文正楷填寫):			
Education Background 教育背景			
☐ Primary or below 小學或以下 ☐ Undergraduate 大學 ☐ Secondary 中學 ☐ Postgraduate 碩士或以上 ☐ Other 其他 (please specify 請註明: _____)			

¹ US Person means any person who is defined as a United States person under the Foreign Securities Trading Account Tax Compliance Act and include any one or more of the following 美國人士是指根據《外國帳戶合規納稅法案》所定義為美國人士，包括以下任何一項或多項之任何人士:-

- (i) a citizen or resident of the United States 美國公民或居民；
- (ii) a person that is not a citizen or national of the United States and who meets either the “green card” test or the “substantial presence” test under the Internal Revenue Code of 1986, as amended, and/or any other applicable laws, rules and regulations for the calendar year; 根據 1986 年美國國家稅務法之修訂，及/任何其他於該年適用的法例法規下，符合“綠卡”測試或“實質居留標準”測試的任何非美國公民或非美裔人；
- (iii) a person electing to be treated as a tax resident of the United States 選擇被視為美國稅法定義居民之人士；and 及
- (iv) any other person that is subject to the United States federal income taxation on his worldwide income regardless of its source 任何其他受美國聯邦所得稅約束，對其不論來源的全球收入徵稅之人士

PART III – CLIENT INFORMATION STATEMENT (Second Joint Account Holder) 第三部分 – 客戶資料聲明 (次名聯名帳戶持有人)			
Personal Information 個人資料			
Name in Chinese 中文姓名:			
Name in English 英文姓名:			
Sex 性別:	☐ Mr. 先生 ☐ Miss 小姐 ☐ Ms. 女士 ☐ Mrs. 太太 ☐ Dr. 博士		
Date of Birth 出生日期:	Place of Birth 出生地點:	Nationality 國籍:	
ID Card / Passport No. 身份證/護照號碼:			
Relationship with Sole / First Account Holder 與首名聯名帳戶持有人的關係:			
Residential Address 住宅地址 (in English BLOCK letters 請以英文正楷填寫):			
Correspondence Address 通訊位址 (if different from the above, in English BLOCK letters 如與上述不同，請以英文正楷填寫):			
Home Tel. No. 住宅電話號碼:		Mobile Phone No. 手提電話號碼:	
Fax No. 傳真號碼:		Email Address 電郵:	
WhatsApp No. WhatsApp 號碼:		WeChat ID 微信 ID:	
Employment Status 就業情況			
☐ Full-time employed 全職 ☐ Part-time employed 兼職 ☐ Self-employed 自僱		☐ Student 學生 ☐ Housewife 家庭主婦 ☐ Retired 退休 ☐ Not currently employed 現未有就業 ☐ Others 其他 (please specify 請註明: _____)	
Name of Employer 任職公司名稱:			
Position 職位:			
Nature of Business 業務性質:		Years of Service 服務年期:	
Office Tel. No. 公司電話號碼:		Fax No. 傳真號碼:	
Office address 公司地址 (in English BLOCK letters 請以英文正楷填寫):			
Education Background 教育背景			
☐ Primary or below 小學或以下 ☐ Secondary 中學 ☐ Other 其他 (please specify 請註明: _____)		☐ Undergraduate 大學 ☐ Postgraduate 碩士或以上	

PART IV – OTHER INFORMATION**第四部分 – 其他資料****Account Correspondence Address****戶口通訊地址**

Daily Statement / Monthly Statement / Contract Note / General Correspondence shall be sent to:
 日結單/月結單/成交單/一般通訊需要寄往：

- ☐ Sole / First Joint Account Holder's Email Address 單一/首名聯名帳戶持有人之電郵地址
- ☐ Second Joint Account Holder's Email Address 次名聯名帳戶持有人之電郵地址
- ☐ Other 其他 (please specify 請注明: _____)

Signing Arrangement (for Joint Account only)**簽署安排 (只適用於聯名戶口)**

All instructions in relation to and all matters in connection with the account shall be signed:-
 所有與此戶口有關的指令及一切事宜，應按以下簽署安排：

- ☐ singly by either account holder 由任何一方帳戶持有人簽署
- ☐ jointly by joint account holder(s) 由所有帳戶持有人同時簽署
- ☐ other 其他 (please specify 請注明: _____)

PART V – Client Bank Account Information**第五部分 – 客戶銀行賬戶資料**

If the Client would like his withdrawal request to be deposited into his bank account directly, please specify the details as below:

如果客戶想將他的提款要求直接地存放入他的銀行帳戶，請於以下詳細指明細節

Currency 貨幣	Name of Bank 銀行名稱	Account No 賬戶號碼	Name of Account Holder [#] 賬戶持有人名稱 [#]
HKD 港幣			
USD 美元			

Payment due from VSAL to the Client shall be settled by cheque issued and deposited by the Broker to the above bank account upon request of the Client.

意博會按客戶之要求將應付客戶之款項以支票存入客戶以上之銀行。

VSAL shall not held liable for any loss, expenses or damages suffered by the Client as a result of any delay in depositing such payments caused by any reason whatsoever.

意博不會就任何原因延遲存入款項令客戶蒙受任何虧損，費用或賠償承擔任何法律責任。

[#] Name of Account Holder must be in same name as account name with VSAL

[#] 賬戶持有人名稱必須與 VSAL 帳戶名稱相同

PART VI – ULTIMATE BENEFICIAL OWNER INFORMATION 第六部分 – 最終權益擁有人資料		
Are you the ultimate beneficial owner of the account? 閣下是否此帳戶最終權益擁有人		
☐ Yes 是 ☐ No. Please provide information on the ultimate beneficial owner as stated below: 不是，請提供戶口最終權益擁有人資料如下：		
Name in Chinese 中文姓名:		
Name in English 英文姓名:		
Sex 性別:	☐ Mr. 先生 ☐ Miss 小姐 ☐ Ms. 女士 ☐ Mrs. 太太 ☐ Dr. 博士	
Date of Birth 出生日期:	Place of Birth 出生地點:	Nationality 國籍:
ID Card / Passport No. 身份證/護照號碼:		
Residential Address 住宅地址 (in English BLOCK letters 請以英文正楷填寫):		
Correspondence Address 通訊位址 (if different from the above, in English BLOCK letters 如與上述不同，請以英文正楷填寫):		
Home Tel. No. 住宅電話號碼:	Mobile Phone No. 手提電話號碼:	
Fax No. 傳真號碼:	Email Address 電郵:	

PART VII – DISCLOSURE BY THE CLIENT 第七部分 – 客戶披露	
(1) Do you have a margin securities account with the Firm? 客戶是否於本公司維持孖展證券賬戶? ☐ Yes, please provide the Account No. and the Name 是，請提供賬戶號碼及名稱: _____ ☐ No. 不是	
(2) Are you an employee of any licensed corporation or registered institution? 客戶是否證監會持牌法團或註冊機構的僱員? ☐ Yes, please provide the information as listed below 是，請提供資料如下: Name of licensed or registered person / corporation 持牌人士或公司名稱: _____ CE no. 持牌人士或公司中央編號: _____ Your CE no. 閣下中央編號: _____ ☐ No. 不是	
(3) Are you related to any director(s) or employee(s) of the Firm? 客戶是否與本公司之任何僱員或董事有親屬關係? ☐ Yes, please provide the staff name and relationship 是，請提供僱員名稱及親屬關係: _____ ☐ No. 不是	
(4) Does your spouse have a cash or margin securities account with the Firm? 客戶的配偶是否於本公司維持現金或孖展證券賬戶? ☐ Yes, please provide the Account No. and the Name 是，請提供賬戶號碼及名稱: _____ ☐ No. 不是	

- (5) Do you control, either alone or with your spouse, 30% or more of the voting rights of another cash or margin client of the Firm?

客戶單獨或與配偶是否控制於本公司其他現金或孖展證券賬戶超過 30%的投票權?

☐ Yes, please provide the Account No. and the Name 是，請提供賬戶號碼及名稱:

☐ No. 不是

PART VII – CLIENT’S DECLARATIONS

第七部分 – 客戶聲明

1. I / We, the undersigned, acknowledge my / our receipt of a copy of:-
本人/吾等，即以下簽署人，確認已收妥以下
 - Client Agreement (including all sections thereunder and appendices thereto) 客戶協議 (包括所有部分及附件);
 - Risk Disclosure Statement 風險披露聲明;
 - Account Opening Form 開戶表格;
 - Professional Investor Declaration and Assessment Form 專業投資者聲明及評估表;
 - any other agreements or documents related to the opening of the account(s), whenever applicable (collectively the “Client Account Opening Documentation”) 任何其他與是次開戶相關的協議或文件 (如適用) (統稱為 “客戶開戶檔”); and 及
2. I / We confirm that the Client Account Opening Documentation was provided to me / us in a language (English or Chinese) of my / our choice and I / we was / were invited to read the Client Account Opening Documentation carefully, ask questions and seek independent advice if I / we so wish.
本人/吾等確認已收妥之客戶開戶檔是按照本人/吾等所選擇的語言(英文或中文)而提供，並已獲得邀請閱讀該客戶開戶文件，提出問題及徵求獨立的意見(如本人/吾等有此意願)。
3. I / We confirm that I / we have carefully read, fully understood and accepted all the terms and provisions contained in the Client Agreement and shall be bound by the Client Agreement as it may be amended from time to time.
本人/吾等確認本人/吾等已仔細閱讀，充分理解並接受載於客戶協議內的所有條款及規定，並同意遵守客戶協議可能會不時修訂的所有條款及規定。
4. I/We represent that all information and documents provided to you in relation to this Account Opening Form is true, complete and correct. VSAL is entitled to rely fully on such information and representations for all purposes, until VSAL receive notice in writing from me/us of any changes. If there are any changes in the information in the future in relation to this Account Opening Form, I/we undertake to inform VSAL promptly. VSAL is authorized at any time to contact anyone for the purpose of verifying the information provided.
本人/吾等聲明與本開戶表格上所述的資料為真實、完整及正確。除貴公司收到本人/吾等書面通知更改，意博有權依賴上述的資料及聲明作任何目的。如上述所提供的資料有任何更改，本人/吾等承諾將立即通知意博。意博獲授權於任何時間聯絡有關人士核對上述資料。
5. (Applicable to non US Person 適用於非美國人士) I/We undertake to notify VSAL in writing forthwith as and when I/we am/are a US Person. I/We acknowledge and understand that VSAL shall not be held liable for any direct or indirect losses or damages arising out of or in connection with the failure of or negligence relating to the reporting of updated information to VSAL by me/us.
本人/吾等承諾當本人/吾等成為美國人士時，將立即以書面形通知意博。本人/吾等確認及明白如因本人/吾等就向意博更新資料出現失誤或疏忽，而引致任何直接或間接的損失或損害，意博毋須負上任何責任。
6. ☐ I/We do not wish to receive any direct marketing materials or messages from VSAL.
本人/吾等不希望收取任何來自意博的直接促銷刊物或資訊。
☐ I/We wish to receive any direct marketing materials or messages from VSAL via the following channel(s):-
本人/吾等希望透過以下方式收取任何來自意博的直接促銷刊物或資訊:-

- ☐ Mail 郵寄
- ☐ Email 電郵
- ☐ Phone 電話
- ☐ All channels 所有管道

(Please note that your above choice applies to the direct marketing of the classes of products, services and/or subjects as set out in VSAL's "Personal Information Collection Statement" (the "Statement"). Please also refer to the Statement on the kinds of personal data which may be used in direct marketing and the classes of persons to which your personal data may be provided for them to use in direct marketing.)

請注意閣下以上的選擇適用於意博“個人資料收集聲明”(簡稱“聲明”)內所闡述之產品類別、服務及/或事件的直接促銷。敬請參閱“聲明”內有可能被用作直接促銷的個人資料種類，以及可能獲使用閣下個人資料以作直接促銷之人員類別。

Single / First Joint Account Holder's Signature 單一 / 首名聯名帳戶持有人簽署 Date 日期:	Second Joint Account Holder's Signature 次名聯名帳戶持有人簽署 Date 日期:
Witness to Signature(s) 見證人簽署 Date 日期:	Name of Account Executive / Responsible Officer 客戶主任/負責人員姓名

Client Consent on the Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR) and the Personal Information Collection Statement
(Only for securities listed or traded on the Stock Exchange of Hong Kong)
香港投資者識別碼制度及場外證券交易匯報制度及個人資料收集聲明客戶同意書
(僅限於香港聯合交易所上市或買賣的證券)

Processing of Personal Data as part of the HKIDR and OTCR

處理客戶資料作為香港投資者識別碼制度及場外證券交易匯報制度的一部份

You acknowledge and agree that Venture Smart Asia Limited ("VSAL" or "We") may collect, store, process, use, disclose and transfer personal data relating to you (including your "Client Identification Data" or "CID" and "Broker-to-Client Assigned Number" or "BCAN(s)") as required for us to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time.

閣下明白並同意，意博資本亞洲有限公司("VSAL"/"我們")為了向閣下提供與在香港聯合交易所（聯交所）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（證監會）的規則和規定，我們可收集、儲存、處理、使用、披露及轉移與閣下有關的個人資料（包括閣下的客戶識別信息及券商客戶編碼）。

Without limiting the foregoing, this includes –

在不限制以上的內容的前提下，當中包括——

- (a) disclosing and transferring your personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;
根據不時生效的聯交所及證監會規則和規定，向聯交所及 / 或證監會披露及轉移閣下的個人資料（包括客戶識別信息及券商客戶編碼）；
- (b) allowing SEHK to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and
允許聯交所：(i)收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便監察和監管市場及執行《聯交所規則》；(ii)向香港相關監管機構和執法機構（包括但不限於證監會）披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及(iii)為監察市場目的而使用有關資料進行分析；及
- (c) allowing the SFC to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.
允許證監會：(i)收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及(ii)根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。

You also agree that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

閣下亦同意，即使閣下其後宣稱撤回同意，我們在閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。

Consequences of failing to provide Personal Data or Consent

未能提供資料或同意的後果

Failure to provide us with your personal data or consent as described above may mean that we will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).

閣下如未能向我們提供個人資料或上述同意，可能意味著我們不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉(如有) 除外。

Note: The terms "BCAN" and "CID" used in this clause shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

備註：本條文所述的“券商客戶編碼”及“客戶識別信息”具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》第 5.6 段所界定的含義。

If there is any inconsistency or ambiguity between the English version and the Chinese version, the English version shall prevail.

如中、英文兩個版本有任何抵觸或不相符之處，應以英文版本為準。

Acknowledgement and Consent

確認及同意

I acknowledge I have read and understand the content of the Personal Information Collection Statement of Venture Smart Asia Limited. By ticking the box below, I signify my consent for Venture Smart Asia Limited to use my personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.

本人確認已閱讀及理解意博資本亞洲有限公司的個人資料收集聲明的內容。一經勾選下列方框，即表示本人同意意博資本亞洲有限公司根據個人資料收集聲明的條款及其中所載目的使用本人的資料。

☐ I agree to Venture Smart Asia Limited's use of my personal data for the purposes set out in the Personal Information Collection Statement.

本人同意意博資本亞洲有限公司將本人的資料用於個人資料收集聲明所載目的。

Signature of Client 客戶簽署：

Please use the signature(s) field with our company 請用留存與本公司之簽名式樣



Client Name 客戶名稱：

	For Official Use Only		
Sign	S.V.	Inputted By	Approved By
Date			

FOR OFFICIAL USE ONLY 僅供內部使用

Account Executive's Declarations 客戶主任聲明

I, the undersigned, hereby confirm that:-
本人在此確認：

1. I have witnessed the signature(s) and inspected the original identity documents of the above-named client(s).
本人已核查上述客戶之身份證明檔之原本，並見證上述客戶之簽名。
2. The client(s) has / have been provided with the Client Account Opening Documentation in the language of the client(s)' choice (English or Chinese); and the client(s) has / have been invited to read the Client Account Opening Documentation, ask questions and seek independent advice if the client(s) so wish(es).
客戶已被提供按照其所選擇的語言(英文或中文)的客戶開戶文件，本人並且已邀請客戶閱讀該客戶開戶文件，提出問題及徵求獨立的意見(如客戶有此意願)。
3. I have already explained to the client(s) that if the client(s) is / are currently employed by any registered institution or licensed corporation to carry on regulated activities under the Securities and Futures Ordinance, the client(s) is / are required to provide VSAL a written consent from his / her / their employer in support of the account opening.
本人已向客戶解釋，假若客戶現受僱於任何從事受規管活動之註冊機構或持牌公司，客戶必須向意博提供其僱主就是次開納帳戶所發出的同意書。

Signature of Licensed Person 持牌人士簽署

CE No. 中央編號

Name of Licensed Person 持牌人士姓名

Date 日期

For and on behalf of VENTURE SMART ASIA LIMITED 代表意博資本亞洲有限公司

Signed by authorized director(s)/Responsible Officer(s)
獲授權董事 / 負責人員簽署

Signed by witness 見證人簽署
(Staff of VENTURE SMART ASIA LIMITED)
意博資本亞洲有限公司員工

Date 日期:

Date 日期: