

Securities Trading Account Application



Date

I/We, (Applicant)..... Hereinafter referred to as the “Client”.

The Client wish opening account for opening account or the transaction relating to securities business with CGS-CIMB Securities (Thailand) Co., Ltd. hereinafter referred to as the “Company”. To be according to such wish, the Client agrees to provide information and documentation with the Company as following:

1. Type of Account or Related Transaction

1.1 Please ☒ to select the type of account wish to transact. (Client can select more than one account)

☐ Cash	☐ Derivatives Trading (TFEX - STREAMING)
☐ Cash Balance	☐ Derivatives Trading (TFEX - MT4)
☐ Easy Wealth Builder (Please fill item 1.2)	☐ Credit Balance
☐ Equity-Linked Notes (ELN)	☐ Securities Borrowing & Lending (SBL)
☐ Bond	☐ Cross Border Trading
☐ Private Fund Mangement	☐ CNY ☐ EUR ☐ GBP ☐ HKD ☐ SGD ☐ USD
☐ Mutual Fund	* Please specifies currency, if not specifies the company all rights reserved to USD
☐ Other Accounts (Please specify)	☐ Cross Border Trading For Vietnam Market

For Investment Consultant or Company staff please ☒ to select account type

Account type	☐ Own account	☐ Account for	☐ Account by	☐ A joint account (For mutual funds)
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1.2 For Easy Wealth Builder account, please specify the name of shares and amount to be investment.

Name of Stocks	Amount (THB)	Name of Stocks	Amount (THB)
1		6	
2		7	
3		8	
4		9	
5		10	
Please ☒ to select the investment date	☐ the 5th day of each month	☐ the 15th day of each month	☐ the 25th day of each month
Commencing date (DD/MM/YY)		Total Investment Amount (THB)	

Instructions for filling out information

- (*) means the information as required by the SEC
 (optional) means alternative to providing client information.
 (specify) means fill in the information truthfully.

2. Application for Capital Market (Individual)

Personal Information – For Account Opening, please ✓ to fill in and give additional information (* Required)

Title *	☐ Mr. ☐ Mrs. ☐ Miss ☐ Other					
Name-Surname *						
Date of Birth *			Age	years	Nationality* (Please specify all nationalities that you hold) 1. 2. 3.	
Identification Type*	☐ ID Card ☐ Lifetime ID Card ☐ Passport ☐ Alien Registration Card				Issuing Country	
	No.				Date of Expiry	
	For foreigner, please specify tax ID number issued by the Revenue Department (if any)					
Highest Level of Education (Optional)	☐ Below bachelor Degrees ☐ Bachelor Degrees ☐ Master Degrees ☐ Doctor Degrees Institution..... Majors.....					
Occupation*	☐ State Enterprise Employee ☐ Agriculturist ☐ Monk/Priest ☐ Politician ☐ Investor ☐ Retirement ☐ Doctor/Nurse ☐ Teacher ☐ Housewife ☐ Government Employee ☐ Student If you choose the following occupations, please also specify the business type ☐ Self-Employee ☐ Business Owner ☐ Corporate Employee ☐ Family Business ☐ Other (Please specify)					
Business Type	☐ Antique Trading ☐ Hotel/Restaurant ☐ Entertainment Business ☐ Travel Industry/Travel Agency ☐ Foreign Currency Exchange ☐ Property/Real Estate ☐ University/School/Education Center ☐ Casino/Gambling ☐ Jewelry/Gold Trading ☐ Insurance/Assurance ☐ Domestic or International Money Transfer ☐ Financial Service /Banking ☐ Armament ☐ Foreign Worker Employment Agency ☐ Foundation/Association/Club/Temp/Mosque/Shrine ☐ Other (Please specify) >					
Monthly Income (Baht)*	☐ 0 - 15,000 ☐ 15,001 - 30,000 ☐ 30,001 - 50,000 ☐ 50,001 - 100,000 ☐ 100,001 - 500,000 ☐ 500,001 - 1,000,000 ☐ 1,000,001 - 4,000,000 ☐ 4,000,001 – 10,000,000 ☐ > 10,000,000					
Workplace Address*	Company name				Type of Business	
	Position				Division	
	No.	Moo	Village/Building		FL	Soi
	Road		Sub District		District	Province
	Postal Code		Telephone		Fax	Country
	Website					
	Duration of work year(s)		If the duration of service is less than 1 year, please specify the previous place of work (Optional)			
Marital Status*	☐ Single ☐ Married ☐ Widowed ☐ Divorced					
	Spouse Information (Optional) Name – Surname..... Occupation					
Relationship with staff of company	☐ No ☐ Yes Please specify relationship with staff of company					
	Name of Staff			Position		Division
Address as ID Card	No.	Village/Building				FL
	Soi		Road	Sub District		Moo
	District		Province		Postal Code	
	Telephone		Fax		Country	
Residence Registration Address/Address in home country*	☐ Same as ID Card ☐ Different from ID Card (Please specify below)					
	No.	Village/Building				FL
	Soi		Road	Sub District		Moo
	District		Province		Postal Code	
	Telephone		Fax		Country	
Current Address*	☐ Same as ID Card ☐ Same as Residence Registration ☐ Other (Please specify below)					
	No.	Village/Building				FL
	Soi		Road	Sub District		Moo
	District		Province		Postal Code	
	Telephone		Fax		Country	

Mailing Address*	★ For Easy Wealth Builder Account, the company reserves the right to send Confirmation Note and related documents via only Client's E-mail			
	★ For other type of Account, CGS-CIMB shall send Confirmation Note and related documents via Client's E-mail			
	★ In case the Client has not notified his/her E-mail, please specify the address where company can send or get documents or contact with			
	☐ As ID Card ☐ Residence Registration Address ☐ Current Address ☐ Workplace Address ☐ Other (Please specify below)			
	No.	Village/Building		FL Moo
	Soi	Road	Sub District	
	District	Province	Postal Code	
	Telephone	Fax	Country	
Contact Information	Email			
	Mobile Phone*		Home Telephone	Fax
	Emergency contact person			
	Name-Surname		Mobile Phone	Relationship
Background of Investment Knowledge and Understanding	☐ Excellent ☐ Good ☐ Fair ☐ Little ☐ None			
Investment Objective*	☐ Short-term Investment ☐ Long -term Investment ☐ For Tax Benefit ☐ Retirement Investment ☐ For Saving ☐ Other (Please specify)			
Investment Experience	☐ Previous investment experience (specify) year(s) ☐ No investment experience			
Source of income (You can select more than 1 item)*	☐ Salary ☐ Inheritance ☐ Saving ☐ Investment ☐ Retirement Fund ☐ Own Business ☐ Other (Please specify)			
Country's Source of income/Investment Fund*	☐ Thailand ☐ Other countries (Please specify)			
Asset Value	Please specify THB Assets includes deposits, direct investments in securities or derivatives. And net assets (Not including residential real estate)			
Do you have any money laundering infringement record? ☐ Yes ☐ No				
Are you a politician or connected to any Political person? ☐ Yes (Please specify) ☐ No				
Have you ever been denied to process transaction from other financial institutions? ☐ Yes ☐ No				
End Beneficiary owner (If any)	Title ☐ Mr. ☐ Mrs. ☐ Miss ☐ Other			
	Name - Surname >			
	Date of Birth			
	ID Type ☐ ID Card ☐ Lifetime ID Card ☐ Birth Certificated (For child has not ID card) ☐ Passport ☐ Alien Registration Card			
	No.	Date of Expiry		Issuing Country
	Residence Registration address			
	No.	Moo	Village/Building	
	Fl.	Soi	Road	
	Sub District		District	Province
	Postal Code		Country	
	The relationship with applicant			
	☐ (1) Spouse, child or adopted child ☐ (2) Persons who are relatives other than (1) ☐ (3) Other (Please specify)			

3. Application for Capital Market (Juristic)

Personal Information – For Account Opening, please ✓ to fill in and give additional information (* Required)

Juristic Name*				
Commercial	No.*	Date of Incorporation	Registered Country*	
Registration No.*	GIIN ID	Tax ID*		
Juristic Information	Type and Objectives of Business			
	Registered Capital	No. of shares Shares	The number Nationality Thai	The number Nationality Foreigners
	The Number of Director Person(s)	The number of Staff Person(s)	Trade Mark/Brand	
Juristic Type*	☐ Private Company ☐ Public Company		☐ Other (Please specify below)	
	<u>Juristic (Thailand)</u> ☐ Exemption from tax on dividends or profit sharing from the sale of investment units ☐ Non-Tax Exempt Company	<u>Juristic (Foreign)</u> ☐ Operating in Thailand ☐ Non-operating in Thailand	☐ Partnership (Thailand) ☐ Government Organization/ State Enterprise ☐ Co-operative/ Foundation/ Association/ Club/ Temple / Mosque / Shrine ☐ Exemption from tax ☐ Other (Please specify)	
Business Type*	☐ Antique Trading ☐ Hotel/Restaurant ☐ Entertainment Business ☐ Travel Industry/Travel Agency ☐ Foreign Currency Exchange ☐ Property/Real Estate ☐ University/School/Education Center ☐ Casino/Gambling ☐ Jewelry/Gold Trading ☐ Insurance/Assurance ☐ Domestic or International Money Transfer ☐ Financial Service /Banking ☐ Armament ☐ Foreign Worker Employment Agency ☐ Foundation/Association/Club/Temp/Mosque/Shrine ☐ Other (Please specify)			
Commercial Registration Certificate Address*	No.	Village/Building	FL.	Moo
	Soi	Road	Sub District	
	District	Province	Postal Code	
	Country	Telephone	Fax	
	Website	Email		
Relationship of Juristic Director(s), with staff of Company	☐ No ☐ Yes (Please specify below)			
	Name-Surname of Juristic Director(s),		Company staff's name	Relationship
	1			
	2			
	3			
Contact Information	1. Name – Surname*		Position/Division	
	Telephone*	Fax	Email	
	2. Name – Surname*		Position/Division	
	Telephone*	Fax	Email	
Mailing Address*	☐ As an email (Contact Information) (If you choose this option, your documents will ONLY be sent to your email address)			
	☐ Same as Commercial Registration Certificate Address ☐ Fax ☐ Other (Please specify below)			
	No.	Village/Building	FL.	Moo
	Soi	Road	Sub District	
	District	Province	Postal Code	
	Country			
Total Income per Year	Latest financial statement THB			
Country's Source of Income / Investment Fund*	☐ Thailand ☐ Other countries (Please specify)			
Source of Income (You can select more than 1 item)*	☐ Revenue from Business ☐ Stock ☐ Donation ☐ Loan ☐ Revenue from selling property ☐ Other (Please specify)			

Asset Value		☐ Asset Value.....THB (Asset includes deposits, direct investment in securities and derivatives) Or ☐ Shareholder's equity.....THB (Shareholder's equity as the latest financial statement that is reviewed by auditor)					
Investment Objective*		☐ Liquidity Management ☐ Investment ☐ Cash management for investment ☐ Other (Please specify)					
List of Juristic's Directors*							
Name - Surname		Nationality	ID Card No./ Passport No.	Date of Expiry	Authorized Signatory		Chief Executive
1					☐ Yes ☐ No		☐
2					☐ Yes ☐ No		☐
3					☐ Yes ☐ No		☐
4					☐ Yes ☐ No		☐
5					☐ Yes ☐ No		☐
6					☐ Yes ☐ No		☐
7					☐ Yes ☐ No		☐
8					☐ Yes ☐ No		☐
9					☐ Yes ☐ No		☐
10					☐ Yes ☐ No		☐

Juristic's Condition of Authorized Signatories as Commercial Registration Certificate / Letter of authority / Minutes of meeting*							
.....							
Signatories condition of Transaction							
.....							
List of Shareholders holding from 25% of shares							
Individuals who are shareholders of juristic's owner:							
Name – Surname of Shareholders		Nationality	ID Card No. /Passport No.	Date of Expiry	% of Shareholding		
1							
2							
3							
4							
5							
6							

Juristics who are shareholders of juristic's owner:							
1. Juristic Name							
Commercial Registration No. Registered Country							
Name - Surname or Juristic Name		Nationality	ID Card No. /Passport No. / Tax ID /Commercial Registration No.	Date of Expiry	% of Shareholding		
1							
2							
3							
4							
5							
6							

Juristics who are shareholders of juristic's owner:

2. Juristic Name

Commercial Registration No. Registered Country

	Name - Surname or Juristic Name	Nationality	ID Card No. /Passport No. / Tax ID /Commercial Registration No.	Date of Expiry	% of Shareholding
1					
2					
3					
4					
5					
6					

**End Beneficiary
Information**

Title ☐ Mr. ☐ Mrs. ☐ Miss ☐ Other >			
Name - Surname			
Nationality (Please specify all nationalities that you hold) 1. 2. 3.			
Date of Birth			
ID Type			
☐ ID Card ☐ Lifetime ID Card ☐ Passport ☐ Alien Registration Card			
No		Date of Expiry	Issuing Country
<u>Residence Registration Address</u>			
No.	Moo	Village/Building	
Fl.	Soi	Road	
Sub District		District	Province
Postal Code		Country	
<u>Contact Address</u>			
No.	Moo	Village/Building	
Fl.	Soi	Road	
Sub District		District	Province
Postal Code		Country	
Mobile phone		Home Telephone	
Email		Occupation	
<u>Relationship as an End Beneficiary</u>			
☐ Shareholder who own 25% of total shares or higher ☐ Being Chief Executive ☐ Other (Please specify)			
Are you a politician or connected to any Political person?			
☐ Yes (Please specify)		☐ No	

Remark: Multiple beneficiaries are acceptable

Authorized Signatory of Juristic Investor* Person no. 1.	Title			☐ Mr.	☐ Mrs.	☐ Miss	☐ Other	
	Name - Surname							
	Date of Birth							
	ID Type							
	☐ ID Card		☐ Lifetime ID Card		☐ Passport		☐ Alien Registration Card	
	No			Date of Expiry		Issuing Country		
	Residence Registration Address							
	No.		Moo	Village/Building				
	Fl.		Soi			Road		
	Sub District			District		Province		
	Postal Code				Country			
	Contact Address							
	No.		Moo	Village/Building				
	Fl.		Soi			Road		
	Sub District			District		Province		
	Postal Code				Country			
	Mobile phone				Home Telephone			
	Email				Occupation			
	Are you a politician or connected to any Political person? (Optional)							
	☐ Yes (Please specify)			☐ No				
	Condition of Authorized Signatories for Transaction							
	Authorized Signatory of Juristic Investor's Signature							
	Person no. 2.	Title			☐ Mr.	☐ Mrs.	☐ Miss	☐ Other
		Name - Surname						
		Date of Birth						
ID Type								
☐ ID Card		☐ Lifetime ID Card		☐ Passport		☐ Alien Registration Card		
No			Date of Expiry		Issuing Country >			
Residence Registration Address								
No.		Moo	Village/Building					
Fl.		Soi			Road			
Sub District			District		Province			
Postal Code				Country				
Contact Address								
No.		Moo	Village/Building					
Fl.		Soi			Road			
Sub District			District		Province			
Postal Code				Country				
Mobile phone				Home Telephone				
Email				Occupation				
Are you a politician or connected to any Political person? (Optional)								
☐ Yes (Please specify)			☐ No					
Condition of Authorized Signatories for Transaction								
Authorized Signatory of Juristic Investor's Signature								

4. Information for Securities Trading, Settlement and Other Transactions relating to the Agreement

Securities Trading/ Relevant transaction services	☐ Investment Consultant or Company Staff ☐ Online system							
Settlement	☐ Automated Transfer System: ATS Bank Account for Subscription <table border="1"> <tr> <td>Bank</td> <td>Branch</td> </tr> <tr> <td>Account No.</td> <td>Account Type</td> </tr> <tr> <td colspan="2">Account Name</td> </tr> </table> ☐ Receipt/Payment by Cheque (only for Juristic Client) at the specified address for dispatching documents		Bank	Branch	Account No.	Account Type	Account Name	
Bank	Branch							
Account No.	Account Type							
Account Name								
Bank Account for Redemption Proceeds and Dividend	☐ Same as Bank Account for Subscription ☐ Other (Please specify) <table border="1"> <tr> <td>Bank</td> <td>Branch</td> </tr> <tr> <td>Account No.</td> <td>Account Type</td> </tr> <tr> <td colspan="2">Account Name</td> </tr> </table>		Bank	Branch	Account No.	Account Type	Account Name	
Bank	Branch							
Account No.	Account Type							
Account Name								
Condition of Authorized signatories for account type	☐ Account for ☐ Account by ☐ A joint account (for mutual funds) Account Name Condition of signatories							

The Client has acknowledged the trading practice guidelines, Settlement, Transaction relating to the Agreement as the following:

- Transaction relating to the Agreement means transfers, taking of transfers, taking of delivery, delivery, disposal, filing and entry of pledge registrations, revocation of filing and entry of pledge registrations, use or revocation of collateral, deposit, withdrawal, borrowing, lending, exchange, conversion, endorsement, redemption, verification, amendment, or exercise of rights for securities, issuance of securities certificates, financial instruments, assets, collateral, cash, increase or decrease of trading limits or any action to fulfill the purposes of the securities business. Including confirmations of orders for securities trading, price payment documentation, electronic tax invoices / receipts, or other forms related to the Company, the Client, the Securities Exchange, the Derivatives Exchange, the Office, the Securities Service Center and the Revenue Department;
- Information Technology Systems means communication, receiving and transmission, confirmation and acceptance of information, text, letters, figures, images, sound on electronic devices, computers, telephones, mobile phones, facsimile machines, or any other communication equipment via online systems, internet networks, social media online in all formats or any other communication system that will be determined in future.
- Receiving and Transmission information means communication between the Company, the Client, the service provider, the networking company, as the case may be, for receive and transmission information, trading, transactions relating to agreement, securities trading order confirmation slips / price payment documents / tax invoices, receipts / tax invoices, letters of derivatives trading confirmation, letters of confirmation of securities borrowing and lending transaction, letters of confirmation of unit trust trading, letters of confirmation of debt instrument trading, electronic receipt/payment vouchers / tax invoices, electronic receipts, statements of accounts, securities balance reports, responses, claims for collateral, forced sale notices, announcements, including any other notification.
- The Client acknowledges that transactions performed via the information technology systems are deemed to constitute secrets specific to the Client. The Client shall absolutely not disclose or allow other persons to use it. If the Client has acted in violation, he/she/it shall be solely responsible for damage that may result from such cause.
- Information on the information technology systems is correct and the Client is deemed to have acknowledged the information from the Company fully. The Client can print it out in person in accordance with the form and procedure determined by the Company. If a defect is found, the client must notify the Company immediately. If the Client has not disputed or objected to such defect from the date of completion of the transactions by the Client or the date of transmission of the information by the Company to the Client, the Company will deem that the Client have agreed to accept and be bound to his/her/it transactions via the information technology systems in every respect, which transactions have been performed completely by the Company as the Client's agent.

Statement of confirmation

I confirm that the information provided in the account opening application form and relevant supporting documents are truthful, complete and up-to-date, and I am the account owner who make decisions to buy and sell securities by oneself unless the beneficiary is another person which I will inform the company. I consent to the company collection, use and/or disclosure of my Personal Data from social media, third party's online platforms and other publicly available sources for the purpose opening account, investments, transactions, trading, subscription services providing the good or products related to securities business before to initiation of a contract with the company.

Seal of Juristic person (if any)

.....

(.....)

Applicant Signature

"I agree to use the signature above is a sample signature for the transaction with the company"

For Individual, please choose only questions 1, 2-12

For Juristic Investor, please choose only questions 1A, 2A and 3-12

Questions 1-10 are used to assess the suitability of your investment

1. Please indicate your age

- a. 60 years old or older b. 45 – 59 years c. 35 – 44 years d. Under 35 years

2. What is the proportion of your total expenses at present such as mortgage, cars, personal and family expenses?

- a. More than 75% of total income b. Between 50% and 75% of total income

1A. Your prior investment experience in securities. (Securities: Treasury bills, bond, Bill of Exchange, Stocks, Debenture, Structure note, Mutual Fund Units)

- a. Less than 1 year b. 1-5years c. 6-10 years d. More than 10 years

2A. Portion of your expenses compare with your revenue?

- a. More than 75% of the revenue b. Between 50% and 75% of the revenue
c. 25% to less than 50% of the revenue d. Less than 25% of the revenue

- c. 25% to less than 50% of income d. Less than 25% of total income

3. What is your current financial status?

- a. Less assets than liabilities b. Assets equal liabilities
c. More assets than liabilities d. Almost no liabilities or no liabilities

4. Do you have any investment experience or knowledge in the following types of investment products? (You can choose more than 1 item)

- a. Bank Deposits b. Government Bond or Government Bond Funds
c. Debentures or Mutual Funds d. Common Stocks or Mutual Funds or other high-risk assets

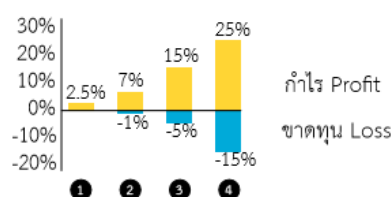
5. What is your investment period target?

- a. Less than 1 year b. 1 to less than 3 years
c. 3 to 5 years d. More than 5 years

6. What is your risk tolerance?

- a. Focus on opportunity in preserving original investment safely and receiving small consistent return
b. Focus on opportunity in receiving consistent return but may take risk of losing some original investment
c. Focus on opportunity in receiving higher return but may take risk of losing more original investment
d. Focus on the highest long-term return but may take risk of losing most of the original investment

7. When considering sample picture below showing the potential returns of different investment portfolio, which investment portfolio are you most willing to invest in?



- a. Portfolio 1 (has chance to receive 2.5% return without any loss)
b. Investment portfolio 2 (has chance to receive 7% highest return but may lose up to 1%)
c. Investment portfolio 3 (has chance to receive 15% highest return but may lose up to 5%)
d. Investment portfolio 4 (has chance to receive 25% highest return but may lose up to 15%)

8. If you invest in assets that have chances to receive high return but also have chances to receive high loss, how would you feel?

- a. Worried and afraid of loss b. Uneasy but somehow understand
c. Understand and accept the fluctuations d. Not concerned about the large potential loss and expect that the return may increase

9. In which proportion will you be anxious or unacceptable when the value of your investment has decreased?

- a. 5% or less b. More than 5%-10%
c. More than 10%-20% d. More than 20%

10. Last year, you invest 100,000 Baht. This year, the value of your investment decreased to 85,000 Baht. What will you do?

- a. Panic and want to sell the remaining investment
b. Worried and will change some investment into less risky assets
c. Continue holding the investment and wait until the investment rebounds
d. Remain confident since it is long-term investment and will invest more to average cost

Apply only to investment in derivatives and structure note

11. Successful derivatives and structure notes investment has high return. On the other hand, investors can lose all of their investment and must increase more capital. Are you able to accept this?

- a. No b. Yes

Apply only to offshore investment

12. In addition to investment risk, are you able to accept foreign exchange rate risk?

- a. No b. Yes

For staff

Part 1: Assessment Scores

Answer a = 1 point Answer b = 2 points Answer c = 3 points Answer d = 4 points

For Suitability Assessment No. 4, if selected more than one answer, the highest score of the answers will be selected.

Part 2: Assessment Result

Total Scores	Level	Investor Type of Risk
Below 15	1	Low
15-21	2	Moderate to Low
22-29	3	Moderate to High
30-36	4	High
Above 37	5	Very High

Part 3: Basic Asset Allocation

Investor Type of Risk	Asset Allocation				
	Deposits and Short-Term Fixed Income Funds	Long-Term Fixed Income Funds	Debenture	Equity Fund	Other Options *
Low	>60%		<20%	<10%	<5%
Moderate to Low	<20%	<70%		<20%	<10%
Moderate to High	<10%	<60%		<30%	<10%
High	<10%	<40%		<40%	<20%
Very High	<5%	<30%		>60%	<30%

* Including consumer products and derivatives products

Total Scores

Assessor Name..... Inspector Name.....

Date

6. Form for Declaration of Status as U.S. Person

For Individual Client		Account No.
Applicant Name	Nationality (Please specify all nationalities that you hold.)	
ID Card No.	Passport No.	
Part 1 Status of Client		
Please check the appropriate boxes corresponding to your status. If you check "yes" in any one box, please complete Form W-9) and ending the question.		
1	Are you a U.S. Citizen?	☐ Yes ☐ No
	You must answer "Yes" if you are a U.S. citizen even though you reside outside of the U.S. You must answer "Yes" if you hold multiple citizenships, one of which is U.S. citizenship. You must answer "Yes" if you were born in the U.S. (or U.S. Territory) and have not legally surrendered U.S. citizenship.	
2	Are you a holder of any U.S. Permanent Resident Card (e.g. Green Card)?	☐ Yes ☐ No
	You must answer "Yes" if the U.S. Citizenship and Immigration Service (USCIS) has issued a U.S. Permanent Resident Card to you, regardless of whether or not such card has expired on the date you complete and sign this form. You should answer "No" if such card has been officially abandoned, revoked, or relinquished as of the date you sign and complete this form.	
3	Are you a U.S. resident for U.S. tax purposes?	☐ Yes ☐ No
	You may be considered a U.S. resident if you meet the "Substantial Physical Presence Test", for instance, during the current year, you were present in the U.S. for at least 183 days. For more details, please refer to the information on the IRS' website: http://www.irs.gov/Individuals/International-Taxpayers/Substantial-Presence-Test .	
Additional Questions		
If you check "yes" in any one box, please complete Form W-8BEN and provide supporting document(s)		
1	Were you born in the U.S. (or U.S. Territory) but have legally surrendered U.S. citizenship?	☐ Yes ☐ No
2	Do you have standing instructions to transfer funds from the account opened or held with CGS-CIMB Financial Group* to an account maintained in the U.S.?	☐ Yes ☐ No
3	Do you have a power of attorney or signatory authority for the account opened or held with CGS-CIMB Financial Group granted to person with U.S. address?	☐ Yes ☐ No
4	Do you have a hold mail or in care of address as the sole address for the account opened or held with CGS-CIMB Financial Group?	☐ Yes ☐ No
5	Do you have a current U.S. residence address or U.S. mailing address for the account opened or held with CGS-CIMB Financial Group?	☐ Yes ☐ No
6	Do you have U.S. telephone number for contacting you or another person in relation to the account opened or held with CGS-CIMB Financial Group?	☐ Yes ☐ No
Part 2 Confirmation and Change of Status		
1. You confirm that the above information is true, correct, accurate and complete. 2. You acknowledge and agree that if you are a U.S. Person, but the information provided on this form or Form W-9/ W-8BEN is false, inaccurate or incomplete, CGS-CIMB Financial Group shall be entitled to terminate, at its sole discretion, the entire banking/business relationship with you or part of such relationship as CGS-CIMB Financial Group may deem appropriate. 3. You agree to notify and provide relevant documents to CGS-CIMB Financial Group within 30 days after any change in circumstances that causes the information provided in this form to be incorrect. 4. You acknowledge and agree that failure to comply with item 3 above, or provision of any false, inaccurate or incomplete information as to your status, shall entitle CGS-CIMB Financial Group to terminate, at its sole discretion, the entire banking/business relationship with you or part of such relationship as CGS-CIMB Financial Group may deem appropriate.		
"CGS-CIMB Financial Group" shall include CGI Affiliates (China Galaxy International Financial Holdings Limited) and CIMB Group Sdn Bhd Affiliates		

Part 3 Authorization for information disclosure and account withholding	
You hereby irrevocably authorize CGS-CIMB Financial Group to;	
1. disclose to the companies under CGS-CIMB Financial Group (for the benefit of FATCA compliance), domestic and/or foreign tax authorities, including the U.S. Internal Revenue Service (IRS), your name, address, taxpayer identification number, account number, FATCA compliance status (compliant or recalcitrant), account balance or value, the payments made into or from the account, account statements, the amount of money, the type and value of financial products and/or other assets held with CGS-CIMB Financial Group, as well as the amount of revenue and income and any other information regarding the banking/business relationship which may be requested or required by the companies under CGS-CIMB Financial Group, domestic and/or foreign tax authorities, including the IRS; and	
2. withhold from your account and/or the income derived from or through CGS-CIMB Financial Group in the amount as required by the domestic and/or foreign tax authorities, including the IRS, pursuant to the laws and/or regulations, and any agreements between CGS-CIMB Financial Group and such tax authorities.	
3. If you fail to provide the information required to determine whether you are a U.S. person, or to provide the information required to be reported to CGS-CIMB Financial Group, or if you fail to provide a waiver of a law that would prevent reporting, CGS-CIMB Financial Group shall be entitled to terminate, at its sole discretion, the entire banking/business relationship with you or part of such relationship as CGS-CIMB Financial Group may deem appropriate.	

This letter is given to CGS-CIMB Securities (Thailand) Co., Ltd., by signing in the space below, I hereby acknowledge and agree to the terms and conditions specified herein, which include permitting the disclosure of information, account withholding and termination of banking/business relationship.

Given on.....

Signed Applicant

For Entity / Juristic Person		Account No.	
Name:			
For financial institutions under the definition of FATCA that have a GIIN		Country of Incorporation /Registration or Organization:	
Client GIIN:		Entity Registration Number:	
Sponsored Entity		Thai Tax ID:	
If the client is Sponsored Entity, please provide the name and GIIN of Sponsoring Entity		Foreign Tax Identification Number(s) (please outline all if any)	
Name on Sponsoring Entity:		ID:	Country:
GIIN of Sponsoring Entity:		ID:	Country:
Part 1 Status of Applicant			
Please check the appropriate boxes corresponding to your status /			
If you check 'Yes', please complete Form W-9. If you check 'No', please complete the next section.			
1	Is the customer a U.S. entity (an entity that has registered or has been incorporated in the U.S.)?	☐ Yes	☐ No
Foreign Financial Institution / Passive Non-Financial Foreign Entity (Passive NFFE)			
If you check 'Yes' in any one box, please complete Form W-8BEN-E.			
2	Is the client a financial institution under the definition of FATCA?	☐ Yes	☐ No
3	Is the client a Passive NFFE, i.e., an entity who either, has earned passive income (income from holding financial Securities and deposits, and etc. Please see the definition in "Glossary of key terms") equal to or more than 50% of total gross income, or held asset that generate passive income equal to or more than 50% of total asset, in the preceding fiscal calendar year? You should answer 'No' if you are an entity that falls within the definitions provided in items 3.1-3.2 below. 3.1 An Exempt Beneficial Owner under FATCA, e.g., Governmental Entity, International Organization or Central Bank. 3.2 An entity that is Excepted Non-Financial Foreign Entity under FATCA e.g., a publicly traded entity and its affiliates, a non-profit organization, association, foundation, or an entity that is a non-financial start-up company that has been organized less than 24 months	☐ Yes	☐ No
Part 2 Confirmation and Change of Status			
1. The Client confirms that the information provided by the client in this form is true, correct, accurate and complete. 2. The Client acknowledges and agrees that if the client is a U.S. person, but the information provided on this form or Form W-9/W-8BEN-E is false, incorrect, or incomplete, CGS-CIMB Financial Group* shall be entitled to terminate, at its sole discretion, the entire or part of banking/business relationship with the client or part of such relationship as CGS-CIMB Financial Group may deem appropriate. 3. The Client agree to notify and provide relevant documents to CGS-CIMB Financial Group within 30 days after any change in circumstances that causes the information provided in this form to be incorrect, or after the date that CGS-CIMB Financial Group has requested for additional document/ information/ consent. 4. The Client acknowledge and agrees that failure to comply with item 3 above, or provision of any false, incorrect or incomplete information as to the client's status, shall entitle CGS-CIMB Financial Group to terminate, at its sole discretion, the entire banking/business relationship with the client or part of such relationship as CGS-CIMB Financial Group may deem appropriate.			
*CGS-CIMB Financial Group" shall include CGI Affiliates (China Galaxy International Financial Holdings Limited) and CIMB Group Sdn Bhd Affiliates			
Part 3 Authorization for information disclosure and account withholding			
You hereby irrevocably authorize CGS-CIMB Financial Group to;			
1. disclose to the companies under CGS-CIMB Financial Group (for the benefit of FATCA compliance), domestic and/or foreign tax authorities, including the U.S. Internal Revenue Service (IRS), your name, address, taxpayer identification number, account number, FATCA compliance status (compliant or recalcitrant), account balance or value, the payments made into or from the account, account statements, the amount of money, the type and value of financial products and/or other assets held with CGS-CIMB Financial Group, as well as the amount of revenue and income and any other information regarding the banking/business relationship which may be requested or required by the companies under CGS-CIMB Financial Group, domestic and/or foreign tax authorities, including the IRS; and 2. withhold from your account and/or the income derived from or through CGS-CIMB Financial Group in the amount as required by the domestic and/or foreign tax authorities, including the IRS, pursuant to the laws and/or regulations, and any agreements between CGS-CIMB Financial Group and such tax authorities. 3. If you fail to provide the information required to determine whether you are a U.S. person, or to provide the information required to be reported to CGS-CIMB Financial Group, or if you fail to provide a waiver of a law that would prevent reporting, CGS-CIMB Financial Group shall be entitled to terminate, at its sole discretion, the entire banking/business relationship with you or part of such relationship as CGS-CIMB Financial Group may deem appropriate.			
This letter is given to CGS-CIMB Securities (Thailand) Co., Ltd. , by signing in the space below, I hereby acknowledge and agree to the terms and conditions specified herein, which include permitting the disclosure of information, account withholding and termination of banking/business relationship.			
Given on.....			
Signed Applicant			
Seal of Juristic person			

Date.....

This Agreement is made at CGS-CIMB Securities (Thailand) Co., Ltd., between **CGS-CIMB Securities (Thailand) Co., Ltd., hereinafter referred to as the “Company”**, a juristic person under the law of Thailand, Registration No. 0105542081800, permitted to carry on securities business, derivatives business, including any other transactions relating to securities business operations, whose head office located at No. 130-132, Sindhorn Tower 2, 2nd, 3rd Floors, and Sindhorn Tower 3, 12th Floor, Wireless Road, Lumpini, Pathumwan, Bangkok 10330, of one part; and

(Specify client name) Hereinafter referred to as the **“Client”** of the other part.

Both of parties agree to make agreement in accordance with conditions and details as following:

Chapter 1: Definitions

Clause 1. In this Agreement, the terms:

“Securities Business” means such securities or derivatives business operations as permitted by the Ministry of Finance, the Securities and Exchange Commission, the Stock Exchange of Thailand, and Thailand Futures Exchange Public Company Limited under the Securities and Exchange Act B.E. 2535, the Derivatives Act B.E. 2546 or the securities business laws;

“Securities Exchange” means the Stock Exchange of Thailand, the Market for Alternative Investment (MAI), or any other local and foreign exchanges for securities trading;

“Derivatives Exchange” means Thailand Futures Exchange Public Company Limited or any other local and foreign exchanges for derivatives trading;

“Office” means the Office of the Securities and Exchange Commission, the Securities and Exchange Commission, Association of Thai Securities Companies;

“Securities Service Center” means The Thailand Securities Depository Co., Ltd., The Thailand Clearing House Co., Ltd., agencies or organizations providing services relating to securities business operations;

“Company” means CGS-CIMB Securities (Thailand) Co., Ltd., including persons authorized to act on its behalf, attorneys-in-fact or persons assigned by the Company;

“Client” means the individual client or juristic person who agrees to open any transactional account with the Company, including attorneys-in-facts or agents authorized to act on behalf of the Client;

“Trading” means a purchase, sale or subscription for securities both inside and outside the Securities Exchange, including a purchase or sale of goods or variables both inside and outside the Derivatives Exchange;

“Account” means such transactional account as made available by the Company at the time of the execution of this Agreement, or such other account as may be made available in future by the company, the Securities Exchange, the Derivatives Exchange or the Office. The Company agrees to allow the Client to perform transactions in any one account or several accounts collectively;

“Securities” means shares, debentures, unit trusts, bills, Treasury bills, government bonds, share warrants, debenture warrants, unit trust warrant, bond and such other instruments as determined by the Securities Exchange or the Office, including any other securities which can be bought and sold according to law;

“Collateral” means cash, securities, assets as collateral relating to securities business operations, or such other assets as specified by the Securities Exchange, or goods, variables, assets or such other collateral as specified by the Derivatives Exchange, including such other collateral as specified by the Office;

“Advance” means money paid by the Company on behalf of the Client as the payment for a purchase of or subscription for securities or for a purchase of goods, variables or assets, including fees or any other expenses relating to the Client’s trading, as well as expenses relating to a follow-up of payment of the Client’s debts;

“Settlement” means payment the purchasing price of the securities, the selling price of the securities, fees, remunerations, commissions, value added tax(VAT), penalties, and any other expenses related to securities, goods, variables, assets, collateral, including fees for Related transactions to Agreement or electronic transactions;

“Transaction relating to the Agreement” means signing, transfers, taking of transfers, taking of delivery, delivery, disposal, filing and entry of pledge registrations, revocation of filing and entry of pledge registrations, use or revocation of collateral, deposit, withdrawal, borrowing, lending, exchange, conversion, endorsement, redemption, verification, amendment, or exercise of rights for securities, issuance of securities certificates, financial instruments, assets, collateral, cash, increase or decrease of trading limits, letters, memorandums, confirmations of orders for securities trading, price payment documentation, electronic tax invoices / receipts, or other forms related to the Company, the Client, the Securities Exchange, the Derivatives Exchange, the Office, the Securities Service Center and the Revenue Department;

“Electronic Transactions” means acts, steps, procedures or any other actions relating to securities, goods, variables, assets, collateral, any other accounts, or Related Transactions to Agreement brought about by the Company, the Client, the Securities Exchange, the Derivatives Exchange, the Office, the Securities Service Center, the Revenue Department, the networking company, any service provider or several service providers collectively carries/carry out a process or procedure via electronic means, the internet system, information technology systems, telecommunications systems, electronic communication devices, telephone, facsimile, electronic transmission, printing or issuance of documents either in whole or in part, according to the Electronic Transaction Act B.E. 2544 or the Revenue Department’s Rules Governing the Preparation, Delivery and Keeping of Electronic Tax Invoices and Electronic Receipts B.E. 2555 or any other pertinent rules;

“Internet System” means the use of computer equipment, mobile phone, electronic equipment, any other communication devices for interconnection between computer networks and systems and information technology systems of the Company, the Client, the Securities Exchange, the Derivatives Exchange, the Office, the Securities Service Center, the networking company, the service provider(s), and the government agencies for the purpose of trading and performance of Related Transactions to Agreement or electronic transactions, website accessing by using the user name, password, PIN code and One Time Password (OTP) in accordance with the procedure stipulated by the Company or by using an electronic mail or email, email address, short message service (SMS), social network information, application or any other method in accordance with customary practices for securities business operations;

“User Name” means the name of a service user, who is a client authorized to gain access to the internet and information technology systems for the purpose of trading and performance of Related Transactions to Agreement or electronic transactions by using his/her/its user name in connection with his/her/its password and PIN code in accordance with the procedure stipulated by the Company; provided the Client keeps his/her/its user name, password and PIN Code confidential and specific to him/her/itself;

“Interest” means an amount of payment the Company has the right to claim from the Client or a return the Company agrees to pay to the Client; to this, the Company will fix an interest rate and calculate it with notice; provided, however, that the Company has the right to change the interest rate as it thinks fit without having notified the Client and the Company has the right to claim default interest under this Agreement from the Client at the rate of 15 (fifteen) percent max per annum;

“Notifications” means laws, rules, procedures, regulations, orders, notifications, letters, explanations, documents, and websites issued by the Company, the Securities Exchange, the Derivatives Exchange, the Office, the Securities Service Center, and government agencies;

“Government Agencies” means the Bank of Thailand, the Ministry of Finance, Courts, the Anti-Money Laundering Office, the Office of the National Anti-Corruption Commission, the Department of Special Investigation, the Revenue Department, the Royal Thai Police, constitutional organizations, any other government agencies, supervisory agencies for securities business operations.

Chapter 2: Agent / Broker appointment and General authorization

Clause 2. The Client agrees to appoint and authorize the Company as his/her/its agent and/or broker and/or attorney-in-fact to buy, sell, subscribe for, securities borrowing or lending and/or goods, variables and assets under the Derivatives Agreement, and/or to transact any other business relevant securities business operations with the Company, the Client has opened an account(s) with the Company for trading and for such transactions as the Company, the Securities Exchange or the Derivatives Exchange determined while executing this agreement or to be made available in future both inside and outside the Securities Exchange and the Derivatives Exchange including with cross border trading. The Client agrees to ratify and consents to be bound by any acts performed by the Company as the Client’s agent. To this, the Client agrees to pay remuneration, commission, fees, taxes and any other expenses to the Company and the Agreement shall be deemed as a lawfully power of attorney.

Clause 3. The Client agrees to authorize the Company to act as general attorney-in-fact and to take any action to achieve the objective(s) under this Agreement, including any of the following actions, without the need to notify the Client in advance as following:

- 3.1 To buy, sell, subscribe for, transfer, take of transfers, and exercise the rights to securities, goods, variables, and assets both inside and outside the Securities Exchange, including taking of delivery, delivery, holding securities, goods, variables, dividends, interest, assets, or any relevant benefits;
- 3.2 To pay purchase prices, remuneration, commissions, fees, tax, duty stamp, withholding tax and any other expenses, including with receive payments for sales, dividends, interest, money or any other expenses in relation to the securities trading, goods, variables, assets or any other relevant transactions;
- 3.3 To apply payments for sales of securities, interest, dividends, including cash, assets, securities deposited as collateral, to deduct for repayment of debts owed by the Client to the Company under all types of account;
- 3.4 To sign documents, instruments, letters, agreements, applications, memorandums, powers of attorney, or proxy forms to perform Related Transactions to Agreement, exercise the rights to securities for the purpose of attending or voting in shareholders meeting or perform any other acts insofar as necessary for the Client’s benefit under this Agreement;
- 3.5 To appoint or remove sub-agents on behalf of the Client to perform any acts under this Agreement;
- 3.6 In the case the Client passed away or become an incompetent or quasi-incompetent person or the Court has issued an order the Client’s assets in absolute or temporary receivership or the Client has become bankrupt, the Client allows the Company use the right to take steps to protect interests of the Client or the Company until the Client’s heir(s) or representative(s) become(s) able to protect the Client’s or the Company’s interests as aforesaid;

- 3.7 The Client allows the Company to suspend any transactions of the Client or close an account(s) or reduce the trading limit of any or all accounts temporarily or permanently in case of the Company considers that the Client has not performed any transactions, has no active transaction for his/her/its assets, has no assets available in his/her/its account, has not provided such information as required by the Company, has breached of a law, regulations, notifications, instructions, or rules of the Office, Securities Exchange, the Derivatives Exchange, or government agencies, or in the case where there is a probable cause to suspect to believe that any transaction is connected or possibly connected with the commission of a predicate offense or money laundering offense or in any other event the Company as proper.

Chapter 3: Trading and/or Related Transaction

Clause 4. The Client may place an order verbally in presence or by telephone or mobile phone or in writing or by facsimile, computer, communication devices, electronic equipment, or such other methods as specified by the Company or under customary practices on the Securities Exchange or the Derivatives Exchange. When the Company has acknowledged the order clearly without doubt, the order shall be deemed rightfully by the Client, and the Client consents to accept the consequence of such order as if the Client had done in person. The Company agrees to confirm the Client's order for trading and/or Related Transactions to Agreement by notifying the Client in accordance with the procedure determined by the Company. The Client agrees and acknowledges that entries appearing on documents in the forms of the Company's format that is the correct evidence and binding upon the Client even if the Client has not signed name. If the Company has not given notice for a correction to be made to any entry, the entry appearing on such document shall be deemed correct and the Company has the right to demand that the Client have to be responsible in every respect for the entry appearing on the relevant document. **In the event the Client has found that any entry on a document is not correct, the Client must notify the Company in writing within the following business day from the date of issuance of such documents.**

Clause 5. An order for trading under this Agreement is placed according to only the name, category, type, number and price of securities, goods, variables, and assets, irrespective of whom the sale or purchase is made to or from or who will be the seller or purchaser or irrespective of any characteristics thereof. In the event the Company is required to take delivery or deliver its to the purchaser, the seller or the Client, then the same and equal name, category, type, number and price shall apply interchangeably. The Client accepts that such trading may be transaction between the Client and the Company or the Company as an agent of other persons.

Clause 6. An order for trading and/or Related Transactions to Agreement of the Client shall become binding from the time when the Client has issued or is deemed to have issued such order. If the Company is not able to carry out the trading and/or the Related Transactions to Agreement in whole or in part as the Client's order, It shall deemed to cancel only unable part at the end of the trading hours of the Securities Exchange or the Derivatives Exchange, as the case may be. The Company shall not be responsible for any damage to the Client. So that, the cancellation or change the order for trading and/or Related Transactions to Agreement shall be notified by the Client to the Company immediately and shall become valid since the Company consents this matter.

Clause 7. The Client acknowledges that the Company is not bound to be always accepting orders of the Client and that it is not necessary to reveal any reason to the Client. The Company can not responsible for the Client if it is not able to carry out an order of the Client either in whole or in part. The Client acknowledges that an order for trading and/or Related Transactions to Agreement issued at any time and for any item results entirely from the sole decision of the Client. Besides, data, information or advice from employees of the Company has/have no binding to the Company shall be responsible for the Client.

Chapter 4: Trading and/or Related Transactions via Internet or Information Technology Systems

Clause 8. To trade and/or Related Transactions to Agreement via the internet, information technology or electronic systems, the Client agrees to comply in every respect with the rules and procedures according to the Company, including those amendments to be amended in future.

To trade and/or Related Transactions to Agreement, including with information examination or change any entries made available for service by the Company, the Client can do only after obtaining the Company's permission under the conditions stipulated by the Company. To use services via the internet and information technology systems, the Client shall do on computer equipment, communication devices or any other communication systems of the Client via his/her/its internet network into the internet network of the Company, the Securities Exchange, the Derivatives Exchange, the Securities Service Center, the networking company, the service provider, or government agencies, as the case may be.

In the event the computer equipment, communication devices, electronic equipment, internet system or network, any other communication systems, including electricity, is out of order, becomes defective, is damaged, or cannot be used by any cause whatsoever including with events of force majeure which the cause to the Client is thereby unable to trade and/or Related Transactions to Agreement at any time, the Client can contact the Company to request that the trade and/or Related Transactions to Agreement be carried out in accordance with other methods determined by the Company.

Clause 9. To trade and/or Related Transactions to Agreement via the internet and information technology systems, the Client will receive a username, password, PIN code, or any other code in accordance with the methods determined by the Company. However, the Client can change own password and PIN code in person so that it is confidential and personal codes of the Client and the Client agrees to accept the password and PIN code such changed.

In addition, the company has determined an OTP system to verify the ownership of the client's account when accessing the internet, websites or applications of the company for the security of internet transactions or accessing an online system for any transaction as specified by the company. The system will be sent as e-mail, SMS or sent into the application to a computer, mobile phone, electronic equipment, communication tools as provided by the client to the Company.

In the case the username, password, PIN code, OTP or any other code has been used by any other person or has been destroyed or is forgotten by the Client, the Client shall be entirely responsible for those acts. Thus, the Client shall inform a written notice to the Company for stopping the use of such service immediately. If the Client neglects to do and damage is incurred, whether such damage of the Client or the Company may get damage as a result of such neglect, the Client agrees to be solely responsible for paying damages to the Company or third parties concerned only.

Clause 10. Trading and/or Related Transactions to Agreement via the internet and information technology systems, if carried out with the use of a username, password, PIN code, OTP or any other code in accordance with the methods determined by the Company, shall be deemed to be electronic transactions binding upon the Client. The Client will entirely not mention any other cause to deny his/her/its responsibility to the Company.

The Client ensured that he/she/it has knowledge and understanding of such rules, procedures, and traditional practices about trading and/or Related Transactions to Agreement via the internet and information technology systems as stipulated by the Company, the Securities Exchange, the Derivatives Exchange, the Office, the Securities Service Center, the networking company or the service provider. The Client acknowledges about risk that may occur on the internet and information technology systems, that is, loss of information, data transmission, probably delayed data transmission, inability to dispatch or receive transmit information. To use of the username/ password/ PIN code, OTP or any other code without the Client's consent, hack information by other persons, technical problems, damage caused by an event of force majeure, or any other event. The Client acknowledges that the Company is unable to prevent those risks. If there are some damage occurred, the Company is not responsible for any such damage occurred. Hence, the Client agrees that will not claim damages from the Company unless such damage is caused from action by omissions, willful or negligent acts of the Company or employees or error of information of the Company, the Client must notify the Company immediately.

Clause 11. The Client agrees and consents to pay fee or service charge for trading and/or Related Transactions to Agreement via the internet and information technology systems at the rate stipulated by the Company as at the time of the execution of this Agreement or to be made available in future.

Clause 12. The Client is aware of the notifications, regulations, orders, criteria, and conditions of the company, the Securities Exchange and the Derivatives Exchange with improper trading practices, such as intervene the queue, conceal another person's order, placing-withdrawing trading order, wash sales, orders which direct the price of securities etc. If the Company has found that an inappropriate order for trading had been transmitted, the Client allows the Company to stop or cancel it immediately and allows the Company to cancel the service of trading and/or Related Transactions to Agreement via the internet and information technology systems of the Client immediately.

The Company has the right to confirm an order for trading and/or Related Transactions to Agreement via the internet and information technology systems of the Company so that the Client also acknowledges it via his/her/its internet or electronic systems. In this regard, the Client shall be deemed to have duly acknowledged the result of the confirmation of such order by the Company.

The Company has the right to cancel trading and/or Related Transactions to Agreement via the internet and information technology systems temporarily or permanently without the need to notify the Client. If the Client wishes to cancel the trading method or using the service of Related Transactions to Agreement via the internet and information technology systems, the Client must notify in writing to the Company not less than 3 (three) days in advance in order to the Company cancel it as the conditions stipulated.

Chapter 5: Limit, Settlement, Transaction fee and the Securities delivery

Clause 13. The Company agrees to set limit for trading or all accounts for the Client. The Company has the right to increase, decrease or suspend the limit as appropriate which the Client agrees to accept the increase or decrease therein without any contention and agrees that it shall be binding upon the Client immediately. The Company has the right to amend or change the criteria, conditions and methods relating to approval for limits, deposits of collateral, and calculation of collateral values so that they conform to the criteria stipulated by the Securities Exchange, the Derivatives Exchange, or the Office by without the need to notify the Client.

For some types of trading account, the Company may require the Client brings cash as collateral which the Client must deliver cash to the Company prior to the time of sending of each order in accordance with the methods determined by the Company, the Securities Exchange, the Derivatives Exchange, or the Office.

Clause 14. In the event the Client has traded in any account for an amount exceeding the limit approved by the Company, the Client agrees to be responsible in every respect for the said item of trading or related transactions to agreement and will not mention this event as a reason for denying his/her/its responsibility or claiming damages from the Company.

In the case the Company has advanced payments or any other assets on behalf of the Client, the Client agrees to be responsible in every respect for repaying such amounts or other assets to the company together with such interest as set by the Company.

Clause 15. The Client allows the Company to charge a fee/commission for its agency/brokerage at the rate specified by the Company; therefore, the Client agrees to pay the fee/commission as according to the confirmation note/settlement statement/ tax invoice, receipt, invoice, or any relevant document form. Hence, the Company has the right to change the rates of the fee/commission as the specification by the Securities Exchange and the Derivatives Exchange.

In case of the Client purchases securities, the Client shall pay such securities price. If the Client fails to pay the securities price or makes incomplete payment thereof, the Client allows the Company to exercise the right to a forced sale of the securities that the Client has ordered the Company to purchase by without the need to notify the Client for acknowledge. Thereafter, the Company will apply a deduction from the processing of the forced sale of the securities to the settlement together with default interest at the rate by the Company, from the settlement date until complete payment.

Clause 16. If the Client fails to pay the securities price or make incomplete payment or have outstanding debts by any other cause or any account. The Client shall be deemed to owe to the Company. The Client agrees to pay the debts to the Company immediately, allowing the Company to charge default interest at the rate by the Company, from the due date until complete payment

In the event of the Client owes to the Company, the Client agrees to the Company takes securities, assets, collateral including any other rights of the Client which are in the possession or under the instructive power of the Company to sell, force sale or deduction debt as the company's process. In this regard, the Client agrees to liable for debts, fees, default interest, penalties, damages, or any other expenses occurred to the Company completely.

Clause 17. On selling securities process, the Client agrees to deliver securities to the Company or allows the Company to take any action to acquire such securities for delivery to the buyer. For this purpose, the Client consents to be liable for payment the securities price or any other expenses incurred.

In the event of a sale of securities by the Client, the Client agrees that the Company shall apply money a deduction from the securities sale processing to pay settlement first and then, apply the deduction any other debts that the Client has outstanding debts with the company completely. After that, if the company has any, remaining money, the Company will refund to the Client without interest in accordance with the procedure of the Company.

Clause 18. In case of the Client requests the Company to deliver securities, subscribe its name to the securities, issue a securities certificate, or in any other relevant case, the Company will take such action until the Client has settled of securities or any debt payment to the Company completely.

Clause 19. For the purpose of requesting the rights to subscribe for initial public offerings securities or capital increase securities, securities public offering, or tender offering., It is the duty of the Client to comply with the conditions and procedures stipulated in the prospectus or relevant documents. If damage is incurred, the Client agrees that will not demand the Company to responsible and the Client also agrees to allow the Company to apply the above securities for the collateral as this agreement.

Chapter 6: Custody of Assets of Clients

Clause 20. The Company has the right to take action with respect to the Client's assets, collateral, and securities as the following:

- 20.1 To hold for guarantee any debts owed by the Client to the Company in all accounts without the Company having to terminate this agreement.
- 20.2 To sell, force sale or take any action in order to apply a deduction in any debts that the Client has a debt to the company in all accounts.
- 20.3 To operate Related Transactions to Agreement under this agreement.
- 20.4 To retain until the Company will receive the payment of any debts from the Client completely.
- 20.5 To take dividend, interest applies a deduction in any debts that the Client has a debt to the company.
- 20.6 To restrain the payment of the securities sale or any other payments which the Client has the rights to receive.
- 20.7 To adjust amounts received/transferred via the bank account debit (Automatic Transfer System "ATS") correctly in accordance with deposit receipt, deduct money from a bank deposit account via ATS, for settlement any debt of all accounts that the Client owed debt to the Company.

The Client warrants that all assets, collateral, and securities as this agreement are good title and free from any charges. In this regard, the Company has the right to retain, pledge preferential right over assets, collateral, securities throughout to receive before payment the other creditors.

Clause 21. Assets, collateral, a security as this Agreement, the Client agrees to the Company has the right to carry out the Related Transactions to Agreement. And the Client agrees to authorize the Company to take action represent for the Client or consent the Company is the agent for the other party to carry out the Related Transactions to Agreement successfully in accordance with the objective(s) as this Agreement including with the rules, procedures, or customary practices of the Company, the Securities Exchange, the Derivatives Exchange, the Office, and the Securities Service Center.

Clause 22. The Client agrees to provide assets, collateral, or securities to the company for retention or use as collateral in accordance with the objective(s) as this Agreement including with the rules, procedures, or customary practices of the Company, the Securities Exchange, the Derivatives Exchange, the Office, and the Securities Service Center.

Clause 23. The Client allows the Company to be ownership, transferee transferor, or possessors which have assets, collateral, or securities on behalf of the Company, or the Client until the Company will transfer assets, collateral, securities, or any other documents of right to the Client.

Clause 24. For the Related Transactions to Agreement as this Agreement, if the Client wants to transfer/withdraw money in a foreign currency, the Company will use the exchange rate as of the time and date of the transfer/withdrawal to the Client or according to conditions agreed upon or customary practices under the relevant transactions. The Client agrees to be responsible for the fees and expenses incurred as a result of such foreign currency exchange as local financial institution under the Exchange Control Act.

Clause 25. The Client is aware of the practical procedure for deposit or withdrawal assets including with the right, duty and responsibility of both parties as follows:

- 25.1 In event of the Client deposits money, the Company may deposit with a financial institution related either directly or indirectly with the Company in the form of the parent company, a subsidiary, or an affiliate or the Company may invest in the other business as determined by the Company, the Securities Exchange, the Derivatives Exchange, the Office, and the Securities Service Center. However, the Client agrees and understands that if the Company has encountered a financial problem, all aforesaid money will not under the protective measures of the Financial Institutions Development Fund or the Deposit Protection Agency.
- 25.2 In the event of the Client deposits a cheque or delivers any instrument or transfers funds from other financial institution to the Company account. It seems that the Company will receive the aforesaid funds when the Company is able to collect them or verified the funds transferred into the Company deposit account fully complete.
- 25.3 The Company will keep the Client's securities in a scripless system as determined by the Securities Service Center.
- 25.4 The Client agrees that the securities and/or assets of the Client, which are kept by the Company itself or kept at the Securities Exchange, the Derivatives Exchange, the Securities Service Center, or any other financial institution shall be deemed that the Company is the possession and retain as the law.
- 25.5 In case of loss of or damage to assets of the clients resulted from negligence or non-performance of the Company manifestly. The Company agrees be responsible such assets of the Client only for the portion resulted negligence or non-performance of the Company in full amount.
- 25.6 The Company has the right to charge fees or any other moneys from the custody of assets of the Client all accounts, and the Client agrees to pay such fees or other moneys as determined by the Company.
- 25.7 The Company agrees to report the assets of the Client status or send any information as determined by the Securities Exchange, the Derivatives Exchange, the Securities Service Center, or the Office.

Chapter 7: Miscellaneous

Clause 26. The Client allows the Company to be a member of the Securities Exchange, the Derivatives Exchange, the Office, the Securities Service Center, or agencies relating to securities business operations, both local and overseas. In this regard, the Client accepts and consents to comply with such terms as determined without consent of the Client.

Clause 27. The Company has right to claim the Client for responsible all damages, penalties, expenses, or any money which incurred from the action omission, violation, neglect, or failures to comply with customary practices of securities business of the Client or agent as this Agreement.

The Company has the right to suspend trading, refund claim, brokerage agent cancellation, closing any accounts, trading limit, take action related trading of the Client, or suspend any transaction of the Company, or execute as comply with notifications or instructions of government agencies without notice or consent from the Client. Including the Company shall not be responsible for damage to the Client, unless the Company or employees of the Company act with negligence.

Clause 28. If the Client has behaviors of any of the following, the Company will consider that the Client has breached this Agreement, the Company has the right to terminate the Agreement and claim to the Client to pay all debts promptly:

- 28.1 The Client fails to pay whether in whole or part of the securities price, ignore to deposit such collateral or assets as determined by the Company.
- 28.2 The Client conceals, disposes whether in whole or part of assets or performs by his/her/itself or allows other person to perform or not obstruct as normality. Such actions probably caused to be damage to the Company.
- 28.3 The Client pass away, incompetent, quasi-incompetent. The court ordered receivership, bankrupt, rehabilitate. The government agencies seize or attached the assets whether in whole or part.
- 28.4 The Client has omitted, neglected, or had no consent to comply with this Agreement, has defaulted on debt payment or incurred debts due to the Company in any account.
- 28.5 The Client has provided false information to the Company or his/her/its answers to questions are inconsistent with the truth at the time of the execution of this Agreement or during any time. If the Company has requested information, the Client neglects or refuses to provide such information under the questionnaire as requested.
- 28.6 The Client has traded in a manner deviating from the normal conditions, e.g., by sending the trading order in an inappropriate manner and by willfully or deliberately performing any act qualifying as an offense or violating or infringing rules, routines, regulations, notifications, criteria, or laws of the Securities Exchange, the Derivatives Exchange, the Securities Service Center, the Office, or government agencies.
- 28.7 The Securities Exchange, the Derivatives Exchange, the Securities Service Center, the Office, or a government agency has issued an order suspending transactions temporarily or permanently or has incriminated, admonished, or punished the Client.

The Company reserves the right to terminate this Agreement or as appropriate any considerations without the need to notify the Client.

Clause 29. When the Agreement will have terminated, the Company to perform strikes the balance immediately. If the Client has the outstanding debts with the Company, the Client allows the Company to apply a deduction from the Client's securities, assets, or collateral under the Company's possession for debt payment as according to the appropriate procedure of the Company without having notified the Client. For this purpose, that, the Company will process to deduct interest, fees, commissions, taxes and any other expenses incurred first. The remainder thereof, the Company will deduct the principal, the securities trading, advance, or any other moneys next respectively. When the company to strikes the balance already, appear that the Client has outstanding debt to the Company. The Client agrees to indemnify all liabilities in full to the Company, including claims to default interest at the rate that the Company determines since date of default until the Client has paid a debt completely.

Clause 30. In the event of the Client has the outstanding debts with the Company, the Client allows the Company to perform to set off the debts whole securities, goods, variables, assets, or collateral of the Client under the Company's possession in all accounts, or Related transactions to Agreement for indemnify all liabilities in full to the Company without the need to notify the Client.

Clause 31. The Company may be respite temporary or specifically case for the Client to adjusts of defect, default, breach of Agreement, or such other events as the Company view as proper. Hence, the Client accept as the Company shall has right fully in order to claim the Client must be responsible damages or to repay all the debts immediately. The Client agrees that will not refer to respite of reason for denies any responsibility to the Company.

Clause 32. If the Company does not use the right, power or any privilege or use only one time or partial of the right, power or any privilege under this Agreement. It is not annulment, waiver, power or any privilege of the Company under this Agreement.

Clause 33. The Client accepts that get read and has knowledge, understanding, acknowledge in the announcements, orders, regulations, rules, instructions of notified or government agencies, including the application form for opening of transactional account, documents and evidence compound with the application form, explanations, risk disclosure documents as well. If it has changes, amendments, or additions, it shall be deemed to be binding the Client immediately, unless otherwise notified by the Company, and the Client agrees to comply strictly. Hence, the Client shall be deemed a part of this Agreement.

Clause 34. The Client assures and confirms to get knowledge and understanding of risks relating to trading on the Securities Exchange and the Derivatives Exchange, including risk investment, Related Transactions to Agreement. The Client agrees to use knowledge and understanding and thoughtful most carefully. Hence, the Client accepts result of damage that may be occurred.

Clause 35. The Client agrees the Company to transfers the right, obligation, liability, benefit, assets, collateral under this Agreement or relevant accounts for individual client or juristic person, by the Company agrees to send a written notice to the Client.

Clause 36. If any wording in this Agreement including all relevant documents void at law, unlawful, be incomplete or be unenforceable, the parties agree that the remaining wording shall be complete, deemed to be binding and enforceable with the parties.

Clause 37. For the purpose of preventing or ceasing unfair acts or improper investments or transactions, the Client consents to comply with the following conditions:

37.1 The client agrees to notify and provide the following information, and clarify such information in detail to the company, Securities Exchange, Derivatives Exchange, Office, Securities Service Center upon request, or according to the rules as specified by those organizations:

- (a) Identifiable information manifesting the client and all persons who are the beneficial owners of directly or indirectly.
- (b) The purposes of securities trading.
- (c) The securities trading information of the client.
- (d) The information specified under (a), (b) and (c) of direct or indirect individual account of an omnibus account to the extent that the client knows or should have known as a result of holding such omnibus account.

37.2 The client gives consent to the company for temporarily suspending services as broker, closing a trading account, limiting trading volume, or performing any other act relating to trading of the client in order to comply with the order the Securities Exchange, Derivatives Exchange, Office, Securities Service Center in cases where it appears the following facts:

- (a) The securities trading by the client has or may have an impact on the orderly trading or has caused or may cause the trading price to deviate from normal conditions of the Securities Exchange and the Derivatives Exchange.
- (b) The client trading behavior is inappropriate or may contravene the law on securities and exchange.
- (c) The client fails to notify, provide information or prepare clarification under Clause 37.1 or provides false or materially misleading information.

Chapter 8: Termination and Notification

Clause 38. The Company will perform consider to transactions all accounts of the Client. If it appears that the Client has not transactions with the Company since 1 (one) upwards year and the Client has no securities, assets, collateral in the Company's possession. The Client allows the Company to use the right closing account(s) implicitly and the Company without the need to notify a written to the Client. Hence, the closing any accounts depending on discretion of the Company.

Clause 39. This Agreement has a binding of both the parties for all time until terminated by either party.

39.1 In the event of the Client terminates the Agreement, the Client must notify the Company in writing at least 7 (seven) days in advance. Hence, the termination shall be effective only if the Client has made full payment for all debts as well as interest and accessory debts to the Company in full.

- 39.2 In the event of the Company terminates the Agreement, the Company has the right to terminate the Agreement immediately. If the Company terminated the Agreement, the Client must perform to pay debt, damages, penalties, or other expenses to the Company fully and allow the Company to take steps to force a sale or enforce compulsory performance against the Client's assets or collateral in all accounts.
- 39.3 The Client agrees and gives consent that the client will not cancel or revoke either in whole or in part, the authorization or any consent that granted to the Company, until the Client has paid his/her/its debts in full to the Company.
- 39.4 When the Company has terminated the Agreement, the Client still outstanding debts with the Company, the Client agrees to pay the debts to the Company immediately and allow the Company has the right to charge interest during his/her/its default on interest at the maximum rate as the Company set up until the Client has completed the payment of debts.

Clause 40. Notification or information of the company as according to this agreement, if sent by the Company by messenger or by post to the Client's domicile to the Client's email address, shall be deemed duly notified to the Client liked by then. If the Client has changed his/her/its domicile, email address, telephone number, or any other contact information, the Client shall inform to the Company in writing immediately in a form determined by the Company.

Chapter 9: Information Disclosure and Confidentiality

Clause 41. The Company has the right to verify personal history and data, credit information, and financial status of the Client according to the Credit Information Business Act B.E. 2545 and the Client allows the Company to keep the information and any other documentation of the Client or assign any other person to keep them on its behalf.

Clause 42. The Client allows the Company to disclose all or part of his/her/its personal history and data credit information and financial status, all types of account or all forms of Agreement-related transaction, regardless of whether the information recipients have their business enterprise in the country or abroad. Hence, to the purposes of supervision and inspection, the request by the Stock of Exchange, the Derivatives Exchange, the Securities Service Center or Office, government agencies, auditors, or professionals or for the purposes of risk management, preventing risks in various aspects and supervising the consolidation members within the same group of juristic persons, the parent company, subsidiaries, or affiliates.

Chapter 10: Arbitration and Governing law

Clause 43. In the event a dispute arises in relation to all types of account or related transactions to Agreement, the Client can request that the dispute between the Client and the Company be settled by arbitration in accordance with the criteria and procedures determined by the Office. In this regard, the decision of the arbitrator(s) shall be deemed final.

Clause 44. This Agreement is governed by and construed in accordance as Thai law.

The parties agree that in the event of a dispute under this Agreement, the competent court of justice is a court having jurisdiction in Thailand. In addition, the Company has the right to take proceedings against the Client before a court of justice having jurisdiction according to law.

Clause 45. This Agreement is written in both Thai and English. In the event of a conflict, the Thai language version shall prevail.

The Client, having read and understood thoroughly the terms hereof and seen that they are consistent with his/her/its intentions in all respects, gives consent to the terms of this Agency / Brokerage Agreement in every respect. IN WITNESS WHEREOF, the Client sign off and/or seal (if any).

Seal of Juristic person

Signed.....the Client

(.....)

Signed.....the Company

(.....)

Signed.....Witness

Signed.....Witness

(.....)

Investment Consultant

(.....)

Checker / Recorder

1. Terms and Conditions for the Mutual Fund Account Opening

The terms and conditions for the mutual fund account opening as specified herein are an integral part of the mutual fund account opening application form through FundConnex service with the participating Asset Management Company (“Asset Management Company”) whereby the mutual fund account opening applicant (“Investor”) has signed such form as acknowledgement/agreement to be bound by and to comply with the following terms and conditions:

1. The Investor accept and agrees that the Asset Management Company is able to use the original copy of the mutual fund account opening application form and relevant supporting documents all previously signed by the Investor as documents for the mutual fund account opening for all the Asset Management Companies in which the Investor intends to open the mutual fund account. In the event that the Asset Management Company uses the copy of the aforesaid documents (hard copy, copy in the form of scanned information or copy stored in any other electronic format), the Investor agrees that such copy is legally enforceable and binding upon the Investor as if they are the original documents.

2. The Investor represents and confirms that the information provided in the mutual fund account opening application form and relevant supporting documents, the customer risk profile and/or the questionnaire prepared by the Asset Management Company from time to time, are truthful, complete, and up-to-date. Should there be any changes to such information in the future; the Investor agrees to notify the Asset Management Company without delay, in a written form or in any other form acceptable to the Asset Management Company. In case any subsequent contact is made by the Asset Management Company to the Investor by using the method as specified in Clause 8 for the purpose of confirming or updating the aforementioned information and the Investor fails to notify the changes or does not respond in accordance with the method and within the period of time prescribed by the Asset Management Company, the Investor accepts and agrees that the Asset Management Company may use the existing latest information as the up-to-date information of the Investor.

3. The Investor irrevocably consents to the Asset Management Company for the collecting, using, sending, transferring outside Thailand, or disclosing information of the Investor including any information in all the mutual fund accounts that the Investor has with the Asset Management Company to the following persons as the Asset Management Company deems appropriate for the purpose of inspection and/or compliance with the domestic and foreign law and/or for the purpose of services or offer of investment products to the Investor and/or for the operation of the Asset Management Company or fund and/or for compliance with the obligations that the Asset Management Company or the fund has to comply with:

- (3.1) A person relating to the operation or investment of the Asset Management Company or the fund;
- (3.2) Any state authority or agency both in Thailand and overseas; and
- (3.3) Any person whom the Asset Management Company deems necessitated use such information for the purposes mentioned above.

4. In an event the Investor fails to comply with the request of the Asset Management Company for the provision of additional information, documents and/or consent for the discharging of duties by the Asset Management Company or the fund as required by the domestic or foreign law or pursuant to the obligations that the Asset Management Company or the fund have to comply with or where it is necessary for the operation or investment of the Asset Management Company or the fund, or the Investor fails to comply with the terms and conditions for the mutual fund account opening, the Investor accept and agrees that the Asset Management Company may suspend any services related to the Investor’s mutual fund account including the closing of the Investor’s mutual fund account. In this regard, the Investor hereby authorizes and irrevocably consents to the Asset Management Company to close the Investor’s mutual fund account and/or to redeem the investment units for the closing of the Investor’s mutual fund account, as the Asset Management Company deems appropriate as if such action has been taken by the Investor itself. The Investor agrees not to demand/claim for any damages arising thereof from the Asset Management Company.

5. The Investor acknowledges and agrees that the Asset Management Company reserves the right not to approve or accept the mutual fund account opening application form or not to proceed with any transaction of the Investor in whole or in part without having to provide any reason to the Investor and the decision of the Asset Management Company is deemed final. In this regard, the right reservation pursuant to the terms of service, the duty of the Asset Management Company specified in the fund prospectus and other conditions and terms prescribed by the Asset Management Company shall be included.

6. In an event that the distributor sends a subscription/redemption/switching order of the Investor to the Asset Management Company through FundConnex service or the Investor sends a subscription/redemption/switching order through the internet system of the FundConnex service provider, the Investor agrees that the information on the order received by the Asset Management Company from the FundConnex service is binding upon the Investor as if the Investor has signed and sent such order to the Asset Management Company and shall constitute a complete and correct evidence and is admissible in all respect, which can be used as a reference to the transaction conducted by the Investor.

7. The Investor confirms that prior to each investment the Investor has already received the prospectus, the investment handbook for the SSF, SSFX, LTF or RMF investment as the case may be, or other documents used in the sale of investment units from the Asset Management Company and/or the distributor and/or an individual responsible for contacting the Investor as well as the personnel with the duty to sell the investment units of such person and that the Investor has a thorough knowledge and understanding in the investment in the mutual fund’s investment units and that:

- (7.1) Prior to each investment in the investment units, the Investor should thoroughly study the information as specified in the fund prospectus;
- (7.2) The investment in investment units is not cash-deposit and there are investment risks involved. The Investor may earn a larger or smaller sum than the original principal invested. Furthermore, proceeds from redemption order may not be executed as instructed.

- (7.3) In the event that the Asset Management Company and/or the distributor and/or an Investment Advisor/Individual Investment Planner responsible for contacting the Investor as appointed by the Asset Management Company (including the personnel responsible for accepting the redemption order from such person) provide general or specific investment advice to the Investor, the Investor will be receiving the warning on various issues in accordance with the rules, conditions and procedure prescribed by the Securities and Exchange Commission as follows:
- (a) The warning on risks associated with the investment in investment units;
 - (b) The warning on risks associated with the investment in each that particular mutual fund;
 - (c) The warning in the case of general advice that such advice is not tailored to the Investor specifically and that such advice is not a result of the analysis or consideration of the Investor's objectives, financial status and investor's need and
 - (d) The warning in the case of specific advice that if the Investor refuses to provide his/her personal information or an up-to-date personal information, the Investor may receive advice that is not suitable to the Investor's objectives, financial status and investor's needs since such advice has been made taking into consideration only the information disclosed by the Investor or the disclosure of which is mandated by law. The Investor confirms that the investment decision is made by the Investor on its own accord and does not have any binding upon the Asset Management Company and the Asset Management Company assumes no liability whatsoever in any respect;
- (7.4) For the Investor in SSF, SSFX, LTF and RMF, the Investor has read and understood the statements that appear in the investment handbook for the SSF, SSFX, LTF or RMF investment as the case may be and the Investor acknowledges that the Asset Management Company is not providing any advice or consultation on tax matter for the Investor. In addition, the Investor will not be able to distribute, dispose of, transfer, pledge or use as collateral the investment units of SSF, SSFX, RMF and LTF.

8. For any communication, contact, letter and/or notice and/or any other documents or information to be made/sent to the Investor, the Asset Management Company may use various means be it via telephone, facsimile, SMS, email, registered or unregistered mail, physical delivery, applications, online social media (such as LINE, WhatsApp, Messenger or Facebook) or any other communication methods. In the event information is sent via telephone number, facsimile number or email address specified in the mutual fund account opening application form or as latest changes notified in written to the Asset Management Company or via application downloaded by the Investor or disseminated on an online social media followed by or subscribed to by the Investor, it shall be deemed that the information has been duly sent to the Investor regardless of whether the information has been received by the Investor or other person or whether the information has been read. In the event that the information cannot be sent because the Investor changes his/her domicile or address, or his/her domicile has been demolished without any notification of such change or demolition in writing to the Asset Management Company, or because the telephone number, facsimile number, email address or address last notified by the Investor in writing is incorrect or not updated, the Investor shall be deemed to have duly received and acknowledged the letter, notice, information or any other document sent from the Asset Management Company.

9. In order for the Asset Management Company (including all funds under the management of the Asset Management Company), distributor and persons relating to the fund to be able to comply with their duty under the relevant domestic and foreign law (including FATCA, the law on anti-money laundering and the law on the prevention and suppression of financial support to terrorism) and to reduce the procedure for the submission of documents, agreement on the duty of the Investor, any information, confirmation and consent related to self-identification and disclosure of information/withholding tax (including FATCA Form and documents referred to in FATCA Form) by the Investor (hereinafter called "Documents and Information") to each of the aforesaid persons subject to the terms and conditions of this mutual fund account opening, in case the Investor gives or will give the Documents and Information to any of the aforesaid persons, the Investor agrees and consents to such persons including their representatives to use such Documents and Information as if the Investor has given such Documents and Information to all the aforesaid persons, and all of such aforesaid persons are entitled to send/use the Documents and Information among themselves. The Asset Management Company and/or each of the aforesaid persons reserve the right to subsequently request additional Documents and Information from the Investor.

10. The Investor agrees to be bound by and comply with the criteria and conditions in the prospectus of each fund in which the Investor has invested in, the terms and conditions in the subscription/redemption/switching forms, the rules and procedures relevant to the unitholders as well as any terms and conditions for the mutual fund account opening in addition to this terms and conditions for the mutual fund account opening form as may be prescribed by each Asset Management Company including any future amendment thereof. The Investor may examine the rules and procedures relevant to the unitholders as well as the additional terms and conditions for the mutual fund account opening of each Asset Management Company on its relevant website.

11. The Investor accepts and agrees that this terms and conditions for the mutual fund account opening will continue to be binding upon the Investor even if any Asset Management Companies or the distributors have subsequently terminated or no longer used the service of FundConnex.

Statement of confirmation

I confirm that the information provided in the account opening application form and relevant supporting documents are truthful complete and up-to-date, and I am the account owner who make decisions to buy and sell securities by oneself unless the beneficiary is another person which I Will inform the Company.

Given on.....

Seal of Juristic person (if any)

Signed Applicant

I.....as a bond trading representative for the client and work for CGS-CIMB (Thailand) Securities Co., Ltd. I hereby certify that I have explained the information and risk disclosure documents to a client/investor (specify name)

.....to acknowledge of risks involved in bond trading before account opening or beginning of bond trading to client/investor to be informed of the following important information:

Understanding the Bond Terms and Conditions

Bond investing is not a deposit or has no guarantee from the company. Clients/investors may not receive repayment of all investment principal or any amounts of investment. Therefore, investing in bonds carries the same risks as investing in other securities. Clients/investors may face various associated risks. Clients/investors may lose a partial or all of their investments. This Risk Disclosure does not represent all risks associated with investing in bond, but it represents some important risks associated with investing in bonds. Clients/investors should carefully study and understand the details and conditions of such bond, such as the type of bond, credit rating, redemption/transfer restriction, early redemption conditions, interest rate payment Guarantees/collaterals, risks associated with the issuer, etc.

This Risk Disclosure is not a guidance for business, legal, tax or accounting. Clients/investors shall consult investment consultant on various matters related to bond investment before making bond trading transactions. Therefore, clients/investors should clearly understand the risks involved in bond investments and make investment decisions based on whether such investments are suitable for the investment objectives and financial position of the client/investor or not. The Company acts only as a broker or agent in the transaction. The types of risks involved in bond investments are as the following:

1. General risk of investing in bond
Investing in bond carries a risk of losing all or part of your investment money. There may be unexpected event or uncontrollable risk, for example, actions of government, economic conditions, internal and external politics, including other events such as wars, riots, turmoil in the city, terrorism, disasters, natural disasters, etc., may cause very high volatility to bond prices.
2. Credit/Default Risk mean the risk of a borrower or issuer fails to make full and timely payments of principal or interest for any reason due to investing in bond is not a deposit or has a guarantee from the issuer/the Company. Clients/ investors may not be repaid a principal or may not be repaid in full, if the issuer becomes bankrupt or defaults on the bond payment. Other creditors of the bond issuer may have preferential rights over the issuer's shareholders.
3. Price Risk mean the risk from bond price volatility. The price of bond holders may decrease which the selling price may be lower than the expected price or the purchase price when the bond holder wants to sell before the maturity date, for example, if the market interest rate rises, the price of bonds will decrease, which cause clients/investors have to hold bonds until maturity.
4. Price Risk mean the risk from bond price volatility. The price of bond holders may decrease which the selling price may be lower than the expected price or the purchase price when the bond holder wants to sell before the maturity date, for example, if the market interest rate rises, the price of bonds will decrease, which cause clients/investors have to hold bonds until maturity.
5. Price Risk mean the risk from bond price volatility. The price of bond holders may decrease which the selling price may be lower than the expected price or the purchase price when the bond holder wants to sell before the maturity date, for example, if the market interest rate rises, the price of bonds will decrease, which cause clients/investors have to hold bonds until maturity.

I, the customer/investor was informed risks associated with bond trading have been described above from CGS-CIMB (Thailand) securities Co., Ltd., which is my bond trading representative.

Given on

Signed.....(Client/Investor)

(.....)

On behalf of the Company.....(Juristic Person)

Seal Juristic Person

Signed..... Investment Consultant

(.....)

Agent

A client who wish to have transactions or invest in complex and risky products, such as equity-linked note, unit trust of mutual funds for accredited investor, perpetual bond, etc., please provide your response in the following self-declaration and questionnaire by yourself and with truthful information for the purpose of rendering the proper service and investment advice that suits your needs.

I, ...ID card No./ Registration No.....

I / we hereby certify that I am qualified as follows (please mark ✓ in either of the following criteria and provide supporting documents)

- ☐ Being an Institutional Investor, as defined by the Notification of the Capital Market Supervisory Board re: Definition of Institutional Investors and High Net worth investors **or**
- ☐ Being a High-Net-worth Investor, which is
- ☐ **A juristic person** that is qualified any of the following criteria based on the latest audited financial statements
- ☐ Have shareholders' equity of at least THB 100 million; or
- ☐ Have an investment in securities or derivatives instruments of at least THB 20 million, or at least THB 40 million including bank deposits,
- ☐ **An individual person** that, including my spouse, is qualified any of the following criteria
- ☐ Have net assets value of at least THB 50 million (excluded value of the residents); or
- ☐ Have total revenues of at least THB 4 million per annum; or
- ☐ Have an investment in securities or derivatives instruments of at least THB 10 million, or at least THB 20 million including bank deposits

Question	Score
1 Please provide your educational background. (Can be more than 1 answer, the answer with maximum point will be used in evaluation) ① Lower than the bachelor's degree ② Bachelor's degree or higher in <u>non-finance or investment areas</u> (i.e., Law, Arts, Education, Medicine, Engineer, Humanities, and etc.) ③ Bachelor's degree or higher in <u>finance or investment areas</u> (i.e., Accounting, Management, Financial Engineering, Computer, Applied Computer for Financial Management, Math for Insurance, Commerce, Economics, Financial Planning, and etc.) ④ Obtain (1) or (2) or (3) above, and possess the certification in finance or investment areas (i.e., CFA, CISA, CFP, FRM, CAIA, IP, IC, and etc.) <u>Remark:</u> Chartered Financial Analyst (CFA), Certified Investment and Securities Analyst Program (CISA), Certified Financial Planner (CFP), Financial Risk Manager (FRM), Chartered Alternative Investment Analyst (CAIA), Investment Planner (IP), Investment Consultant (IC)	
2. Do you have any working experience or business relevant in management / selling / development / analysis or lecture of securities investment, i.e., stock, debenture, unit trust, bill of exchange, Treasury bill, Treasury bond? If any, how long? ① Never ② Yes, less than 1 year ③ Yes, about 1-3 years ④ Yes, more than 3 years	
3. How long have you been investing in securities investment e.g., stock, debenture, unit trust, bill of exchange, Treasury bill, Treasury bond? ① Never (have only bank deposits) ② less than 1 year ③ From 1-5 years ④ more than 5 years	
4. How often do you follow news on economic, debt, capital, and commodity, for both local and foreign, markets? ① Rarely ② Less frequent ③ 2-4 times a week ④ Continuously follow news every day	
5. Which factors do you concern when making investment decision? (Can be more than 1 answer, the answer with the highest points shall be selected as the score calculation basis.) ① Acceptable principal protection level or Advice provided by Investment Consultant or relatives or others ② Liquidity of the securities/ unit trust ③ Chance to get higher return than bank deposits or Investment tenure that align with your target ④ Acceptable risk level or Suitable portfolio diversification	
6. Currently, how much investment do you plan to allocate to complex and risky products, in percentage of total assets? ① less than 10% ② From 10-30% ③ more than 30-60% ④ more than 60%	
7. How long that you expected not require using the fund allocated for complex and risky product investment? ① less than 1 year ② Form 1-3 years ③ more than 3-7 years ④ more than 7 years	
8. Is it necessary to use complex and risky investment return in your daily life expenses? ① Most necessary ② Very necessary ③ Necessary ④ Not necessary	

Question	Score
9. Your main objective of complex and risky product investing is: ① Emphasize on principal protection despite yield lower than inflation rate ② Emphasize regular income with fairly risk to loss some principal ③ Emphasize yield higher than inflation rate with risk to loss more principal ④ Emphasize on the highest yield in long term, with risk to loss majority of principal	
10. If the investment in derivatives and equity-linked notes becomes successful, you will receive returns at a very high rate. But if the investment fails, you may lose all of your investments and may be required to make a partly investment in compensation. Can you accept this risk? ① Least acceptable, emphasize on highest protection level of investment yielding regular income ② Slightly acceptable, emphasize on high return in long term, with fairly risk level to loss some principal ③ Acceptable, emphasize on higher return in long term, with higher risk level to loss more principal ④ Mostly acceptable, emphasize on the highest return in long term, with highest risk level to loss majority of principal	
Scoring base answer ① = 1 score answer ② = 2 score answer ③ = 3 score answer ④ = 4 score	
Total Score (question 1-10)	

Clarification for Investment Consultant/ Selling Agent

- Investment Consultant or Introducing Agent, who directly contact to client, provide comment and opinion supporting ELN presentation to client every time
- Branch Manager/ Team Head/ Division Head/ VP or above provide comments and opinion supporting ELN presentation to client every time if the Client is entitling to perform assessment score Less than 30 score or is Vulnerable Investors

For Investment Consultant of CGS-CIMB Securities (Thailand) Company Limited.

Investment Consultant	Supervisor/Team Head
Opinion.....	Opinion.....
Signed..... (.....)	Signed..... (.....)
Trader ID. Staff ID..... Team/Branch.....	Trader ID. Staff ID..... Team/Branch.....

For CIMB Thai Bank PCL / Selling Agent

Investment Consultant /Selling Agent	Branch Manager/ Team Head/ Division Head/ VP or above
Opinion.....	Opinion.....
Signed..... (.....)	Signed..... (.....)
Staff ID..... Mobile.....	Staff ID..... Mobile.....
☐ CIMB Thai Bank PCL	☐ CIMB Thai Bank PCL
☐ Others Selling Agent (Please specify).....	☐ Others Selling Agent (Please specify).....
Team/Branch.....	Team/Branch.....

I,....., aged.....years have intention to open an account(s) for securities trading and/or transaction relating to securities business with CGS-CIMB Securities (Thailand) Co., Ltd. "the Company".

I acknowledge the criterias, SEC and the Company used to specify the **Vulnerable Investors** as follows:

The Vulnerable Investors means the investor that the company shall contact and provide services with special care.	
Criteria used to specify the Vulnerable Investor	1. An individual investor who is sixty years old up - has limited financial / investment knowledge, and - has investment experience less than three years, OR 2. Any person who has limited financial / investment knowledge or has no investment experience, OR 3. Any person who has restriction in communication or decision making or has health defect - has limited financial / investment knowledge, and - has investment experience less than three years
	<i>Note : Limited financial / investment knowledge means "Little" or "None"</i>

In this regard, I have been clarified the risk disclosure for vulnerable investor by the company's Investment Consultant and I agree to accept all conditions as follows:

1. I acknowledge and have full understanding of the risks, return and effect of investment in Securities such as Equity, Bond, Derivatives including a complex and risky product which may be arisen from such securities investment mentioned above.
2. I acknowledge that the Securities such as Equity, Bond, Derivatives including a complex and risky product may have risk of price fluctuation drastically. By this, I shall be unable to sell securities as required either higher or lower price comparing to cost which may result in profits or losses from such investments.
3. I agree to bind myself in accordance with the terms and conditions of all relating agreement of the company in all respects.

IN WITNESS WHEREOF, I have subscribed my name hereunto.

Given on

Signed.....Client

(.....)

Signed.....Investment Consultant

(.....)

Signed.....Head Team/ Branch Manager

(.....)

Date.....

By this Power of Attorney, I..... (the “Grantor”), agreed to open securities trading account /derivatives trading account /other account for transaction with CGS-CIMB Securities (Thailand) Co., Ltd. (“Company”).

Do hereby authorize Mr./ Mrs./ Miss..... (the “Attorney”) the powers to perform any acts on behalf of the Grantor for the businesses as following.

Clause 1 To buy, sell, subscribe for, borrow, lend or transfer securities under Section 4 of the Securities and Exchange Act B.E. 2535, goods, variables and derivatives under Section 3 of the Derivatives Act B.E. 2546 verbally or in writing on behalf and for the account of the Grantor or as defined in electronic transactions;

Clause 2 To pay purchase prices of securities, goods, variables or derivatives, fees, stamp duty, and any and all expenses relating to trading, subscription, borrowing, lending or transfer; to pay demand fees, penalties, or debts and receive payments for sales of securities, goods, variables or derivatives, dividends, interest, or any other rights derived therefrom; as well as to deduct any taxes for remittance to the Revenue Department;

Clause 3 To take transfers or deposits of, deliver, withdraw, dispose of, file and enter pledge registrations, revoke filings and entries of pledge registrations, redeem, or transaction relating to the agreement for securities, goods, variables or derivatives; as well as to request an exercise of the right to securities for the purpose of attending a of shareholders meeting or voting at the meeting of those securities;

Clause 4 To deposit or withdraw cash as collateral or any other collateral; to debit funds from or make adjustments to the bank deposit account in accordance with the procedure stipulated by the Company or with the procedure pursuant to the Grantor’s application to the Company for the services;

Clause 5 To execute or sign any relevant and necessary letters, documents, or instruments for the achievement of the objective(s) under this Power of Attorney.

This Power of Attorney shall be binding upon the Grantor in perpetuity until the Grantor has given to the Company a written notice of cancellation or revocation thereof. The Grantor hereby assumes responsibility for any acts and things performed by the Attorney within the extent of this Power of Attorney and such acts and things shall be binding as if they had been performed by the Grantor in every respect. IN WITNESS WHEREOF, the grantor therefore sign off and/or seal (if any) this Power of Attorney in the presence of witnesses.

Seal of Juristic person (if any)

Signed.....the “Grantor”

(.....)

Signed.....the “Attorney”

(.....)

Signed.....witness

(.....)

Signed.....witness

(.....)

30 Baht Stamp Duty for more than one-time authorization

Attorney information

Title ☐ Mr. ☐ Mrs. ☐ Miss ☐ Other

Name - Surname

Date of Birth

The relationship with applicant ☐ (1) Spouse, child or adopted child ☐ (2) Persons who are relatives other than (1) ☐ (3) Other (specify)ID Type ☐ ID Card ☐ Lifetime ID Card ☐ Passport ☐ Alien Registration Card ☐ Other (specify)

No Date of Expiry Issuing Country

Residence Registration Address

No. Moo Village/Building FL.

Soi Road Sub District District

Province Postal Code Country

Contact Address

No. Moo Village/Building FL.

Soi Road Sub District District

Province Postal Code Country

Mobile phone* Telephone

Email* Occupation

Are you a politician or connected to any Political person?

☐ Yes (Please specify) ☐ No

For Client of CGS-CIMB Securities (Thailand) Company Limited

At.....

Date.....

Dear Bank of Manager..... Head office/ Branch.....

I, ...

The Account owner of type ☐ saving account ☐ current account

Account No. Name of Account

Place of contact no. Moo.....Building.....Soi.....

Road.....Sub-district..... District.....

Province.....Postal code.....Telephone/Mobile.....

I authorize Bank to deduct funds from such deposit account to pay for any debt or obligation incurred by me to CGS-CIMB Securities (Thailand) Company Limited hereinafter called "the Company" in the amount stated on any invoice, diskette, uploaded data and/or information to be received by the Bank from the Company and/or representative of the Company and/or any other person appointed or assigned by the Company to act on behalf of and/or on behalf of the Company, and transfer such amount into the account of the Company.

In the event that the Bank deducts funds from such deposit account according to the invoice, diskette, uploaded data and / or information provided to the Bank by the Company and it appears subsequently that the amount so advised to the Bank by Company in the invoice, diskette, uploaded data and / or information is incorrect, then I agree to claim the said amount from the Company directly, I hereby waive the right to claim or bring an action against the Bank for any compensation for the amount which the Bank has deducted or transferred from such deposit account for a settlement of any payment with the Company. I understand that the Bank shall deduct funds from such deposit account only when there are sufficient funds in such deposit account at the time of the deduction. I hereby waive the right to receive any notice of any fund deduction from such deposit account since I may acknowledge the fund deduction from the passbook, statement of the Bank and / or invoice or receipt of the Company.

In the event that the above account number is changed for whatever reason, I agree that this Letter shall be valid and enforceable for such changed deposit account accordingly.

This Letter shall be in full force and effect forthwith as from the date hereof and shall remain valid until written revocation is given to the Bank and the Company at least 1 month in advance.

Yours truly,

Signed.....the Account owner

(.....)

(As that given to the Bank)

For CGS-CIMB Securities (Thailand) Company Limited

I hereby certify that the signature of the applicant open trading account

Signed Authorized person

(.....)

For the bank

the Bank officer's verification

Signed.....Authorized person

(.....)

The list of documents application for opening account and / or the transaction relating to securities business			
Required Documents for Individual		Required Documents for Juristic	
☐	Copy of ID	☐	Juristic (Thailand): Registration certificate as a legal entity (Issued within 6 months)
☐	Copy of Passport	☐	Juristic (Foreign): Certificate of registration as a legal entity (Issued within 6 months)
☐	Copy of Alien Registration Card	☐	Government Organization / State Enterprise/ Other Government Organization
☐	A copy of Bank deposit account (pages containing the Client's name, the account number)	☐	Letter of intent in transactions
☐	A copy of financial evidence (Optional)	☐	Letter of appointment or Letter of authority
☐	A copy of certificate of the change of name and/or surname (if any)	☐	Co-operative / Foundation / Association / Club / Temple / Mosque / Shrine
☐	Other (if any)	☐	Letter of intent in transactions
	specify >	☐	Certificate of registration
	specify >	☐	Letter of appointment or Letter of authority
	specify >	☐	Sample of company's logo (if any)
	specify >	☐	Copy of ID, Passport, Alien Registration Card of Authorized Director
		☐	VAT Registration (VAT20) (if any)
		☐	List of shareholders' names
		☐	Minutes & Resolutions indicating details of account opening (if any)
		☐	Financial Statement
		☐	Other documents such as Form regarding the transaction for registering the establishment, Memorandum and articles of association
		☐	Letter of authority (if any)
		☐	Copy of ID, Passport, Alien Registration Card of Authorized Person

Please choose ✓ Authentication methods of applicant
☐ Applicant authentication in the presence of Investment Consultant
☐ Applicant authentication in the presence of staff assigned by the company Name-Surname > Staff ID >
☐ Applicant authentication in a digital process via National Digital ID (NDID)
☐ Applicant authentication via Identity Provider (IdP) (if any) specify >
Signature Investment Consultant (.....) Team/ Branch..... Date

I, (Name-surname)....., (the Granter/ Client), hereby to evidence of my consent for transaction (s) related to the securities business with **CGS-CIMB Securities (Thailand) Co., Ltd. "the Company"** with details as follows; I have already acknowledged

The Privacy Policy Notice on web link of the Company; <https://www.cimbsecurities.co.th/th/home/PrivacyPolicyNotice.aspx>

I acknowledge the rights to choices in providing my Personal Data with the Company. No matter for the choosing consent or not to consent my Personal Data with the Company, the use of basic service transaction of the Company will not be affected. Failure to provide such data may result the Company to be unable to open or maintain accounts or establish, provide or facilitate brokerage or securities or other relating business. The Company necessary to collect, use and/or disclose my Personal data from other sources, e.g. social media, third party's online platforms, and other publicly available sources for opening account, investments, executing transactions, trading, subscription, services providing the goods or products related to securities business, performing under contract both before entering and during the effective of the agreement with the Company, e.g. application for opening account, credit approval form or other request form, to comply with my instruction or requisition

The Company has set out the rights and choices to process my Personal Data to provide service as agency/brokerage securities trading, securities services, investment or product related to securities business. Hence, the Company requests my consent the collection, use, disclose and/or transfer my Personal Data as the purposes specified below;

1. I consent the Company to the collection, use and/or disclose my Personal Data for the purpose of marketing, special offers, sale promotions related to transactions, service providing the goods and products of the Company, CGS-CIMB Group, Company's service providers and/or business partners, by communication in form of documents information, electronic information, voice message, short message or image via letter, email, landline phone /mobile phone or via online channel, applications or other channel which will be available in the future.

☐ Consent

☐ Not consent

2. I consent the Company to the collection, use and/or disclose my Sensitive Data that is the Biometric data for the purpose of proof or identify, apply or use the Company's products and/or services e.g. facial recognition, iris scan and fingerprint scan.

☐ Consent

☐ Not consent

Note: For data about Know-Your-Customer (KYC), Customer Due Diligence (CDD), vulnerable customer, relationship among group of customers, including the Criminal records for the purpose of the Anti-Money Laundering, Counter-Terrorism and Proliferation of Weapon of Mass Destruction Financing under the provisions of the relevant Laws. The company is required to the collection, use and/or disclose for the specified purpose under the legal obligation and contractual basis only.

3. I consent the Company to disclose and/or transfer my Personal Data to **CGS-CIMB Group** whether in local or foreign country (s) for the purpose of processing personal data, data analysis, market research, development or propose services or products, audit, risk management, trust assessment, Group Company Supervision.

"CGS-CIMB Group" shall mean (i) CGS-CIMB Securities International PTE LTD and Affiliates; (ii) China Galaxy International Financial Holdings Limited, China Galaxy Securities Co., Ltd. and Affiliates; (iii) CIMB Group Holdings BERHAD, CIMB Group SDN BHD, CIMB Thai Bank Public Company Limited, Principal Asset Management Co., Ltd. and Affiliates; (iv) CGS-CIMB Securities SDN BHD and Affiliates.

☐ Consent

☐ Not consent

4. I consent the Company to disclose and/or transfer my Personal Data to Company's Service Providers and/or Business Partners whether in local or foreign country (s) for the purpose of complying with the contract related to the transactions, services or other products of company. Such Personal Data include account opening information, subscription of securities, investment, deposit, withdraw and transfer securities or assets, and the use of any services with company i.e. investment risk levels, investment history, investment value, movement of transactions, investment value in securities or other products at any particular time that invest by myself or as underlying securities obtained from conversion or delivered under the investment conditions and cross border trading.

Note: the company reserves the right to immediately suspend the Cross Border Trading accounts, if without consent to this clause 4.

"Business Partners" include CIMB Thai Bank Public Company Limited, Securities Company (as a brokerage or agent securities trading), Asset Management Company (as a trading agent the units trust) and Commercial Banks (as a brokerage or agent trading and/or the underwriting securities, bond and financial transaction)

☐ Consent

☐ Not consent

I acknowledge the right to withdraw my consent given to the company in accordance with the method specified by the company, unless there have any restrictions on the right to withdraw consent as stipulated by law or under the conditions of mutual agreement with the Company. IN WITNESS WHEREOF, we therefore sign this consent form.

Signature: the Granter/ the Client

Date:

CGS-CIMB Securities (Thailand) Co.,Ltd.

130 - 132 Sindhorn Tower 2, 2nd - 3rd Floor, and Sindhorn Tower 3, 12th Floor,
Wireless Road, Lumpini, Patumwan, Bangkok 10330
Telephone +66 2841 9000 , Fax +66 2841 9092

