

# Agreement to Appoint Securities Brokerage for Trading of Securities

Executed at \_\_\_\_\_

Date \_\_\_\_\_

This Agreement is made by and between TISCO Securities Company Limited addressed 4<sup>th</sup> floor, TISCO Tower, 48/8 North Sathorn Rd., Bangrak, Bangkok 10500 (hereinafter called "the Company") as the one part and

Mr./Mrs./Miss \_\_\_\_\_ age \_\_\_\_\_ years,  
addressed at \_\_\_\_\_  
\_\_\_\_\_ (hereinafter called "the Client") as the other part.

The Company and the Client hereby agree to enter into this Agreement with the following terms and conditions.

## Interpretation

1. In this Agreement, the word of

**"Securities"** means and includes treasury bills, bonds, bills, shares, debentures, investment units which are instruments or evidence representing the rights to the property of a mutual fund, certificates representing the rights to purchase shares, certificates representing the rights to purchase debentures, certificates representing the rights to purchase investment units, any other instruments as specified by the Office of the Securities and Exchange Commission which includes any other agreement and other instrument including benefits accrue in respect of such Securities.

**"Securities Exchange"** means and includes Securities Exchange of Thailand, Over-the-Counter Centre and Futures and Options Centre and any other centre for trading of the Securities.

**"Advances"** means any sum advanced by the Company on behalf of the Client for the payment of the purchased Securities or the subscription of the Securities, and fees or other incidental expenses incurred by the Company as the agent to purchase the Securities on behalf of the Client and any costs incurred by the Company in collecting any debts from the Client.

**"The Client"** includes any person designated or allowed by the Client to conduct the Securities trading.

**"Purchase"** includes the subscription for purchase of the Securities.

**"Securities Depository Center"** means a centre where the services for the deposit and withdrawal of Securities including related services for the purpose of account clearing are provided.

## Securities Trading

2. The Client agrees to appoint and authorize the Company to act as its broker and/or agent to purchase and/or sell of Securities both listed and non-listed in the Securities Exchange of Thailand. This Agreement is to be deemed as a power of attorney, and/or the power of attorney dated \_\_\_\_\_, shall authorize the company to perform any transaction stipulated in this agreement. The Client agrees to pay the company the remuneration at the rate prescribed by the Company in relation to the amount of Securities purchased and/or sold according to the Client's order including taxes, fees and expenses (hereinafter collectively called "Remuneration") to the Company, commencing from the date of execution of this Agreement.

The Authorization in the foregoing paragraph shall include the authorization to the Company to receive dividend, interest or any other benefit related to Securities for the Client and shall include to subscribe or to exercise the right pertaining to Securities by the Company in favour of the Client which the company has considered and deems fit to be done for the benefit of the Client.

3. The Client's order to purchase and/or sell Securities as to its name and price by verbal or in writing or by any mean of communication e.g. telephone, facsimile or any other manner in order to have the Company to perform the aforesaid purpose from time to time shall be subject to the provision of this clause. The order to purchase and/or sell Securities, shall be made in writing in form and substance satisfactory to the Company. For the urgent case, the order of the Client made by verbal or telephone, will be considered as the duly order of the

Client in accordance with this agreement when the Company expressly acknowledges such order and the Client agrees to accept the effect following by such order in all respects as if the Client makes such order by itself.

4. The parties agree and accept that the purchase and/or selling of Securities shall be done in accordance with the name, class, kind, amount and price of the Securities which is to be purchased and/or sold without specifying that to whom the Securities is to be sold or from where the Securities is to be purchased or who is holding such purchased or sold Securities or whether or not such Securities have any certain specification and when the Company has to receive or deliver Securities to purchaser, seller or the Client, it can be made with the Securities of the same class, kind and amount instead.

The Client agrees that purchasing or selling of Securities in accordance with the Client's order, the company may purchase from or sell to itself.

The parties agree that the Company has no obligation to comply with a purchase and/or selling order of the Client without notifying any reason. The Company shall have no responsibility to the Client if the Company is unable to purchase or sell Securities in accordance with the Client's order whether in whole or in part.

5. As to the trading of Securities, the Company allows the client to sell and/or purchase the Securities through the Company in accordance with this agreement within the amount not exceeding \_\_\_\_\_ Baht (\_\_\_\_\_). The Company has its sole discretion to increase or decrease such trading amount at any time without obtaining prior approval from the Client. The Client agrees to accept such increment or decrement, which the company need not notify the Client in advance.

The Company has a right to refuse the Client's purchase order which exceeds the trading amount permitted to the Client. The Client agrees to accept such refusal of the Company and will not claim for any damages or expenses from the Company.

#### **Order to purchase Securities**

6. In case that Client orders the Company to purchase Securities from time to time, the Client agrees and accepts to pay the price of Securities, according to the Client's order, including the remuneration, not later than the third business day next to the purchasing date or any other day on which Securities Exchange or the Company may prescribe. The amount of payment to the Company shall be calculated in accordance with Securities Purchasing Form as prescribed by the Company.

In the event that the Client pays the price of purchased Securities by cheque, it shall be deemed that the price of purchased Securities is paid on the date when the Company receives the money from the Client's cheque.

**If the Client defaults in the above-mentioned payment, the Client agrees to pay interest and penalty charge at the rate stipulated in clause 12 from the due date until the payment is actually made to the Company. Additionally, the Client grants the Company to forced-sell the Securities in the possession of the Company, including the right to subscribe Securities (if any) without any notification to the Client regardless that such Securities and/or right of subscription of Securities being sold by forced-sell are Securities and/or right of subscription of Securities which are involving to the default of Securities purchasing payment or are deposited or delivered in possession of the Company for any purpose or are to be forced-sell at what time. The Client agrees to compensate for all damages, interests and expenses incurred from such purchasing, default and forced-sell of Securities fully.**

7. Subject to the provision of the second paragraph herebelow, the Company will deliver Securities to the Client within four business day from the purchasing date of Securities or any other day specified by Securities Exchange or by the Company.

In case that the Company transfers Securities via the deposit account at the Securities Depository Center for deposition, withdrawal or transfer of Securities to the Client, or the Company keeps the purchased Securities in the account of the Company, according to the Client's order, it shall be considered that the Company has already delivered such Securities to the Client in accordance with the foregoing paragraph.

The Client hereby agrees and consents to the Company right to utilize the Securities of the Client, which are kept at the Company or deposited into deposit account of the Company, opened with Securities Depository Center, in accordance with the Client's order as specified in the second paragraph, for the purpose of the Company's performance whereby such execution of the Company shall cause no damage or loss to the Client.

### **Order to sell Securities**

8. In case that the Client assigns the Company to sell Securities.

(1) Subject to the provision of the second and the third paragraph herebelow, the Client is responsible to deliver Securities to the Company within 12.00 a.m. of the following business day from the selling date of such Securities or any other day specified by such Securities Exchange or by the Company.

In case that the Client transfers Securities via the deposit account at the Securities Depository Center for deposition, withdrawal or transfer of Securities to the Company, or the Client orders the Company to deliver Securities of the Client which has been kept in the account of the Company, it shall be considered that the Client has already delivered such Securities to the Company in accordance with the content of the foregoing paragraph.

In case that the Client has the Securities kept in the account of the Company (this shall include the Securities of the Client which the Company deposits with Securities Depository Center), the Client grants the Company to bring such kept Securities to be delivered.

**If the Client does not deliver Securities which the Client orders to sell, within the time prescribed in the first paragraph, the Company shall have the right to purchase the same kind of such Securities, from any persons or any place and any price in order to deliver it instead immediately or in any other period specified by the Company as it thinks fit and the Client agrees to be responsible in all respect for advances, remuneration and damages incurred by the Company as a result of the Client's failure to deliver its Securities.**

(2) The Company shall pay the price of sold securities to the Client on the third business day from the selling date. If the Client sells Securities which has been purchased in the same day, the Company shall pay the selling price of sold Securities to the Client on the fourth business day from the selling date or any other day specified by Securities Exchange or by the Company.

**In case that the Client sells the purchased Securities, while the payment of the purchase price has not been made to the Company yet, the Client shall be entitled to receive the sum from selling of such Securities after the Client has paid for the purchase price and remuneration of the purchased Securities. The Company will not set-off the purchase price with the selling price except in case of forced-sell by the Company or for closing of the Client's account.**

(3) The Company will pay the selling price of Securities by issuing cross cheque and specifying for account payee only or by transferring the amount of purchase price into the Client's deposit account or by spending such amount in purchasing the promissory notes of the finance company and stipulating the Client's name as a payee or by any other manners designated by Securities Exchange or by the Company.

**9. In case that the Client orders the Company to sell Securities, while the payment of the purchased Securities, any advance, remuneration or any other sum due to the Company has not been made yet. The Client shall completely make payment of such amount due to the Company, then the Company will pay the selling price of such sold Securities to the Client, the Company shall have an absolute discretion on this matter.**

### **Effect of contract**

**10. In case of forced-sell in accordance with Clause 6., the Client agrees to be bound by such forced-sell as it is sold in accordance with the Client's order and grants the Company to take the amount received from such forced-selling, after deduction of remuneration and other expenses, to set-off and/or deduct from all kinds of accounts of the Client which are due to the Company, and to take all by fruit or dividends incurred by the Securities, which the Company receives on behalf of the Client and under the Company's possession, to settle all kinds of indebtedness due to the Company until all these indebtedness have been discharged by the Client, without giving prior notice to the Client.**

11. For being the collateral in favour of the Company, the Client agrees to, on the execution date of this Agreement, deliver the promissory notes no. \_\_\_\_\_ issued by TISCO Finance Public Company Limited. Dated \_\_\_\_\_ in the amount of \_\_\_\_\_ (\_\_\_\_\_) in pledge to the Company as the collateral.

Such pledged promissory notes may be altered or modified whether by the reason of issuing or pledging a new negotiable instrument instead or increasing/decreasing, the amount of money, number of negotiable

instruments, whether as a result of the necessity to increase/decrease the amount of Advance in accordance with the term of this Agreement or any other causes, the Client confirms that such alteration or modification to the negotiable instrument shall have no effect to the pledge of negotiable instrument as a security hereof which shall always remain in full force and effect as it deems. The altered or modified negotiable instrument is pledged as long as the Client still has a liability with the Company and in case that the client does not endorse apparently the negotiable instrument to specify a pledge, redemption, or any other matter, the Client agrees that it shall be considered this clause as an authorization to the Company to endorse for pledge, redemption or any other act concerning negotiable instrument of the Client to be a security with the Company which it deems as the Client endorses by himself in all respects.

12. The Client agrees to pay the Company the penalty charge and interest on the outstanding indebtedness due to the Company in accordance with this Agreement at the maximum rate as prescribed in the announcement of the Company (At present, interest rate is at \_\_\_\_\_ percent per year which may be adjusted from time to time by the announcement of the Company) from the date of the default of payment by the Client until the full payment has been made to Company.

**13. In the event that the Client is deceased or becomes incompetent or quasi-incompetent or is sued or in any other cases which the Company thinks it is appropriate to protect the Company's benefit, the Client agrees and grants the Company to sell Securities or property or any other rights of the Client, which is in the possession instead of Securities which the Client has already ordered the Company to sell but does not deliver it to the Company as well and this shall not preclude the Company from its right to terminate the Client's account.**

**14. The purchasing or selling of any Securities or property or any other rights of the Client by the Company as a result of not complying with any provision of this Agreement, the Company shall have the right to do anything as it may think fit via Securities Exchange of Thailand or make public auction or trade Securities with any person or with the Company itself without prior notification to the Client and it is not necessary to inform or announce in advance or having to perform any other similar acts. The Client hereby grants the Company to bring the sale proceeds of such Securities to pay all kinds of indebtedness and expenses which the Client owes the Company at present and which may arise in the future whether by acceleration or not, and the Company shall have the right to set-off all kinds of the Client's indebtedness as it thinks fit, and the Client accepts to be bound to fully compensate all kinds of indebtedness to the Company.**

15. The Client agrees and grants the Company to be a member of Securities Depository Center in accordance with the Securities and Exchange Act or any other law which is promulgated and enforceable and to use services of such Securities Depository Center in relation to the Client's Securities. The Client grants the Company to Comply with all regulations, conditions, procedures and direction of Securities Depository center such as to disclose name, address and other details of the Client to Securities Depository Center, etc.

16. The Client agrees and accepts that he/she/it will not claim, sue or take any other action against the Company, in respect of any damage the Client sustained as a result of performing, or omitting to perform any act or by the fault of the Securities Exchange or any other person which is beyond control of the Company such as damages incurred from delay in receiving of Securities Certificate. For the benefit of this Agreement, it shall be deemed that the Client's Securities deposited in the securities depository account of the Company, which is opened with Securities Depository Center, is held and possessed by the Company itself.

17. This Agreement is an indefinite period contract, the Company is, at any time, entitled to terminate this Agreement immediately without prior notification to the Client. In case that the Client would like to terminate this Agreement, it should deliver the Company by a written notice at least 7 days in advance. This termination shall survive right and responsibility of parties which is existing prior to the effective termination of this Agreement.

18. In case that the Company grants the indulgence to any obligation of the Client in accordance with this Agreement or omits to exercise any right to terminate this Agreement, it shall be considered that such indulgence or omission operates only for such time.

19. The Company has the right, other than any other rights of the Company against the Client in accordance with this Agreement, to claim the Client for all and any damages and expenses the Company sustains in connection with or in relation to this Agreement or related to performance or omission of the Client or the Client's agent; including all damages and expenses the Company sustains as a result of being claimed or sued by

other person against the Company to be liable in connection with this Agreement, though it is not incurred by performance or omission or the fault of the Company.

20. All communication letters, demand letters, notices or any other letters sent to the Client’s address given in writing to the company, whether by registered or non-registered mail shall be deemed to be sent regardless whether there is a recipient or not. If they can not be sent because of the change of the Client’s address whereby the Client did not notify the Company in writing or can not be sent because of inability to find such address, it shall be deemed that the Client duly receives and acknowledges such communication letters, demand letters, notices or any other letters of the Company.

21. At any time after signing date, the Client allows the Company and/or its affiliated company to examine, receive and exchange the Client’s information or other relevant information including request for credit information report and any reference documents from Thai Credit Bureau Company Limited and any other juristic person or person that the Company may think fit, including to contact any data centre, use the Client’s information for the purpose of credit checking, marketing, administration and enable to disclose such information to the affiliated company of the Company. The Client undertakes that the Client’s consent shall not be revoked in all respects.

22. If, at any time, any provision of this Agreement is or becomes invalid or unenforceable in any respect, neither the validity nor enforceability of the remaining provision of this Agreement shall in any way be affected or impaired by the above.

23. The Client accepts that it completely understands and acknowledges about law, announcement, regulation or rule of Securities and Exchange Commission, Office of the Securities and Exchange Commission, Securities Exchange of Thailand, Official authority any authority of and the Company related to securities and Securities Exchange and the Client shall strictly comply including the amendment, modification, or addition to such law, announcement, regulation or rule.

In the case that any law, announcement, regulation or rule mentioned in the foregoing paragraph is amended, modified or added after the date of execution of this Agreement, the parties agree to accept such law, announcement, regulation or rule which is amended, modified or added unless otherwise prescribed by the Company.

However, the Company reserves the right to amend or add any condition of this Agreement as the Company may think fit without obtaining prior consent from the Client but the Company shall notify such amendment to the Client for acknowledgment and the Client agrees to comply strictly with such condition amended by the Company.

The Client completely understands content of this Agreement and signs in the presence of witnesses

\_\_\_\_\_The Client  
(\_\_\_\_\_)

\_\_\_\_\_The Company  
Authorized officer

\_\_\_\_\_Witness  
(\_\_\_\_\_)

\_\_\_\_\_Witness/Spouse  
(\_\_\_\_\_)

**TISCO Securities Company Limited**  
**4th Fl., TISCO Tower, 48/8 North Sathorn Rd., Bangrak, Bangkok 10500**

**Power of Attorney**

Date \_\_\_\_\_

I/We \_\_\_\_\_ Office/Address No. \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

hereby authorize TISCO Securities Company Limited (the "Company") addressed at 4th Fl., TISCO Tower, 48/8 North Sathorn Rd., Bangrak, Bangkok 10500, to be my/our lawful agent having a power to act on my/our behalf in the following matters:

1. To sell and buy shares and/or securities including to transfer, take a transfer, deliver and accept shares, share-certificates, documents showing the right over shares, and/or securities and, additionally, to cause the share certificates and/or securities belonging to me/us and/or being purchased by me/us to be the subject of any legal transaction made with any third party and/or the Company in my/our name and on my/our behalf.
2. To pay money, accept payments, accept dividend distribution, and, in addition, to make a payment for any debt incurred in the purchase and/or sale of the said shares in my/our name and on my/our behalf regardless of whether the payment is made to a third party or to the Company, and, in this connection, to be empowered to issue a receipt, to endorse cheques and/or other instruments used in the purchase and/or sale and/or to enter into any legal transaction relating to the shares and/or securities.
3. To sign on my/our behalf in any legal transaction and/or any instrument used in the purchase and/or sale and/or transfer and/or acceptance of transfer of the share and/or securities, including those pledged by me/us with the Company and/or others, and/or to give a notice revoking the pledge.
4. The Company hereof is hereby authorized to appoint any staff of the Company and/or any other person to be its substitute in order to do all things and acts hereby authorized including to revoke the delegation and/or substitution.
5. To arrange for the registration in the name of me/us of any shares or securities and to receive dividend and/or subscribe the newly issued shares on my/our behalf at the amount that is deemed appropriate to me/us.

I/We hereby agree to be responsible for all transactions made by the Company within the scope of the business specified herein and I/we shall not revoke and/or terminate this power of attorney unless I/we have paid for every amount incurred in the transaction hereby authorized to the Company or its staff in full or have a written consent from the Company.

\_\_\_\_\_  
**Customer**  
( \_\_\_\_\_ )

\_\_\_\_\_  
**TISCO Securities Company Limited**  
( \_\_\_\_\_ )  
Authorized Representative

\_\_\_\_\_  
**Witness**  
( \_\_\_\_\_ )

\_\_\_\_\_  
**Witness**  
( \_\_\_\_\_ )

# CUSTODIAN AGREEMENT

This Agreement is made at TISCO Securities Company Limited on \_\_\_\_\_ by and between: -

**TISCO Securities Company Limited**, whose head office is at 4th Floor, TISCO Tower, 48/8 North Sathorn Road, Silom Sub-District, Bangrak District, Bangkok 10500, (hereinafter referred to as the “**Company**”), as one part; and

\_\_\_\_\_, residing at No. \_\_\_\_\_

\_\_\_\_\_ (hereinafter referred to as the “**Customer**”) as the other part;

Whereas the Customer hereby appoints the Company to be a custodian of the Customer and both parties hereby agrees to enter into this Agreement with the following terms and conditions.

## **Interpretation**

1. Unless otherwise specified herein, the following words shall have the meaning as given herebelow: -

“**Properties**” means money, securities, other properties including any rights or benefit thereon, for example, right to receive dividend or interest, right to subscribe shares or right to participate and vote in shareholder meeting.

“**Office**” means the Office of Securities and Exchange Commission.

“**Securities Depository Center**” means the securities depository center specified by the securities and exchange law.

“**Securities Exchange**” means the Stock Exchange of Thailand, Over-the-counter center, futures and options center, Market for Alternative Investments and any other securities trading centers.

“**Subsidiary Company**” means a subsidiary company as defined in the Notification of the Securities and Exchange Commission on the rules, conditions and procedures of information disclosure on the financial status and performance of a company that issued securities.

“**Affiliate Company**” means an affiliate company as defined in the Notification of the Securities and Exchange Commission on the rules, conditions and procedures of information disclosure on the financial status and performance of a company that issued securities.

“**Parent Company**” means a parent company as defined in the Notification of the Securities and Exchange Commission on the rules, conditions and procedures of information disclosure on the financial status and performance of a company that issued securities.

“**Internet**” means a network which links computer and computer network around the world together regardless of its linkage style which can be either by a conductor, signal line, telephone line or satellite signal with a purpose to communicate, receive, emit, present or exchange statement, electronic information or other data.

“**Electronics Means**” means an electronic or electromagnetic application or any other similar methods. This shall include an application of light, magnetic or any other relevant equipments.

## **Keeping and monitoring of the Customer’s Properties**

2. The Customer hereby agrees to appoint the Company to keep and monitor the Customer’s Properties for the purpose of keeping and/or trading or borrowing and lending of his/her securities and/or being collateral against the Customer’s obligation under his/her securities trading or securities borrowing and lending and/or for any other purposes to the extent permitted by law whereby the Customer agrees to pay custodian fee as prescribed by the Company.

3. The Customer acknowledged and understood Properties withdrawal shall be made in writing in the form as specified by the Company and notify the Company in advance and also acknowledged any fees of service under this Agreement. In case of money withdrawal, the Company shall pay the withdrawn money to the Customer in a check payable in the Customer’s name or any other method as the Company thinks fit.

4. The Customer acknowledged and understood that in the event that the Company deposit the Customer's money with commercial bank or other bank which was established by specific law or invest in promissory note of finance company, such Customer's money or such invested money is guaranteed by the Financial Institution Development Fund. In case that the Customer's money is deposited with the Company, the Customer's money shall not be guaranteed by the Financial Institution Development Fund.

5. The Company shall not appoint or authorize other persons as sub-agent to conduct any transaction in accordance with this Agreement, except that, the Customer's securities are deposited to the Securities Depository Center or the Bank of Thailand or by consent of the Office.

6. Unless otherwise mutually agreed in writing, the Customer agrees that the Company is able to perform any acts to create, modify, transfer, preserve or extinguish rights of the Customer in relation to the Properties.

7. The Company is unable to use the Properties of one customer for benefit of other customer or other person or the Company unless the Customer gave his/her written instruction or consent to the Company.

8. The Customer hereby gives its consent to the Company to use right or benefit of the Customer or perform any necessary acts to enable the Customer to receive right or benefit arising from being an owner of securities or any instruments which are kept in the Company's custody from issuer within appropriate period.

9. The Company shall, on a monthly basis, deliver report showing Properties details to the Customer unless the Customer has no transactions, which affect the movement or modification to the Properties. In case that the Customer has no transactions for six (6) consecutive months, the Company shall deliver report showing Properties details to the Customer every six (6) calendar months.

#### **Classification of the Customer's Properties**

10. The Company shall classify the Customer's Properties according to the Notification of the Securities and Exchange Commission whereby performance of the following acts shall be deemed that the classification has been made,

#### **Money**

(a) The Company classifies money by depositing with the commercial bank; other bank established by specific law; investing in promissory note or investing in any other kinds of investment as specified by the Office which shall be expressly indicated in such deposit account or promissory notes or investment performed by the Company for the benefit of the Customer. In case the said deposit or promissory note has maturity date, such deposit or promissory note shall allow redemption before its maturity date.

(b) The Company classifies money by keeping in the Company's custody on condition that the Company shall expressly identify, that such money belong to the Customer.

#### **Securities**

(a) The Company classifies securities by depositing to the Securities Depository Center or the Bank of Thailand which shall expressly indicate that they are deposited by the Company for benefit of the Customer or;

(b) The Company classifies securities by keeping in the Company's custody on condition that the Company shall expressly identify, that such securities belong to the Customer.

#### **Other Properties**

The Company classifies these properties in a manner that the Company shall expressly identify, that such properties belong to the Customer.

11. Benefit, if any, derived from any of the Customer's Properties as agreed by both parties, in case that the Customer shall have the right to receive benefit from the Company, the Customer agrees that the Company shall be entitled, without written notice, to apply such benefit to repay fees, if any, or all kinds of the Customer's indebtedness he/she may owe to the Company. However, in case the Company deducts the Customer's benefit to repay such fee and there is still a shortfall, the Customer agrees to be responsible to repay it in full.

12. The Customer allows the Company to deposit money of the Customer with financial institution having direct or indirect relationship with the Company as a Parent Company, Subsidiary Company or Affiliate Company.

#### **Risk of Properties Depository**

(1) The Customer acknowledges and understands the risk of investment in securities trading in all respects, for example, variation of the Stock Exchange of Thailand index or variation of securities value and Properties value effected from modification in law, regulation or any related announcements or changes in taxation.



## APPLICATION FORM FOR INDIVIDUAL CLIENT

Client Code \_\_\_\_\_

Date \_\_\_\_\_

To : Managing Director  
TISCO Securities Company Limited

I would like to open a securities transaction account with your company  
whereby my personal details be given to you as in the followings.

### 1. PERSONAL RECORD

NAME MR./MRS./MISS \_\_\_\_\_ SURNAME \_\_\_\_\_

USERNAME FOR INTERNET TRADING \_\_\_\_\_

DATE OF BIRTH \_\_\_\_\_ AGE \_\_\_\_\_ YEARS NATIONALITY \_\_\_\_\_

CONTACT ADDRESS \_\_\_\_\_

\_\_\_\_\_

TEL. \_\_\_\_\_ FAX. \_\_\_\_\_

PERMANENT ADDRESS \_\_\_\_\_

\_\_\_\_\_

TEL. \_\_\_\_\_ FAX. \_\_\_\_\_

E-MAIL \_\_\_\_\_

OCCUPATION \_\_\_\_\_ OFFICE NAME \_\_\_\_\_

PRESENT POSITION \_\_\_\_\_ YEARS OF SERVICE \_\_\_\_\_

OFFICE ADDRESS \_\_\_\_\_

\_\_\_\_\_

TEL. \_\_\_\_\_ FAX. \_\_\_\_\_

MONTHLY INCOME \_\_\_\_\_ EXTRA INCOME / MONTH \_\_\_\_\_

SOURCE \_\_\_\_\_

### 2. MARITAL STATUS

SINGLE

MARRIED

DIVORCED / WIDOWED

SPOUSE' S NAME \_\_\_\_\_

SPOUSE' S OCCUPATION \_\_\_\_\_

OFFICE NAME & ADDRESS \_\_\_\_\_

\_\_\_\_\_

TEL. \_\_\_\_\_ FAX. \_\_\_\_\_

MONTHLY INCOME \_\_\_\_\_ EXTRA INCOME / MONTH \_\_\_\_\_

SOURCE \_\_\_\_\_

**3. HOUSE PROPERTY** SELF-OWNED LEASE

VEHICLE \_\_\_\_\_

OTHER PROPERTIES \_\_\_\_\_

\_\_\_\_\_

**4. TRADING WITH OTHER BROKERS** NEVER YES 1. BROKER \_\_\_\_\_ ACCOUNT TYPE \_\_\_\_\_ LINE \_\_\_\_\_ MM.

2. BROKER \_\_\_\_\_ ACCOUNT TYPE \_\_\_\_\_ LINE \_\_\_\_\_ MM.

3. BROKER \_\_\_\_\_ ACCOUNT TYPE \_\_\_\_\_ LINE \_\_\_\_\_ MM.

**5. REGULAR BANK USED**

BANK	BRANCH	TYPE OF A/C	NO. A/C	AMOUNT
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

**6. BECOMING CLIENT BY** INTRODUCED BY \_\_\_\_\_ NEWSPAPER \_\_\_\_\_ WEBSITE \_\_\_\_\_ OTHERS PLEASE SPECIFY \_\_\_\_\_**INVESTMENT PURPOSE** LONG-TERM INVESTMENT SHORT-TERM INVESTMENT**7. CONTACT**

CONTACT AND ORDER

 CALL HOME CALL OFFICE

CONFIRMATION \*

 OTHER \_\_\_\_\_\* INTERNET TRADING CLIENTS CAN CONFIRM THEIR ORDER THROUGH  
OUR WEB SITE.

SETTLEMENT

 ATS WITH BANK \_\_\_\_\_ OTHER \_\_\_\_\_

DOCUMENT MAILING

 HOME OFFICE

FROM TISCO OR/AND TSD \*

 OTHER \_\_\_\_\_

\* THAILAND SECURITIES DEPOSITORY COMPANY LIMITED

## 7. CONTACT

OTHER TELEPHONE TO CONTACT \_\_\_\_\_

IN CASE OF EMERGENCY AND NORMAL CONTACT IS NOT POSSIBLE, PLEASE CONTACT THE FOLLOWING  
PERSON INSTEAD.

NAME \_\_\_\_\_ WHO IS \_\_\_\_\_

ADDRESS \_\_\_\_\_  
\_\_\_\_\_

TEL. \_\_\_\_\_ FAX. \_\_\_\_\_

E-MAIL \_\_\_\_\_

We have thoroughly considered and understood the nature and risk of investment in derivatives and other instruments and we thoroughly understand that there is an investment risk in all kinds of Securities and no investment return is guaranteed. Moreover, we understand that warrant or other kinds of instruments have an expired date and we cannot +trade them after such date.

We hereby undertake that all the said information is true and correct at the date stated above providing that we shall inform your company in writing when such information has changed.

SIGNED \_\_\_\_\_

( \_\_\_\_\_ )

Date\_\_\_\_\_

The Managing Director  
TISCO Securities Company Limited  
4th Fl., TISCO Tower, 48/8 North Sathorn Road  
Bangrak, Bangkok 10500

Dear Sir,

**Subject : Delivery of share**

I/We \_\_\_\_\_ who has opened the securities transaction account with your company, do hereby instruct you to arrange all my/our share purchased under my/our account by

[ ] holding all share to facilitate the operation for due transaction settlement.

[ ] delivering all share to my/our custodian, namely\_\_\_\_\_

\_\_\_\_\_

In case I/We instruct you to keep my/our share at your company or to deliver them to my/our custodian, it shall be deemed as if the undersigned received them myself/ourselves.

Yours Sincerely,

\_\_\_\_\_

BK-M-98-032

บริษัทหลักทรัพย์ ทิสโก้ จำกัด  
TISCO SECURITIES COMPANY LIMITED



วันที่ \_\_\_\_\_  
DATE

บัตรตัวอย่างลายมือชื่อ  
SPECIMEN SIGNATURE CARD

เลขที่บัญชี \_\_\_\_\_  
CLIENT NO.

ชื่อลูกค้า  
CLIENT NAME

สถานที่ติดต่อ  
CONTACT ADDRESS

โทรศัพท์  
TEL.

โทรสาร  
FAX.

ตัวอย่างลายมือชื่อ (เซ็นชื่อ 2 ครั้ง) SIGNATURE (SIGN TWICE)		ตัวอย่างตราประทับ COMPANY SEAL
		ลงชื่อต่อหน้าเจ้าหน้าที่ <hr/>
		( )

## LETTER OF CONSENT FOR DEBIT ACCOUNT

At \_\_\_\_\_

Date \_\_\_\_\_

To: The Manager of (Bank) \_\_\_\_\_ (the "Bank"), Branch \_\_\_\_\_

I, \_\_\_\_\_, the owner of the [ ] Savings [ ] Current  
Account No. \_\_\_\_\_ Account Name \_\_\_\_\_  
Contact Address No. \_\_\_\_\_ Trok/Soi \_\_\_\_\_ Road \_\_\_\_\_  
Tumbol/Kwang \_\_\_\_\_ Amphur/Khet \_\_\_\_\_ Province \_\_\_\_\_  
Tel. \_\_\_\_\_,

Request the Bank to debit my aforesaid account and credit the same amount to the bank account of TISCO Securities Co., Ltd. (hereinafter "the Company"), in the amount as shown in the diskette, uploaded data, or any other means of communication which the Bank receives from the Company, as payment for goods, services or any obligations due to the Company.

For the said debit to my account as payment of the debt due to the Company, should it appear later that the amount which the Company notified to the Bank is incorrect and that Bank has already debited the sum equivalent to the amount stated in the diskette, uploaded data, or any other means of communication, I agree to claim such amount from the Company directly. I hereby waive my right to claim or sue the Bank to reimburse me the sum which the Bank has debited and credited to the account of the Company. I agree that the Bank shall debit only when the cash in my account is available at that time. I also waive notice of such debit because I will be able to receive all details from the passbook or bank statement issued by the Bank, or the invoice or receipt issued by the Company.

In case that the account number mentioned above has been changed for whatever reason, this letter of consent shall remain valid and enforceable for such account.

I hereby certify that the debit to my account hereunder is made in accordance with my request. I agree to be liable for all actual damages incurred should there be any damage or fault incurred to the Bank or the Company or both.

The debit to my account shall be immediately valid upon entering into this letter of consent and shall be in full force and effect until my written instruction to revoke this letter of consent is given to the Bank and the Company.

Sincerely yours,

Signed \_\_\_\_\_ Consenting party  
/Account owner  
(as that given to the Bank)

Certified that the consenting party  
has opened account with the Company

Certified correct account and true signature of consenting party  
Bank \_\_\_\_\_ Branch \_\_\_\_\_

Signed \_\_\_\_\_  
TISCO Securities Co.,Ltd.  
Client Account No. \_\_\_\_\_

Signed \_\_\_\_\_  
Authorized signature of The Bank

## LETTER OF CONSENT FOR DEBIT ACCOUNT

At \_\_\_\_\_

Date \_\_\_\_\_

To: The Manager of (Bank) \_\_\_\_\_ (the "Bank"), Branch \_\_\_\_\_

I, \_\_\_\_\_, the owner of the [ ] Savings [ ] Current  
Account No. \_\_\_\_\_ Account Name \_\_\_\_\_  
Contact Address No. \_\_\_\_\_ Trok/Soi \_\_\_\_\_ Road \_\_\_\_\_  
Tumbol/Kwang \_\_\_\_\_ Amphur/Khet \_\_\_\_\_ Province \_\_\_\_\_  
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Sincerely yours,

Signed \_\_\_\_\_ Consenting party  
/Account owner  
(as that given to the Bank)

Certified that the consenting party  
has opened account with the Company

Certified correct account and true signature of consenting party  
Bank \_\_\_\_\_ Branch \_\_\_\_\_

Signed \_\_\_\_\_  
TISCO Securities Co.,Ltd.  
Client Account No. \_\_\_\_\_

Signed \_\_\_\_\_  
Authorized signature of The Bank

## LETTER OF CONSENT FOR DEBIT ACCOUNT

At \_\_\_\_\_

Date \_\_\_\_\_

To: The Manager of (Bank) \_\_\_\_\_ (the "Bank"), Branch \_\_\_\_\_

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Account No. \_\_\_\_\_ Account Name \_\_\_\_\_  
Contact Address No. \_\_\_\_\_ Trok/Soi \_\_\_\_\_ Road \_\_\_\_\_  
Tumbol/Kwang \_\_\_\_\_ Amphur/Khet \_\_\_\_\_ Province \_\_\_\_\_  
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Sincerely yours,

Signed \_\_\_\_\_ Consenting party  
/Account owner  
(as that given to the Bank)

Certified that the consenting party  
has opened account with the Company

Certified correct account and true signature of consenting party  
Bank \_\_\_\_\_ Branch \_\_\_\_\_

Signed \_\_\_\_\_  
TISCO Securities Co.,Ltd.  
Client Account No. \_\_\_\_\_

Signed \_\_\_\_\_  
Authorized signature of The Bank

## LETTER OF CONSENT FOR DEBIT ACCOUNT

At \_\_\_\_\_

Date \_\_\_\_\_

To: The Manager of (Bank) \_\_\_\_\_ (the "Bank"), Branch \_\_\_\_\_

I, \_\_\_\_\_, the owner of the [ ] Savings [ ] Current  
Account No. \_\_\_\_\_ Account Name \_\_\_\_\_  
Contact Address No. \_\_\_\_\_ Trok/Soi \_\_\_\_\_ Road \_\_\_\_\_  
Tumbol/Kwang \_\_\_\_\_ Amphur/Khet \_\_\_\_\_ Province \_\_\_\_\_  
Tel. \_\_\_\_\_,

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Sincerely yours,

Signed \_\_\_\_\_ Consenting party  
/Account owner  
(as that given to the Bank)

Certified that the consenting party  
has opened account with the Company

Certified correct account and true signature of consenting party  
Bank \_\_\_\_\_ Branch \_\_\_\_\_

Signed \_\_\_\_\_  
TISCO Securities Co.,Ltd.  
Client Account No. \_\_\_\_\_

Signed \_\_\_\_\_  
Authorized signature of The Bank

Date \_\_\_\_\_

Re: Payment by TISCO Securities Company Limited.

Dear Managing Director  
TISCO Securities Company Limited.

Whereas I \_\_\_\_\_ client of TISCO Securities Co., Ltd. with the securities-trading account number \_\_\_\_\_ would like your company to handle the proceeds from sales of stocks and/or other proceeds on my behalf according to the details stated below. The instruction will be effective starting on the above-mentioned date, until further instructions stating otherwise.

Deposit money into my account at the followings:

Bank Name \_\_\_\_\_ Branch \_\_\_\_\_

Type of A/C \_\_\_\_\_ A/C Number \_\_\_\_\_

*\*Please submit photocopy of bank statement bearing account name, bank name, number of a/c, type of a/c, and branch verifying true copy.*

I agree that TISCO shall have the right to claim from all of my damages and expenses sustain incidental to, or in relation to, this instruction, and my agent's act or refrain from acting.

Sincerely yours,

\_\_\_\_\_  
( \_\_\_\_\_ )

For official use only:

AS400 input by			Report dated / ATS effective date
SETTLEMENT	CREDIT CONTROL	CASHIER	
_____	_____	_____	_____/_____

BK-M-02-008