



TISCO Securities Co., Ltd.  
**Customer Information Form**

Branch \_\_\_\_\_

Date \_\_\_\_\_

**Personal Information**

(For Individual)

**Name-Surname**

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

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

**Nationality**

☐ Thai ☐ Other (Please Specify) \_\_\_\_\_

**Marital Status**

☐ Single ☐ Married

**Thai National ID Card No. / Passport No.**

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**Contact Information**

Home \_\_\_\_\_ Facsimile \_\_\_\_\_

Mobile \_\_\_\_\_

Email \_\_\_\_\_

**Home Registration Address / Permanent Address**

☐ Same as Thai National ID Card Address ☐ Other (Please Specify) \_\_\_\_\_

No. \_\_\_\_\_ Building / Village \_\_\_\_\_

Soi \_\_\_\_\_ Road \_\_\_\_\_

Sub-District \_\_\_\_\_ District \_\_\_\_\_

Province \_\_\_\_\_ Postal Code \_\_\_\_\_

**Current Address**

No. \_\_\_\_\_ Building / Village \_\_\_\_\_

Soi \_\_\_\_\_ Road \_\_\_\_\_

Sub-District \_\_\_\_\_ District \_\_\_\_\_

Province \_\_\_\_\_ Postal Code \_\_\_\_\_

**Occupation**

☐ Employee ☐ Civil Servant ☐ Business Owner / Partner

☐ Retired ☐ Other \_\_\_\_\_

Name of Employer \_\_\_\_\_

Position \_\_\_\_\_

Business Type \_\_\_\_\_

No. \_\_\_\_\_ Building / Village \_\_\_\_\_

Soi \_\_\_\_\_ Road \_\_\_\_\_

Sub-District \_\_\_\_\_ District \_\_\_\_\_

Province \_\_\_\_\_ Postal Code \_\_\_\_\_

Tel. \_\_\_\_\_ Facsimile \_\_\_\_\_

**Monthly Income (Baht)**

☐ Below 15,000 ☐ 15,001 – 30,000 ☐ 30,001 – 50,000

☐ 50,001 – 100,000 ☐ 100,001 – 500,000 ☐ 500,001 – 1,000,000

☐ More than 1,000,000

**In case of business owner / partner**

Registered Capital \_\_\_\_\_ Million Baht Shareholder Ratio \_\_\_\_\_ %

**Contact Person**

In case of emergency and normal contact is not possible

1. Name-Surname \_\_\_\_\_ Relationship \_\_\_\_\_

Contact Number \_\_\_\_\_

Email \_\_\_\_\_

2. Name-Surname \_\_\_\_\_ Relationship \_\_\_\_\_

Contact Number \_\_\_\_\_

Email \_\_\_\_\_

**Mailing Address**

☐ Same as Thai National ID Card Address ☐ Same as House Registration Address

☐ Same as Office Address ☐ Same as Current Address

☐ I wish to receive news, any information of product and other services of TISCO Securities Co., Ltd. via electronic means.

**Other Information**

**Purpose of Opening a Securities Trading Account**

☐ Investment ☐ Other \_\_\_\_\_

**Source of funds (You may select more than 1 response)**

☐ Savings ☐ Salary ☐ Business

☐ Inheritance ☐ Investment Income

**Do you have a source of funds from overseas?**

☐ No

☐ Yes (Please specify) \_\_\_\_\_

**Politician or related with foreign politician?**

☐ No

☐ Yes (Please specify) \_\_\_\_\_

**Are you TISCO Group employee?**

☐ No

☐ Yes, Company \_\_\_\_\_ Function \_\_\_\_\_

**Do you have relationship with TISCO group employee?**

☐ No

☐ Yes, Name-Surname \_\_\_\_\_

Company \_\_\_\_\_ Relationship \_\_\_\_\_

➤ I hereby accept and confirm that all above information is true and correct in all respect, I will inform TISCO immediately if such information or any detail has change.

Signed  \_\_\_\_\_ Customer

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

Customer's Signature

I hereby certify that customer has executed their signature in the presence of me.

Signed \_\_\_\_\_ Marketing officer

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

Date \_\_\_\_\_



TISCO Securities Co., Ltd.  
**Application Form-Equity**

Account Name \_\_\_\_\_

Securities Trading Account Number \_\_\_\_\_

I would like to open a securities transaction account with TISCO Securities Co., Ltd. ("Company") and hereby provide my personal details as follows:

**Type of Account** Please choose type of account and specify credit line for securities trading (credit line only)

☐ **Cash Balance**

☐ Trading via Marketing Officer ☐ Trading via Internet

☐ **Credit Line**

☐ Trading via Marketing Officer ☐ Trading via Internet

\_\_\_\_\_ Baht \_\_\_\_\_ Baht

☐ Other \_\_\_\_\_

(Customers who trade via internet will be contacted and receive information by TISCO Securities through the email specified in the Customer Information Form)

**Method of receiving money and/or making payment to the Company**

I would like to inform the detail of my owned bank account for receiving money from and/or making payment of securities trading and/or any other obligations thereof, including depositing money for pledging as collateral for securities trading, cash receiving from sale proceeds, dividends and interest from debentures, options, and/or any other cash receiving via the Automatic Funds Transfer System (ATS) with TISCO Securities Co., Ltd. ("the Company") as follows:

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

Account No. \_\_\_\_\_

which I have applied for the Automatic Funds Transfer System (ATS) by

- ☐ Letter of Consent for Debit Account
- ☐ ATM / Mobile Banking / Internet Banking
- ☐ Complete Registering with the Bank through the Company

\* The ATS service will be valid after the Company gets the confirmation of application of ATS service from the Bank.

\* In the case that the bank could not debit or credit to the bank account or there's any necessary event, the Company would consider any alternative methods as deem appropriate.

\* The name of bank account must be the same as the trading account opened with the Company. Joint accounts would not be allowed.

**Other Information**

**In the case of retiree**

Please specify occupation before retirement \_\_\_\_\_

Years Worked \_\_\_\_\_ Years

**In the case years worked is less than 1 year,**

**please specify former employer** \_\_\_\_\_

Business Type \_\_\_\_\_

Position \_\_\_\_\_ Years Worked \_\_\_\_\_ Years

**Accounts with other Banks or Financial Institutions**

1. Bank/Financial Institution \_\_\_\_\_

Account Type \_\_\_\_\_

Amount of Deposit/Loan Credit \_\_\_\_\_ Baht

Account Opened \_\_\_\_\_ Year

2. Bank/Financial Institution \_\_\_\_\_

Account Type \_\_\_\_\_

Amount of Deposit/Loan Credit \_\_\_\_\_ Baht

Account Opened \_\_\_\_\_ Year

**If your spouse is holds an account at TISCO**

Name-Surname \_\_\_\_\_

**Order Confirmation**

- Trading via Internet Order confirmations can be confirmed via website and Email

- Trading via Marketing Officer

- ☐ Home Phone ☐ Office Phone ☐ Mobile Phone
- ☐ At Trading Room ☐ Email ☐ Other \_\_\_\_\_

**e-Statement and e-Portfolio Request**

☐ **I wish to**

apply TISCO Securities e-Statement and e-Portfolio ("ESP") service for viewing trading portfolio and using other service related to ESP service. I agree to be bound with and acknowledge terms and conditions of ESP service specified and/or will specified by Company in present and in the future.

☐ **I do not wish to apply**

**SPECIMEN SIGNATURE CARD  
FOR CUSTOMER**



I hereby accept and confirm that all above information is true in all respect and I understand and acknowledge relevant laws, rules, regulations and notifications of the commission members of the Securities and Exchange Commission, The Office of Securities and Exchange Commission, government agencies, Thailand Clearing House, the Stock Exchange of Thailand, the Company or any other agencies in relation to securities trading and agree to strictly comply with all laws, rules, regulations and notifications applicable to securities trading and, in this regard, I allow the Company to inspect and disclose my information to the Securities and Exchange Commission, the Office of Securities and Exchange Commission, government agencies, Thailand Clearing House, the Stock Exchange of Thailand, or any other relevant agencies.

Signed  \_\_\_\_\_ Customer  
( \_\_\_\_\_ )  
Customer's Signature

# Agreement to Appoint Securities Brokerage for Securities Trading and Custodian Agreement

## 1. Interpretation

Unless otherwise specified herein, in this Agreement,

**"Company"** means TISCO Securities Company Limited.

**"Statement"** includes statements or facts whether they appear in the form of text, figure, voice or photograph or in any other forms which have meaning in itself or through any other methods.

**"Commission Fee"** means a fee the Company receives as an agent and/or broker for a customer at the rate determined by the Company or the relevant laws which shall include taxes, fees, duties and any other expenses which may be incurred.

**"Customer's Money"** means an aggregate of

- (1) a net balance of money which the Customer keeps at the Company in a minimum amount determined by the Company and any additional money placed by the Customer subsequently to facilitate the Customer's securities trading; and
- (2) money received from the sale of Securities and other income related to the securities trading which the Customer actually receives; for example, dividend and remuneration which the Customer is entitled to and interest and/or benefits incurred from such sum, deducted by an aggregate of the price of Securities being purchased which is due for payment and other expenses related to the Customer's purchase of Securities whether or not they have already been paid; such as subscription fee to the capital-increasing shares, warrants, other Securities and the fee for keeping the Customer's Money in custody. However, money received from the sale of Securities and other income related to the Customer's Securities trading not yet received shall not be included for calculation.

**"Advances"** means any sum advanced by the Company on behalf of the Customer to pay for the purchase price of Securities or the subscription price thereof, fees or other incidental expenses incurred from the purchase of Securities on behalf of the Customer and any cost incurred by the Company in collecting debts from the Customer.

**"Trading"** means purchasing and/or selling securities in or out of the Securities Exchange. The purchase including customer purchase or purchase by Company or in the name of Customer as an agent/broker or any agreement described herein and including the subscription Securities.

**"Securities Exchange"** includes the Stock Exchange of Thailand, Thailand securities trading center, futures market, Market for Alternative Investments and any other securities trading centers.

**"Property"** means cash, securities other asset and any benefit which occurs by said property, such as rights, dividend or interest, rights to buy the increase capital shares, rights to enter and vote at the shareholder's meeting.

**"Service"** means the Company's service under this Agreement offered via Marketing Officer and/or Internet and/or other Electronic Means.

**"Affiliated Company"** means a main company, subsidiary company and co-company as defined in the Notification of the Securities and Exchange Commission on the Filing Exemption for Filing of Registration Statement for Offer for Sale of Securities.

**"Credit Line Account"** means an account which the Customer uses for trading securities, within the approved Credit Line, with the Company.

**"Cash Balance Account"** means a cash account that is used for trading securities with the company for which the Customer has deposited money in advance to the Company before trading the securities.

**"Customer Cash Account"** means the Customer cash account that the Company receives for the Customer's securities trading purpose, which the Company has separated from other company property, followed by the Notification of the Securities and Exchange Commission and/or other relevant notification.

**"Customer"** means any person who has appointed the Company to be agent and/or broker instead of him/herself, including any person designated or allowed by the Customer to conduct the Securities Trading on behalf of the Customer.

**"Thailand Clearing House"** means a Clearing House pursuant to the Law of the Securities and Exchange.

**"Thailand Securities Depository"** means a Security Depository Center pursuant to the Law of the Securities and Exchange.

**"The Office"** means the office of Securities and Exchange Commission.

**"Securities"** includes any or all of treasury bills, bonds, bills, shares, debentures, investment units which are instruments or evidences representing the rights to the property of the mutual fund, warrants representing the right to purchase shares, warrants representing the right to purchase debentures, warrants representing the right to purchase investment units, warrants representing the right to purchase derivative, any other instrument as specified by the Office of the Securities and Exchange Commission including any other agreement and other instruments together with benefit accrue in respect of such 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.

**"Electronic"** means an electronic or electromagnetic application or any other similar methods. This shall include an application of light, magnetic or any other relevant equipments.

## 2. Securities Trading

2.1 The Customer agrees to appoint and authorize the Company to act as its broker and/or agent to purchase and/or sell the Securities including the following matters.

2.1.1 Purchase and/or sell the Securities in and outside the Securities Exchange whereby the trading and any transaction related thereto shall be done by written, oral, telephone, facsimile, Internet or Electronic Means.

2.1.2 Transfer, accept transfer, keep, deliver, accept delivery of Securities, a certificate of Securities, share transfer agreement and/or any Securities and to take the certificate of Securities belonging to and/or bought by the Customer, to enter into the juristic act with Thailand Securities Depository and/or a Securities Exchange or the Other Authorities and/or with the Company and/or with its agent.

2.1.3 Make a payment, receive payment, dividend, interest or any other benefits related to the Customer's Securities and pay all the debts incurred from or related to the buying and/or selling of Securities whether it is the payment to the third party or to

- the Company; issue a receipt, endorse a check and/or instrument resulted from the purchase and/or sales and/or any juristic act entered related to the Securities.
- 2.1.4 Sign documents for any juristic act and/or all instruments related to the purchase; and/or sale and/or transfer and/or acceptance of transfer and/or pledge and/or redemption of any Securities which the Customer has pledged with the Company and/or other persons and/or notify to terminate the pledge.
- 2.1.5 Appoint the Company's staff and/or other persons as the sub-agent to conduct any transaction for the Company in accordance with this Agreement including to terminate the appointment of sub-agent.
- 2.1.6 Notify the securities registrar to nominate the Company or the person stipulated thereby to hold shares on behalf of the Customer and to allow the Company to subscribe or exercise any right in the Securities for the Customer in accordance with Customer's existing rights.
- 2.2 The Customer agrees to pay the Commission Fee, defined by the Company, to the Company. The payment shall be made, from the signing date of this Agreement onward, calculated by a proportion of the purchase and/or sale of any Securities in accordance with the Customer's order.
- 2.3 Before making a purchase and/or sale order through the Company, the Customer must fill in and sign this Agreement, the application form for securities trading account and other relevant documents as determined by the Company. This includes the delivery of supporting documents and placing money at the Company as determined thereby in full amount. When the Company examines this Agreement, the application form for securities trading account and other supporting documents and deems it appropriate to open an account for the Customer, the Company will inform the Customer the account number and allow the Customer to send the purchase and/or sale order.
- 2.4 When making a purchase and/or sale order, the Customer must comply with the procedures stipulated in this Agreement and in the form the Company has stipulated or will be stipulated for a transaction.
- 2.5 When making any purchase and/or sale order of any Securities at any price, the Customer shall send such order to the Company by written, oral, telephone, facsimile, Internet and/or Electronic Means or e-mail which the Customer has informed the Company or any other manner in order to have the Company to perform the aforesaid purpose from time to time.  
In case that the order of the Customer made by verbal, telephone or facsimile, it shall be considered as the duly order of the Customer in accordance with this Agreement upon the Company expressly acknowledges, without any doubt, such order.  
In case that the Customer sends order to purchase and/or sell Securities via Internet and/or Electronics Means by using the username and password as determined and notified in advance to the Customer by the Company. It shall be deemed the duly order of the Customer upon the Company's computer system verifies and accepts such order.  
If the Customer's order to sell or purchase is made in accordance with the provision of clause 2.5, the Customer agrees to accept the effect following by such order in all respects as if the Customer makes such order by itself.
- 2.6 As to trading of Securities, the Company allows the Customer to sell and/or purchase the Securities through the Company only 2 type of account which is Credit Line Account and Cash Balance Account. In the Credit Line Account the Customer can sell and/or purchase within the amount not exceeding \_\_\_\_\_ Baht (\_\_\_\_\_).  
In the Cash Balance Account the trading limit shall be equal to the Customer's Money (as described in the Interpretation herein) at the time of trading. The Company has the sole discretion to increase or decrease such trading amount at any time without obtaining prior approval from the Customer and the Customer agrees to accept such increment or decrement, regardless of prior notice given by the Company to the Customer.  
Before securities trading with cash, however, the Customer shall deliver or place property as security to the Company for secure against the payment of the securities' price or any relevant obligation for the Cash Balance Account, which shall not less than the rate as defined by the Securities Exchange.  
The property which the Customer may deliver or place to the Company as prescribed in the preceding paragraph includes cash, price paid listed securities and/or other securities pursuant to the Office's notification about loaning for securities purchasing and lending securities to the non-institute customer for short sale, and any property described by the Securities Exchange. The Customer shall pledge and register the pledge securities by form and method designated by the Company and provision as specified in clause 7. shall be used for secured property, mutatis mutandis. The property secured against securities trading may bring to the auction, enforce or seize to pay for the customer's debt until the Company has received all payment.  
The Company has the right to refuse a Customer's purchase order which exceeds the trading amount permitted to the Customer. The Customer agrees to accept such refusal of the Company and will not claim for any damages or expenses from the Company.
- 2.7 The Customer agrees that the order to sell and/or purchase the Securities will be made on the basis of the name, class, type, amount and price of those to be purchased and/or sold only without specifying that to whom or from whom the Securities is sold or purchased or who will hold the Securities or whether or not such Securities has certain specification. When the Company has receive or deliver the Securities to the purchaser, the seller or the Customer, it may do so with the Securities of the same class, type and amount.
- 2.8 The Customer agrees that the sale or purchase of Securities by the Customer's order, may allow the Company to sell or purchase with itself.
- 2.9 The parties agree that the Company has no obligation to take a purchase and/or sale order from the Customer all the times without having to notify any reason. The Company shall have no responsibility to the Customer if it is unable to buy or sell the Securities in accordance with the Customer's order whether in whole or in part.
- 2.10 In case the Customer has opened the Securities trading account with more than one account, Credit line account or Cash account or any other account with the Company more than one account, the Customer agrees and allows the Company to use benefit occurs from each Securities trading or the selling price or the dividend from each account, whether Credit line account or Cash account, to make a payment for other account.
- 2.11 The Customer agrees to deem that this Agreement is an authorization and a power of attorney for the Company to act in accordance herewith. This including giving a consent to the Company to make a subscription of Securities or execute any rights in any Securities to the Customer, according to the Customer existing right, in case the Company has considered that such acting is the profit of the Customer. The Customer hereby agrees to be responsible for all transactions made by the Company within the scope of the business specified herein and the Customer shall not revoke and/or terminate this power of attorney unless the Customer 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.

- 2.12 The Company reserves the right not to do things stipulated above from time to time or permanently in case the action may cause the Company to violate the law, or the Company has no personnel or operation system to accommodate the transaction, or the transaction may cost the Company inappropriate expense or violate the Company's policies, or the Customer cannot or will not reimburse any expense or Advance to the Company for the transaction, or the Customer does not provide any money in accordance with the Agreement, or the Customer fails to comply with any agreement or covenant entered with the Company or the Company's rules or policies or any other reasons deemed appropriate thereby.

### **3. Order to Purchase Securities**

- 3.1 In case that the Customer, in the Credit Line Account, orders the Company to purchase Securities, the Customer agrees and accepts to pay the price of Securities, according to the Customer's order, including the Commission fee, at least on the day which the Securities Exchange or the Company may describe. The amount payable to the Company shall be calculated in accordance with Securities purchasing form as prescribed by the Company.
- In case of a Cash Balance Account, the Customer agrees and accepts to pay the price of Securities and the Commission fee to the Company, at least on the business day before sending the purchase order or on the day which the Securities Exchange or the Company may describe. After the Company has purchased the Securities for the Customer, the Customer agrees to pay an amount equal to an aggregate amount of the securities price and Commission fee to the Company which will deduct from the sum which has been placed within the Customer Cash Account equal to the securities price and Commission Fee within the day which the Securities Exchange or the Company may describe. However, if the Customer does not place money to the Company as described, the Company shall deduct the money from the Customer's money account (if any) within the period described by the Securities Exchange or the Company.
- In the event that the Customer make the payment of the Securities by check or the Customer's Money has been placed by check, it shall be deemed that the Customer deposits money on the date the bank collects the money from the Customer's check.
- If the Customer defaults in above-mentioned payment, the Customer agrees to pay interest at the rate stipulated in Clause 8.3. from the due date until the payment is actually made to the Company. Additionally, the Customer grants the Company the right to force sell the Securities in the possession of the Company, including the right to subscribe Securities (if any) without any notification to the Customer regardless that such Securities and/or right of subscription of Securities being sold by force sale 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 force sale at what time. The Customer agrees to compensate for all damages, interest and expenses incurred from such purchasing, default and force sale of Securities fully.
- 3.2 Subject to the provision of the second paragraph here below, the Company will deliver securities to the Customer on the day specified by the Securities Exchange or by the Company. The Customer acknowledges and understands all rules and regulations imposed by the Securities Exchange in connection with settlement and securities delivery system. The Customer further acknowledges that there is a risk which the Customer may not receive securities ordered as a result of the seller's failure in delivery or of any other reason and, in this regards, the Customer hereby consents the Company to proceed, with notification to the Customer, as it deems appropriate in order to enable the Customer to receive monies instead.
- In case that the Company transfers securities via the deposit account at the Thailand Securities Depository for deposition, withdrawal or transfer of Securities to the Customer, or the Company keeps the purchased Securities in the account of the Company, according to the Customer's order, it shall be considered that the Company has already delivered such Securities to the Customer in accordance with the foregoing paragraph.
- The Customer agrees and grants the Company the right to use the Customer's Securities, keeping them at the Company or depositing with the Company's deposit account opened with Thailand Securities Depository under the Customer's order as specified in the second paragraph of this Clause, in any performance of the Company's transactions whereby such performance of the Company shall not cause any damages or losses to the Customer.
- 3.3 When purchasing Securities, the Customer shall send purchase orders for an amount not exceeding the trading limit.

### **4. Order to Sell Securities**

- 4.1 Subject to the provision of the second and the third paragraph here below, the Customer 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 the Securities Exchange or the Company. In the case that the Customer send the selling order via Internet and/or Electronic Means, the Customer shall deliver the Securities in the amount not less than amount according to relevant selling order to the Company within the business day before the day that Company will sell such Securities or any other day specified by the Securities Exchange or the Company.
- In case that the Customer transfers securities via the deposit account at the Thailand Securities Depository for deposition, withdrawal or transfer of securities to the Company, or the Customer orders the Company to deliver Securities of the Customer which has been kept in the account of the Company, it shall be considered that the Customer has already delivered such Securities to the Company in accordance with the content of the foregoing paragraph.
- In case that the Customer has the Securities kept in account of the Company (this shall include the Securities of the Customer which the Company deposits with Thailand Securities Depository), the Customer grants the Company to bring such kept Securities to be delivered.
- If the Customer fails to deliver Securities which the Customer orders to sell, within the period prescribed in the first paragraph of this Clause, the Customer agrees that the Company shall have the right to purchase or procure, by any means, 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 Customer agrees to be responsible in all respect for Advances, remuneration and damages incurred by the Company as a result of the Customer's failure to deliver its Securities.
- 4.2 The Company shall pay the selling price of sold Securities to the Customer on the day specified by the Securities Exchange or the Company.
- In case the Customer has not yet paid the price of Securities, Advance, Commission Fee, money or sum due to the Company, the Customer shall fully pay such price, Advance, Commission Fee, money or sum due to the Company first. Then, the Company will pay the money received from the sales of Securities to the Customer or the Company shall withhold such money to paid for

the obligations which the Customer owed to the Company. This however shall solely remain under the Company's absolute discretion.

- 4.3 The Company shall pay the price of sold Securities by issuing cross check and specifying for account payee only or by transferring the amount of purchase price into the Customer's deposit account or by any other manners designated by the Securities Exchange or by the Company.

#### **5. Customer's Money Placement**

- 5.1 Subject to the rules and conditions herein, the Customer agrees to appoint and authorize the Company to act as a representative to manage the Customer's account and perform any act according to the Customer's instruction. This however shall be under the Company's sole discretion whether to do anything or otherwise. Managing the Customer's Account means to deduct the price of Securities purchased and to receive money from the Securities sold in accordance with the Customer's order. This shall include the deduction of expenses and other incomes related to the Customer's trading; for example, a deduction for securities subscription, custodian fee, a reception of dividend and remuneration the Customer is entitled to, as well as appoint the Company to use such money for invest or find other benefit to any person which the Customer agrees to accept the compensation designated by the Company. The Company shall pay the compensation, after Tax (if any), to the Customer's account at the time designated by the Company. The Customer agrees that in case the compensation which the Company actually received from invest or find other benefit is below the compensation designated by the Company, the Customer shall solely receive the compensation as the Company actually receive from invest or find other benefit.
- 5.2 In case the Customer fails to perform in accordance with this Agreement or any agreement referred herein, the Customer agrees to allow the Company to do anything with the Customer's account as it thinks fit without prior notice and without notifying, advertising or acting in a similar manner. The Customer agrees to allow the Company to use the Customer's money to repay the debts and all kinds of expenses the Customer may owe to the Company now and thereafter whether or not the debt is due for payment to the Company. The Company has the right to set off all kinds of the Customer's debt as it deems fit and the Customer agrees to be liable to pay any balance of debts to the Company in full.
- 5.3 The Customer acknowledged and agrees that the money placement in clause 5 herein is under the terms and conditions about keeping and monitoring the Customer's property stipulated in clause 7.

#### **6. Agreement Related to trading via Internet and/or Electronic Means**

- 6.1 The Customer agrees to be responsible for the usage and maintenance of username and password used for logging in the system and access to the Customer's account including performing any transactions in relation to the account opened, held or accessible via such username and password including change of username and password. The Customer also agrees that any order made by any persons using such username and password shall be deemed, by the Company, to be a duly order of the Customer. The Customer will exercise extreme care to prevent any unauthorized person to connect into the Customer computer system. In case the Customer suspects that an unauthorized person (1) enters into the service provided by the Company via Internet or the Customer's account; or (2) is able to access the service provided by the Company via Internet and the Customer's account, the Customer must notify the Company immediately. If the Customer allows the third party to enter into the Customer's account or to know the username and password, the Customer will prevent, be responsible, compensate in order to hold the Company harmless from any liabilities, fees or damages incurred in relation to the foregoing. This shall include, but not limit to, any claims or lawsuits from the third party related to access, use of such username and password and the fact that the Customer fails to notify any suspicious incident which the Customer should have known if the Customer had been more careful.
- 6.2 **The Customer agrees that the Company reserves the right, at any time, to terminate the Customer's access to Service related to sending order to trading Securities via Internet and/or Electronic Means and this shall be the Company's sole discretion without prior notice.**
- 6.3 The Customer will not use any computer program or software to connect the Customer computer with the Company's computer system unless stipulated or permitted by the Company to do so for the purpose of this Agreement.
- 6.4 The Customer will maintain the Customer computer system in a good and normal working condition with the Company's computer system. This shall include, but not limit to, the fact that the computer must be free from contaminating virus. The Customer shall reimburse the Company and hold the Company harmless from any losses, damages, fees and expenses directly and indirectly incurred from the defect of the Customer's computer, which would not have happened if the Customer had exercised more precaution.
- 6.5 The Customer has thoroughly understood and acknowledged the terms, conditions and procedures of the transactions regarding via the Internet and/or electronic means, the facilities provided by the Company including any and all risks which may incur from such transaction.
- 6.6 The Customer agrees that the Company is authorized to act upon any instruction authenticated by the use of the correct username and password. The Customer accepts that such authentication on the basis of correct username and password is binding upon the Customer and the Customer will not claim for any lost profit, trading loss or damage resulting from the Company's reliance on such username and password. In addition, the Customer will use the best effort to avoid any mistake or cause the least mistake to any service already used or to be used in the future whereby the Customer will be responsible for all expenses. The Customer agrees to notify the Company immediately of any loss, theft or unauthorized use of the Customer's username, password and/or account number.
- 6.7 The Customer agrees and understands that the Company cannot and will not be liable to or responsible for any delay in executing an order as the Company places orders on a "best effort" basis. Any delay in execution is beyond the Company's control and the Company shall be deemed not responsible for and/or be liable to any delay in execution due to market volume and/or market volatility. The Company cannot and will not be liable to any delay in execution due to an order approval process.
- 6.8 The Customer agrees that the Company will not be liable to any loss incurred from things the Company does not have direct control over. This includes, but is not limited to, the failure of internet, electronic or mechanical equipment, telephone and/or communication equipment or other connection problem, unauthorized access, theft, operator errors, severe weather, earthquakes, floods and strikes or other labor problems.
- 6.9 The data and information accessible on the services is provided "As is" and there may be delay, omission, or inaccuracy in such information and data. The Company, the agent, the information provider and the licensor cannot and does not guarantee the accuracy, sequence, completeness, timelines, merchantability or fitness for a particular purpose of the information or data made

available through the services or by any force majeure or any other causes beyond their reasonable control. Neither the Company, nor its agent, the information provider and the licensor shall be liable to the Customer or anyone else for any loss or injury caused in whole or in part by negligence or omission in providing, gathering, interpreting, editing, writing, reporting or delivering any information or data through the Service.

6.10 The Customer agrees that there is a risk of virus contamination into the Customer's computer system or equipment or a risk from interruption or interference in the service by the third party which is beyond the Company's control. The Customer agrees to hold the Company, its agent, the information provider and the licensor harmless in case of loss or damage resulted from the virus, interruption or interference of the Service.

6.11 For the Customer's applied TISCO Securities e-Statement and e-Portfolio ("ESP") service, the Customer agrees to be bound with and acknowledges terms and conditions of ESP service as follows :

6.11.1 ESP service is provided for the Customer's convenience in connection with viewing the Customer's trading portfolio and using other service which the Company has provided related to ESP service, such as asset withdrawal service, including any other service which may be provided by the Company in the future.

6.11.2 The Customer no longer wish the Company to send any of the documents viewable through this ESP service to the Customer via post. Whenever it is necessary for the Customer to use the original copy of any documents, including tax invoice, Official Receipt, the Customer will contact the Company Head Office and/or the Company Branch in person.

## **7. Keeping and Monitoring of the Customer's Properties**

7.1 The Customer agrees to appoint the Company to keep the Customer's Properties for the purpose of keeping and/or trading or borrowing and/or being collateral against the Customer's obligation under the Customer securities trading and/or for any other purpose to the extent permitted by law whereby the Customer agrees to pay custodian fee as described by the Company.

7.2 The Customer has acknowledged and understood Properties withdrawal shall be made in written 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 withdraw money to the Customer in a check payable in the Customer's name or any other method as the Company think fit.

7.3 The Customer has acknowledged and understood that, under the relevant law, in the event that the Company deposits the Customer's money with commercial bank or other bank which was established by specific law of financial institution, such the Customer's money or invested money is guaranteed by the Deposit Protection Agency or any other institution which has a duty to guarantee the deposited money. In case that the Customer's money is deposited with the Company, The Customer's money shall not be guaranteed by the Deposit Protection Agency or any other institution which has a duty to guarantee the deposited money and may have a risk from invest or finding any other benefit from the Company.

7.4 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 approved by the Securities and Exchange Commission. The appointment shall designated by the Government agencies or relevant regulator.

7.5 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.

7.6 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 its written instruction or consent to the Company.

7.7 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.

7.8 The Company shall, on a monthly basis, deliver report showing Properties details to the Customer unless the Customer has no transactions, which effect the movement or modification to the Properties. In addition the Company shall, on an annual basis, also deliver report to the Customer in December.

7.9 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,

### **7.9.1 Money**

(a) The Company classifies money by depositing with the commercial bank; other bank established by specific law; or investing in any other kinds of investment as specified by the Securities and Exchange Commission which shall be expressly indicated in such deposit account or investment performed by the Company for the benefit of the Customer. In case the said deposit has maturity date, such deposit 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.

### **7.9.2 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 money belong to the Customer.

### **7.9.3 Other Properties**

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

7.10 Benefit, if any, derived from any of the Customer's Properties as agreed by both parties, in the 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 fee, if any, or all kind of the Customer's indebtedness to the Customer may owe 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.

7.11 The Customer allows the Company to deposit money of the Customer with financial institution having direct or indirect relationship with the Company as affiliated Company.

- 7.12 There are any losses or damage on the Customer properties and such losses or damages directly arising out of willful or omission to perform any duties of the Company, the Company shall be responsible for such loss or damage occurs with customer's properties in full.

## 8. General Provision

- 8.1 The Customer agrees to notify the Company immediately in case there is any difference or inaccuracy in the balance or status of Securities in the Account, the Customer's trading limit or the Customer's Money. If the Customer fails to inform the Company within a period determined by the Company, the Company will not be responsible or liable to any claim resulted from such difference or inaccuracy.
- 8.2 In case of forced sale in accordance with Clause 3.1, the Customer agrees to be bound by such forced sale as it is sold in accordance with the Customer's order and grants the Company to take the amount received from such forced sale, after deduction of remuneration and other expenses, to set-off and/or deduct from all kinds of accounts of the Customer which are due to the Company, and to take all by benefit or dividends incurred by the Securities, which the Company receives on behalf of the Customer 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 Customer, without giving prior notice to the Customer.
- 8.3 The Customer agrees to pay the Company interest and/or penalty on the outstanding debt to the Company at the maximum default rate, which is determined and prescribed in the announcement of the Company and may be adjusted from time to time by the Company, from the defaulting date until the full payment is made to the Company.
- 8.4 In the event that the Customer is deceased or becomes incompetent or quasi-incompetent or is sued; or in any other cases where the Company thinks it is appropriate to protect its benefit, the Customer agrees to allow the Company to wholly or partly sell the Customer's Securities, Property or other rights in the Company's possession immediately; and/or to purchase all or part of the Securities to indemnify the Company in lieu of the Securities the Customer ordered the Company to sell but does not deliver it to the Company. This shall not deprive the Company's right to terminate the Customer's Account.
- 8.5 The purchasing or selling of any Securities or Property or any other rights of the Customer by the Company as a result of not complying with any provisions of this Agreement, the Company shall have the right to do anything as it may think fit via the Securities Exchange or make public auction or trade Securities with any person or with the Company itself without prior notification to the Customer and it is not necessary to inform or announce in advance or having to perform any other similar acts. The Customer hereby grants the Company to bring the sale proceeds of such Securities to pay all kinds of indebtedness and expenses which the Customer 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 Customer's indebtedness as it thinks fit, and the Customer accepts to be bound to fully compensate all kinds of indebtedness to the Company.
- 8.6 The Customer agrees and allows the Company to become a member of Thailand Securities Depository in accordance with the law on securities and exchange or any other laws announced and enforced. This shall include the use of Securities Depository Center's service regarding the Customer's Securities. The Customer agrees to allow the Company to comply with Securities Depository Center's rules, conditions and procedures or other laws announced thereby which include; for example, an agreement to disclose the Customer's name, address and other details to Securities Depository Center.
- 8.7 The Customer agrees and accepts that the Customer will not claim, sue or take any other action against the Company, in respect of any damage the Customer 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 Customer'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.
- 8.8 **This Agreement has no definite period. Unless otherwise provided in this Agreement, in case either party wishes to terminate the Agreement, it is entitled to do so immediately with prior written notice to the other party.** This termination shall not affect the right and responsibility of the parties which exists before the termination of this Agreement becomes effective. Upon the termination of the Agreement, if there are money, Securities and any other Properties of the Customer in the Company's possession and the Company is not able to contact the Customer to return to the Customer or manage otherwise, the money, Securities and any other Properties, the Company agrees to keep the money provided that the Customer will be responsible for the cost and expense in keeping such Properties (if any).
- 8.9 In case the Company has waived any obligations of the Customer in accordance with this Agreement or refrained from exercising any rights to terminate this Agreement, it shall be considered that such relaxation or omission is temporary.
- 8.10 Other than the right the Company has against the Customer in accordance with this Agreement, the Company shall have the right to claim from the Customer all and any damages and expenses the Company sustains incidental to or in relation to this Agreement or the Customer's or its agent's act or refrain from acting. This includes all damages and expenses which may incur to the Company as a result of the claim or legal action filed by other persons asking the Company to be liable in connection herewith, which is not a result of the Company's act, a refrain from acting or its fault.
- 8.11 All communication letters, notices or any other letters sent to the Customer'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. In case of sending by Internet or Electronic Means to the address the Customer has given the Company, it shall be deemed to be sent regardless of any recipients. In case of failure to deliver due to the change of the Customer's address whereby the Customer fails to notify the Company in writing or the inability to locate such address, it shall be deemed that the Customer duly receives and acknowledges such communication letters, notices or any other letters of the Company.
- 8.12 The Customer agrees to pay the damages, advances, fees and any other expenses resulting from the loss the Company or other persons directly or indirectly sustain as a result of the Company's compliance in accordance with this Agreement or the Customer's violation of agreement, terms and condition or provision herein. The Customer shall reimburse the damages to the Company immediately when the Company requests. **The Company shall have the right, under this clause, to deduct money from the Customer's Money for reimburse the damages. In case the Company deducts the Customer's Money for repayment and there is remaining debt, the Customer agrees to reimburse the Company the balance immediately. In case the Company not deducts money from the Customer's Money with no reason, the Customer shall reimburse the damages to the Company immediately.**
- 8.13 The Customer agrees that for mutual protection, the Customer shall allow the Company to monitor and record telephone conversations and/or Internet or of electronic communications between the Company and the Customer.



- 8.14 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 announcement or changes in taxation.
- 8.15 The Customer agrees that the Customer has thoroughly considered and understood the nature and risk of investment in Securities, which including derivatives and other instruments, and the Customer thoroughly understands that there is an investment risk in all kinds of Securities and no investment return is guaranteed. Moreover, the Customer understands that warrant or other kinds of instruments have an expired date and he/she cannot trade them after such date.
- 8.16 The Investment of the Customer in securities existing or may be exist in the future, the Customer has acknowledged, studied and understood such new securities prior to making investment.
- 8.17 The Customer agrees that, in the cases where the customer owed the Company any debt, under this Agreement, the Customer consents the Company, without prior written notice, to immediately deducting cash deposit or other money in any account that the Customer open with the Company, in whole or in part, to repay debt that the Customer is currently indebted with the Company and enforce other Customer's asset whether such asset is kept by the Company or other person.
- 8.18 The Customer agrees to allow the Company and/or its Affiliated Company to check the Customer's information and receive or exchange such Customer's information including requesting of report concerning credit information and any other related documents from National Credit Bureau Co., Ltd and any juristic person or any person, which the Company think its appropriate, contacting any data center for the purpose of the Company's credit checking, marketing and business administrative. This includes disclosure Customer's information between the Company and its Affiliated Company at any time after the Customer has signed this agreement. The Customer shall not revoke the consent herein.
- 8.19 If at any time any provision of this Agreement is or becomes invalid or unenforceable in any respect, neither the validity, legality or enforceability of the remaining provision of this Agreement shall in any way be affected or impaired by the above. If at any time any provision of this Agreement is or becomes invalid, illegal or unenforceable in any respect by any reason, other provisions herein shall remain valid, legal or enforceable. The parties also agree to amend this Agreement immediately so that the invalid, illegal or unenforceable provision becomes valid, legal and enforceable for the purpose of the parties.
- 8.20 The Customer accepts that the Customer thoroughly understands and acknowledges the law, announcement, regulation or rule of the Securities and Exchange Commission, the Office of the Securities and Exchange Commission, the Stock Exchange of Thailand, any government authority or the company's unit related to the Securities and exchange. The Customer shall strictly comply therewith including any amendment, modification or addition thereto.  
In case any law, notification, regulation or rule mentioned in the foregoing paragraph is amended or modified after the execution date of this Agreement, the parties agree to accept such law, announcement, regulation or rule as amended or modified unless otherwise stipulated by the Company. However, the Company reserves the right to amend or add any condition of this Agreement as it may think fit without obtaining prior consent from the Customer. The Company shall notify any material amendment to the Customer and the Customer agrees to comply strictly with such condition as amended by the Company
- 8.21 This Agreement shall be governed and interpreted by the law of Thailand
- 8.22 In case the Customer or any its authorized person who have power to make purchase and sell order in the Customer account is the officer of the Other Securities Company, the Customer allowed the Company to have a power to;
- 8.22.1 inform the Other Securities Company in writing about the Customer's account, the opening of the Securities Trading account or a power to make purchase order with the Company before the Company will provide the Service, under this Agreement, to the Customer.
- 8.22.2 send copy of the Monthly Securities Trading Report, which show the list of trading, to the Other Securities Company, including send other concerning information about the Customer Securities' account, which in possession of the Company, to the Other Securities Company, according to the request of the Other Securities Company.  
"Other Securities Company" by first paragraph means the company which receives the license to operate the securities business in the type of securities broker to purchase and sell, trading or contributor, which is not limited to the warrant securities and mutual fund management.
- 8.23 At any time the Company, the Stock Exchange of Thailand, Thailand Securities Depository, Securities registrar, the Office or any other relevant agencies make a request to the Company and/or the Customer; the Customer hereby agrees and consent to provide and notify the following information listed hereunder, together with explanation or commentary relating to such information to the Company as well as the Thailand Clearing House, the Office and other relevant agencies:
- (1) Information which can be verified the true identity of the Customer and the beneficiary from purchasing and/or selling the Securities including by the Customer, related person as well as direct or indirect controlling person of the Customer's finance and Trading;
  - (2) Objective or intention of the customer's purchasing and/or selling the Securities;
  - (3) Information and details relating to the Customer's Trading whether such purchasing and/or selling the Securities was made by the Company or not;
  - (4) In the event that the purchasing and/or selling of the Securities made by the Customer for any other person(s) or traded and/or cleared and/or held transaction through the omnibus account, the Customer hereby agrees and consent to inform, notify and provide the explanation of (1), (2) and (3) mentioned above of every such related person(s). Provided that, the Customer knows or should have known since executing such order to purchase and/or sell the Securities; and
  - (5) Any other related information requested by the Company and/or the Stock Exchange of Thailand, Thailand Clearing House, the Office or any other relevant agencies, or required by law.

Subject to relevant law and regulations, the Customer hereby irrevocably consents to the Company to disclose the information of the Customer, wholly or partly, the status of Trading, the Customer's account, the purchase and/or sale order, and/or information

8.24 The Customer hereby irrevocably agrees and consents the Company to temporary halt or discontinue the service of Securities brokerage and/or close the Customer's account and/or limit the purchasing and/or selling the Securities, and may proceed to manage the Customer's Securities Trading-related activity in order to comply with an order or resolution of the Stock Exchange of Thailand, Thailand Securities Depository, Securities registrar, Thailand Clearing House or the Office, in the following events:

- 8.25 The Customer hereby agrees and acknowledges that the Company may not always have serviceable internet system and/or Electronic and/or Trading system at all time. In the event that such system could not be used or accessed, the Customer agrees not to claim against the Company any damage or liability incurred on such unserviceable system.

8.27 The Customer can see further details of how the Company collects, uses and discloses your personal data in the Privacy Notice on the Company's website <https://www.tisco.co.th/en/privacy-notice.html> or other channel prescribed by the Company. In case the Customer has given the Company any personal data of other person, the Customer shall notify such person of the details of our Privacy Notice.

Signed \_\_\_\_\_ Customer      Signed \_\_\_\_\_ TISCO Securities Co., Ltd.  
 ( )                                  ( )

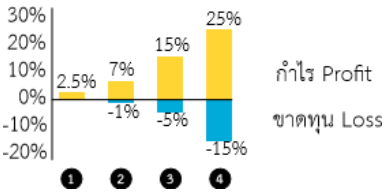
Signed \_\_\_\_\_ Witness \_\_\_\_\_  
( ) ( )

# Suitability test for Individual Investor

First Name-Surname\_\_\_\_\_ ID Number\_\_\_\_\_

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. More than 50% to 75% of total income
  - C. 25% to 50% of the 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. Having financial freedom for retirement life
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 Deposit
  - 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?



Portfolio	Profit (%)	Loss (%)
1	2.5%	0%
2	7%	1%
3	15%	5%
4	25%	15%

- A. Investment 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

Questions 11-12 are used as additional information for guidance (Scores will NOT be counted)

**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



Signed (.....) Customer

Date ...../...../.....

## For Individual Investor

### Terms and Conditions

- The purpose of this Suitability test is to assess the client's investment risk level, which will be the information for the marketing officer to provide fund recommendations that are suitable to his/her investment risk profile.
- Providing accurate and up-to-date information will be beneficial in making investment recommendations to clients.
- The Company/Marketing officer will inform the suitable risk level to the client, the investor type of client and provide fund recommendation as appropriate given his/her investment risk level.



Signed (.....) Customer

Date ...../...../.....

## For Staff

### Part 1 : Assessment Scores

Answer A. = 1 Point   Answer B. = 2 Point   Answer C. = 3 Point   Answer D. = 4 Point

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

### Part 2 : Assessment Result

Group	Total Score	Investor Type of Risk	Suitable Type for Mutual Fund	Suitable Type for Private Fund
1	Below 15	Low	Fund Risk Level 1	Invest in bond only
2	15-21	Low to Moderate	Fund Risk Level 1-4	Invest in risky assets* not over than 25%
3	22-29	Moderate to High	Fund Risk Level 1-5	Invest in risky assets* not over than 50%
4	30-36	High	Fund Risk Level 1-7	Invest in risky assets* not over than 75%
5	Over 37 Scores	Very High	Fund Risk Level 1-8	Invest in risky assets* not over than 100%

\* Risky assets means Equity, Collective Investment Scheme, Alternative Investment Asset or others Specified by the SEC

### 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%
Low to Moderate	<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 product

Total Scores

Signed (.....) Appraiser

Signed (.....) Approver

Date ...../...../.....

The results of the risk assessment and an explanation of risk level

Investor Types	Risk Level	Description of the types of securities corresponding to the level of risk		
		Mutual Fund	Bond	Private Fund
Low	1	Money Market Fund invested purely in domestic country • Zero exchange rate risk, investing only in deposit or deposit-equivalent financial instruments, or bonds, or securities or other assets or gains from other investments as specified by the SEC of which repayment on demand or due payment date is no longer than 397 days from the investing date or the agreement-signing date, and portfolio duration at any time must not exceed 92 days.	• Government bond • Bonds with a long-term credit rating of AAA, maturity not over 1 year	Invest in bond only
Low to Moderate	2	Money Market Fund • Invest partially overseas but not more than 50% of NAV in deposit or deposit-equivalent financial instruments, bonds, securities or other assets or gains from other investments as specified by the SEC of which repayment on demand or due payment date is no longer than 397 days from the investing date or the agreement-signing date, and portfolio duration at any time must not exceed 92 days.	• Bonds with a long-term credit rating of AAA, a remaining maturity is more than 1 year • Bonds with a long-term credit rating of AA, a remaining maturity is not more than 5 years • Bonds with a long-term credit rating of A, a remaining maturity is not more than 1 year • Bonds with short-term credit ratings T1+, T1 / F1+, F1	Invest in risky assets* not over than 25%
	3	Government Bond Fund • Maintaining net exposure in government bonds on average in each accounting year not less than 80% of NAV.	• Bonds with a long-term credit rating of AA, a remaining maturity is more than 5 years • Bonds with a long-term credit rating of A, a remaining maturity is more than 1 year	
	4	Fixed Income Fund • Maintaining net exposure at least 80% of NAV in deposit or deposit-equivalent financial instruments or debt instruments at any time. • Fixed income funds with policy to invest in non-investment grade/unrated instruments not more than 20% of NAV.	• Bonds with a long-term credit rating of BBB, a remaining maturity is not more than 1 year • Bonds with short-term credit ratings T2, T3 / F2, F3 • Bonds with embedded derivatives with a credit rating of AAA	
Moderate to High	5	Mixed Fund • A mutual fund with net exposure of both equities and bonds or alternative assets. • Fixed income fund with net exposure in non-investment grade/unrated instruments exceeding 20% but less than 80% of NAV.	• Bonds with a long-term credit rating of BBB, a remaining maturity is more than 1 year • Bonds with embedded derivatives with AAA, AA ratings	Invest in risky assets* not over than 50%
High	6	Equity Fund • A mutual fund with net exposure in equity on average in each accounting year not less than 80% of NAV. • Fixed income fund with a net exposure in non-investment grade/unrated instruments on average in each accounting year not less than 80% of NAV.	• Bonds with a long-term credit rating of BB, a remaining maturity is not more than 1 year • Bonds with short-term credit ratings T4, B • Bonds with embedded derivatives with credit ratings of AA, A	Invest in risky assets* not over than 75%
	7	Sector Fund • A mutual fund with net exposure in a specific sector in the stock market on average in each accounting year not less than 80% of NAV.	• Bonds with a long-term credit rating of BB, a remaining maturity is 1-5 years • Bonds with embedded derivatives with a credit ratings of A, BBB • Perpetual bond Basel III, insurance capital bond. with a credit rating at the level that can be invested	
Very High	8	Fund with Alternative Investment • A mutual fund with net exposure in alternative investments such as REITs/infrastructure fund/property fund/commodity fund like gold and oil on average in each accounting year not less than 80% of NAV, including funds investing in unsecured structured notes.	• Bonds with a long-term credit rating of BB, a remaining maturity is more than 5 years • Bonds with long-term credit ratings level B, CCC / CC / C • Bonds with a short-term credit rating level C • Unrated bonds • Bonds with embedded derivatives with a credit rating of BBB • Bonds with embedded derivatives with a credit rating below investment grade and no credit rating • Perpetual bond, Basel III, insurance capital bond with a credit rating below investment grade and no credit rating	Invest in risky assets* not over than 100%
	8+	Fund with Significant Investment Risk • A mutual fund that investing or short-selling significantly in credit derivatives/investment repurchase. "Significant investment" here refers to the extra investment in the assets on top of the specified levels for mutual funds in general, which is not more than 100% of NAV (based on commitment approach) or not more than 200% of relative VaR (relative VaR approach), or no more than 20% of NAV (absolute VaR approach).		

\*Risky assets means equity, collective investment scheme, alternative investment asset or others specified by the SEC.



แบบแจ้งสถานะความเป็นบุคคลอเมริกันไม่เป็นบุคคลอเมริกัน  
Form for Declaration of Status as U.S. Person or Non-U.S. Person  
สำหรับลูกค้าประเภทบุคคลธรรมดา  
for Individual Customer

CIF No.

เลขที่บัญชี/Account No.

ผู้ขอเปิดบัญชี (คำนำหน้า/ชื่อ/นามสกุล)  
Applicant Name (Title/Name/Surname)

สัญชาติ  
Nationality(ies)

โปรดระบุทุกสัญชาติที่ท่านถือ /Please specify all nationalities that you hold.

บัตรประชาชนเลขที่  
ID Card No.

หนังสือเดินทาง เลขที่  
Passport No.

ส่วนที่ 1  
Part 1

สถานะของลูกค้า  
Status of Customer

โปรดเลือกทำเครื่องหมายในช่องที่สอดคล้องกับสถานะของท่าน  
Please check the appropriate boxes corresponding to your status

บุคคลอเมริกัน / U.S. Person

(หากท่านตอบว่า "ใช่" ในข้อใดข้อหนึ่ง โปรดกรอกแบบฟอร์ม W-9)

(If you check "yes" in any one box, please complete Form W-9)

1 ท่านเป็นพลเมืองอเมริกัน ใช่หรือไม่ Are you a U.S. Citizen? ใช่/Yes ☐ ไม่ใช่/No ☐

โปรดตอบ "ใช่" หากท่านเป็นพลเมืองอเมริกัน แม้ว่าท่านจะอาศัยอยู่นอกสหรัฐอเมริกา

โปรดตอบ "ใช่" หากท่านมีสถานะเป็นพลเมืองของหลายประเทศ และหนึ่งในนั้นคือเป็นพลเมืองอเมริกัน

โปรดตอบ "ใช่" หากท่านเกิดในสหรัฐอเมริกา (หรือดินแดนที่เป็นของสหรัฐอเมริกา) และยังไม่ได้สละความเป็นพลเมืองอเมริกันอย่างสมบูรณ์ตามกฎหมาย

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 ท่านเป็นผู้ถือบัตรประจำตัวผู้มีถิ่นที่อยู่ถาวรอย่างถูกต้องตามกฎหมายในสหรัฐอเมริกา (เช่น กรีนการ์ด) ใช่หรือไม่ Are you a holder of any U.S. Permanent Resident Card (e.g. Green Card)? ใช่/Yes ☐ ไม่ใช่/No ☐

Are you a holder of any U.S. Permanent Resident Card (e.g. Green Card)?

โปรดตอบ "ใช่" หากสำนักงานตรวจคนเข้าเมืองและสัญชาติของสหรัฐอเมริกาได้ออกบัตรประจำตัวผู้มีถิ่นที่อยู่ถาวรอย่างถูกต้องตามกฎหมายในสหรัฐอเมริกาให้แก่ท่าน ไม่ว่าบัตรดังกล่าวของท่านจะหมดอายุแล้วหรือไม่ ณ วันที่ท่านกรอกและลงลายมือชื่อในแบบฟอร์มนี้

ควรตอบ "ไม่ใช่" หากบัตรดังกล่าวของท่านได้ถูกสละ ยกเลิก หรือถอนออกอย่างเป็นทางการแล้ว ณ วันที่ท่านกรอกและลงลายมือชื่อในแบบฟอร์มนี้

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 ท่านมีสถานะเป็นผู้มีถิ่นที่อยู่ในสหรัฐอเมริกาเพื่อวัตถุประสงค์ในการเก็บภาษีอากรของสหรัฐอเมริกา ใช่หรือไม่ Are you a U.S. resident for U.S. tax purposes? ใช่/Yes ☐ ไม่ใช่/No ☐

Are you a U.S. resident for U.S. tax purposes?

ท่านอาจถูกพิจารณาว่าเป็นผู้มีถิ่นที่อยู่ในสหรัฐอเมริกาหากเป็นไปตามเกณฑ์ "Substantial Physical Presence Test" เช่น ในปีปัจจุบัน ท่านอยู่ในสหรัฐอเมริกาอย่างน้อย 183 วัน เป็นต้น และหากต้องการรายละเอียดเพิ่มเติม โปรดศึกษาข้อมูลในเว็บไซต์ของ หน่วยงานจัดเก็บภาษีอากรของสหรัฐอเมริกา (Internal Revenue Service: IRS) ดังนี้

<http://www.irs.gov/Individuals/International-Taxpayers/Substantial-Presence-Test>

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>.

คำถามเพิ่มเติม / Additional Questions

(หากท่านตอบว่า "ใช่" ในข้อใดข้อหนึ่ง โปรดกรอกแบบฟอร์ม W-8BEN พร้อมทั้งส่งเอกสารประกอบ)

(If you check "yes" in any one box, please complete Form W-8BEN and provide supporting document(s))

1 ท่านเกิดในสหรัฐอเมริกา (หรือดินแดนที่เป็นของสหรัฐอเมริกา) แต่ได้สละความเป็นพลเมืองอเมริกันอย่างสมบูรณ์ตามกฎหมายแล้ว ใช่/Yes ☐ ไม่ใช่/No ☐

Were you born in the U.S. (or U.S. Territory) but have legally surrendered U.S. citizenship?

2 ท่านมีคำสั่งทำรายการโอนเงินเป็นประจำโดยอัตโนมัติจากบัญชีที่เปิดไว้หรือมีอยู่ร่วมกับกลุ่มทิสโก้ ไปยังบัญชีในสหรัฐอเมริกา ใช่หรือไม่ ใช่/Yes ☐ ไม่ใช่/No ☐

Do you have standing instructions to transfer funds from the account opened or held with TISCO Group to an account maintained in the U.S.?

3 ท่านมีการมอบอำนาจหรือให้อำนาจการลงลายมือชื่อแก่บุคคลที่มีถิ่นที่อยู่ในสหรัฐอเมริกา เพื่อการใด ๆ ที่เกี่ยวข้องกับบัญชีที่เปิดไว้ ใช่/Yes ☐ ไม่ใช่/No ☐

หรือมีอยู่ร่วมกับกลุ่มทิสโก้ใช่หรือไม่

Do you have a power of attorney or signatory authority for the account opened or held with TISCO Group granted to person with U.S. address?

4 ท่านมีที่อยู่เพื่อการติดต่อหรือดำเนินการเกี่ยวกับบัญชีที่เปิดไว้หรือมีอยู่ร่วมกับกลุ่มทิสโก้ แต่เพียงที่อยู่เดียว ซึ่งเป็นที่อยู่สำหรับ ใช่/Yes ☐ ไม่ใช่/No ☐

รับไปรษณีย์แทนหรือที่อยู่สำหรับการส่งต่อ ใช่หรือไม่

Do you have a hold mail or in care of address as the sole address for the account opened or held with TISCO Group?

1 เพื่อวัตถุประสงค์ของแบบฟอร์มนี้ "กลุ่มทิสโก้" ให้ความหมายรวมถึง บริษัท ทิสโก้ไฟแนนเชียล กรุ๊ป จำกัด (มหาชน) ธนาคารทิสโก้ จำกัด (มหาชน) บริษัทหลักทรัพย์จัดการกองทุน ทิสโก้ จำกัด บริษัทหลักทรัพย์ ทิสโก้ จำกัด

For this purpose, "TISCO Group" shall include TISCO Financial Group Public Company Limited, TISCO Bank Public Company Limited, TISCO Asset Management Company Limited, TISCO Securities Company Limited

5 ท่านมีที่อยู่อาศัยในปัจจุบัน หรือที่อยู่เพื่อการติดต่อในสหรัฐอเมริกา สำหรับบัญชีที่เปิดไว้หรือมีอยู่กับกลุ่มทิสโก้หรือไม่ ☐ ใช่/Yes ☐ ไม่ใช่/No ☐  
Do you have a current U.S. residence address or U.S. mailing address for the account opened or held with TISCO Group?

6 ท่านมีหมายเลขโทรศัพท์ในสหรัฐอเมริกา เพื่อการติดต่อท่านหรือบุคคลอื่นที่เกี่ยวข้องกับบัญชีที่เปิดไว้หรือมีอยู่กับกลุ่มทิสโก้หรือไม่ ☐ ใช่/Yes ☐ ไม่ใช่/No ☐  
Do you have U.S. telephone number for contacting you or another person in relation to the account opened or held with TISCO Group?

**ส่วนที่ 2**  
**Part 2** **การยืนยันและการเปลี่ยนแปลงสถานะ**  
**Confirmation and Change of Status**

- ท่านยืนยันว่า ข้อมูลข้างต้นเป็นความจริง ถูกต้อง และครบถ้วนสมบูรณ์  
You confirm that the above information is true, correct, accurate and complete.
- ท่านรับทราบและตกลงว่า หากท่านมีสถานะเป็นบุคคลอเมริกัน แต่ข้อมูลที่ให้ตามแบบฟอร์มนี้ หรือตามแบบฟอร์ม W-9 เป็นข้อมูลอันเป็นเท็จ ไม่ถูกต้อง หรือไม่ครบถ้วนสมบูรณ์ กลุ่มทิสโก้ มีสิทธิใช้ดุลยพินิจแต่เพียงฝ่ายเดียวที่จะยุติความสัมพันธ์ทางการเงิน/ทางธุรกิจกับท่าน ไม่ว่าทั้งหมดหรือบางส่วน ตามที่กลุ่มทิสโก้ เห็นสมควร  
You acknowledge and agree that if you are a U.S. Person but the information provided on this form or Form W-9 is false, inaccurate or incomplete, TISCO Group shall be entitled to terminate, at its sole discretion, the entire banking/business relationship with you or part of such relationship as TISCO Group may deem appropriate.
- ท่านตกลงที่จะแจ้งให้กลุ่มทิสโก้ ทราบและนำส่งเอกสารประกอบให้แก่กลุ่มทิสโก้ ภายใน 30 วัน หลังจากมีเหตุการณ์เปลี่ยนแปลงอันทำให้ข้อมูลของท่านที่ระบุในแบบฟอร์มนี้ไม่ถูกต้อง  
You agree to notify and provide relevant documents to TISCO Group within 30 days after any change in circumstances that causes the information provided in this form to be incorrect.
- ท่านรับทราบและตกลงว่า ในกรณีที่ท่านไม่ได้ดำเนินการตามข้อ 3 ข้างต้น หรือมีการนำส่งข้อมูลอันเป็นเท็จ ไม่ถูกต้อง หรือไม่ครบถ้วนสมบูรณ์ เกี่ยวกับสถานะของท่าน กลุ่มทิสโก้ มีสิทธิใช้ดุลยพินิจแต่เพียงฝ่ายเดียวที่จะยุติความสัมพันธ์ทางการเงิน/ทางธุรกิจกับท่าน ไม่ว่าทั้งหมดหรือบางส่วน ตามที่กลุ่มทิสโก้ เห็นสมควร  
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 TISCO Group to terminate, at its sole discretion, the entire banking/business relationship with you or part of such relationship as TISCO Group may deem appropriate.

**ส่วนที่ 3**  
**Part 3** **การยินยอมให้เปิดเผยข้อมูลและการหักบัญชี**  
**Authorization for information disclosure and account withholding**

- ท่านตกลงให้ความยินยอม ที่ไม่อาจยกเลิกเพิกถอนแก่กลุ่มทิสโก้ ในการดำเนินการดังต่อไปนี้  
You hereby irrevocably authorize TISCO Group to:
- เปิดเผยข้อมูลต่าง ๆ ของท่านให้แก่บริษัทภายในกลุ่มทิสโก้ เพื่อประโยชน์ในการปฏิบัติตาม FATCA หน่วยงานจัดเก็บภาษีอากรในประเทศ และ/หรือ ต่างประเทศ ซึ่งรวมถึง หน่วยงานจัดเก็บภาษีอากรของสหรัฐอเมริกา (Internal Revenue Service: IRS) ข้อมูลดังกล่าวรวมถึง ชื่อลูกค้า ที่อยู่ เลขประจำตัวผู้เสียภาษี หมายเลขบัญชี สถานะตามหลักเกณฑ์เรื่อง FATCA (คือ เป็นผู้นับปฏิบัติตาม หรือผู้ไม่ให้ความร่วมมือ) จำนวนเงินหรือมูลค่าคงเหลือในบัญชี การจ่ายเงินเข้า-ออกจากบัญชี รายการเคลื่อนไหวทางบัญชี จำนวนเงิน ประเภทและมูลค่าของผลิตภัณฑ์ทางการเงิน และ/หรือ ทรัพย์สินอื่น ๆ ที่มีอยู่กับกลุ่มทิสโก้ ตลอดจนจำนวนรายได้ และข้อมูลอื่น ๆ ที่เกี่ยวกับความสัมพันธ์ทางการเงิน/ทางธุรกิจที่อาจถูกร้องขอโดยบริษัทภายในกลุ่มทิสโก้ หน่วยงานทางภาษีอากรในประเทศ และ/หรือ ต่างประเทศ ซึ่งรวมถึง IRS ด้วย  
disclose to the companies under TISCO 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 TISCO 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 TISCO Group, domestic and/or foreign tax authorities, including the IRS; and
  - หักเงินจากบัญชีของท่าน และ/หรือ เงินได้ที่ท่านได้รับจากหรือผ่านกลุ่มทิสโก้ ในจำนวนที่กำหนดโดยหน่วยงานจัดเก็บภาษีอากรในประเทศ และ/หรือต่างประเทศ ซึ่งรวมถึง IRS ภายใต้บังคับของกฎหมาย และ/หรือ กฎเกณฑ์ต่าง ๆ รวมถึงข้อตกลงใด ๆ ระหว่างกลุ่มทิสโก้ กับหน่วยงานจัดเก็บภาษีอากรดังกล่าว  
withhold from your account and/or the income derived from or through TISCO 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 TISCO Group and such tax authorities.

หากท่านไม่ให้ข้อมูลที่จำเป็นต่อการพิจารณาสถานะความเป็นบุคคลอเมริกัน (U.S. person) หรือข้อมูลที่จำเป็นต้องรายงานให้แก่กลุ่มทิสโก้ หรือไม่สามารขอให้งดเว้นการบังคับใช้กฎหมายที่ห้ามการรายงานข้อมูลได้ กลุ่มทิสโก้ มีสิทธิใช้ดุลยพินิจแต่เพียงฝ่ายเดียวที่จะยุติความสัมพันธ์ทางการเงิน/ทางธุรกิจกับท่าน ไม่ว่าทั้งหมดหรือบางส่วน ตามที่กลุ่มทิสโก้ เห็นสมควร  
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 TISCO Group, or if you fail to provide a waiver of a law that would prevent reporting, TISCO Group shall be entitled to terminate, at its sole discretion, the entire banking/business relationship with you or part of such relationship as TISCO Group may deem appropriate.

**ส่วนที่ 4**  
**Part 4** **การอนุญาตให้บุคคลที่สามใช้ประโยชน์และข้อตกลงในเอกสารนี้**  
**Customer's authorization for the third parties to use this form ,information disclosure, consent and agreement in this form**

เพื่อความสะดวกของลูกค้าและเป็นการลดภาระความซ้ำซ้อนของลูกค้าในการนำส่งเอกสาร/ข้อมูล/คำยินยอมให้กับบริษัทและสถาบันการเงินต่าง ๆที่เป็นเจ้าของผลิตภัณฑ์ที่ผู้รับเป็นตัวแทนขาย(หรือเป็นผู้จัดจำหน่าย)เป็นราย ๆไปรวมทั้งกรณีที่ลูกค้าเปิดบัญชีกับบริษัท/สถาบันการเงินใด ๆผ่านผู้รับโดยหนังสือฉบับนี้ลูกค้ารับทราบและยินยอมให้บุคคล(รวมนิติบุคคล) ดังต่อไปนี้ทั้งหมด(อันได้แก่ 1.บริษัทจัดการ/กองทุนสถาบันการเงินใด ๆ ที่ลูกค้าทำธุรกรรมทางการเงินผ่าน หรือเปิดบัญชีเงินฝาก หรือ บัญชีซื้อขายหลักทรัพย์ หรือใช้บริการทางการเงินอื่นใด ทั้งโดยตรงหรือผ่านผู้รับ 2.ผู้สนับสนุนการขาย รายอื่น และผู้เกี่ยวข้องกับบริษัทจัดการ /กองทุนสถาบันการเงินดังกล่าวข้างต้น และ 3.สมาชิกของกลุ่มธุรกิจทางการเงินของผู้รับ, 4.ตัวแทน หรือผู้ที่เกี่ยวข้อง หรือบริษัทในเครือของบุคคลดังกล่าวข้างต้นทั้งหมด) ทั้งในปัจจุบันและอนาคต มีสิทธิใช้เอกสารข้อมูล คำยืนยันและคำยินยอมใด ๆ เกี่ยวกับการแสดงตนและการเปิดเผยข้อมูล หรือหัก ณ ที่จ่าย ตามเอกสารฉบับนี้และเอกสาร/ข้อมูลที่เกี่ยวข้อง (ซึ่งต่อไปนี้จะรวมเรียกว่า "เอกสารและข้อมูล") ตามกฎหมายที่เกี่ยวข้องทั้งในและต่างประเทศ (รวมถึงกฎหมาย FATCA และกฎหมายป้องกันและปราบปรามการฟอกเงินและการสนับสนุนทางการเงินแก่การก่อการร้าย) เสมือนหนึ่งว่าลูกค้าได้มอบเอกสารและข้อมูลนั้น และได้ให้คำยืนยัน/คำยินยอมกับบุคคลดังกล่าวข้างต้นทุกราย และให้บุคคลดังกล่าวข้างต้นและหน่วยงานราชการทั้งในและต่างประเทศและบุคคลที่เกี่ยวข้องทุกรายสามารถนำส่ง / ใช้เอกสารและข้อมูลใด ๆของลูกค้ำระหว่างกันได้ ไม่ว่าจะอยู่ในรูปสำเนาหรือเอกสารฉบับจริง ก็ให้มีผลผูกพันกับลูกค้าทุกประการ

In consideration of the customer's convenience and to reduce the customer's burden of having to repetitively submit this same type of document/ information/ consent to each and every company and financial institution that the customer open account/ with through the Receiver; the customer hereby acknowledge and agree that any of following persons(including entity person) (i.e., 1.any asset management company/fund/ any financial institution with whom the customer open deposit account or securities trading account or using any financial service directly with or through the Receiver 2.the distributors /agents / and other person (s) related to the aforesaid funds/asset management company / financial institution, 3 any member of Financial Business Group of the Receiver, and 4 the agents or related persons or affiliated company of the all the aforesaid persons) at present or in future to use any documents, information, affirmation, consent related to identification and disclosure or withholding, as mentioned and referred to in this document (hereinafter referred to as the "Document and Information") in accordance with any applicable laws (FATCA and AML/CTF) as if the customer have provided such Documents and Information to each of those aforesaid person (s) by the customer's self .The customer further hereby authorize those person (s) to use / provide / share such Document and Information among themselves.

ข้าพเจ้ารับทราบและตกลงปฏิบัติตามข้อกำหนดและเงื่อนไขต่าง ๆ ในเอกสารฉบับนี้ซึ่งรวมถึงตกลงยินยอมให้มีการเปิดเผยข้อมูล การหักบัญชี และการยุติความสัมพันธ์ทางการเงิน/ทางธุรกิจกับข้าพเจ้า เพื่อเป็นหลักฐานแห่งการนี้ จึงได้ลงลายมือชื่อไว้เป็นสำคัญ

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.

ลายมือชื่อผู้ขอเปิดบัญชี  
Signature of Applicant 

วันที่  
Date





แบบรับรองผู้มีถิ่นที่อยู่ทางภาษีในประเทศอื่น

CRS Self-Certification Form

สำหรับลูกค้าประเภทบุคคลธรรมดา for Individual Customer

วันที่ \_\_\_\_\_  
Date

CIF No. \_\_\_\_\_

เลขที่บัญชี \_\_\_\_\_  
Account No.ผู้ถือบัญชี (คำนำหน้า/ชื่อ/นามสกุล)  
Account Holder Name (Title/Name/Surname)วันเดือนปีเกิด  
Date of birth  
วว/ดด/ปปปป DD/MM/YYYY.เลขที่บัตรประชาชน/หมายเลขประจำตัวผู้เสียภาษีของไทย  
ID No./Thai Tax identification No.หนังสือเดินทาง เลขที่  
Passport No.ส่วนที่ 1 การแจ้งสถานะความเป็นผู้มีถิ่นที่อยู่ทางภาษีในแต่ละประเทศนอกจากประเทศไทยหรือสหรัฐอเมริกา  
Part 1 CRS: Declaration of All Tax Residency except Thailand and U.Sท่านเป็นผู้มีถิ่นที่อยู่ทางภาษีหรือมีหน้าที่เสียภาษีในประเทศอื่นนอกจากประเทศไทยหรือสหรัฐอเมริกา ใช่หรือไม่  
Are you a resident for tax purpose or liable to pay income tax to another country other than Thailand or the U.S.?ใช่/Yes ☐ ไม่ใช่/No ☐

หากตอบ "ใช่" โปรดให้ข้อมูล ตามตารางด้านล่าง

If you answer "Yes", Please provide information in the table below.

หากท่านตอบว่า "ไม่ใช่" ข้ามไปตอบคำถามส่วนที่ 2 If you select "No" skip to part 2.

สถานที่เกิด (เมือง และประเทศ)  
Place of Birth (City and Country)

ประเทศของถิ่นที่อยู่ทางภาษี Country of Tax Residence	หมายเลขประจำตัวผู้เสียภาษี TIN	หากไม่มีหมายเลขประจำตัวผู้เสียภาษี โปรดระบุเหตุผล เอ บี หรือ ซี If no TIN available, enter Reason A, B or C	หากเลือกเหตุผล บี โปรดอธิบายเหตุผลที่ท่านไม่สามารถมีหมายเลขประจำตัวผู้เสียภาษี Please explain why you are unable to obtain a TIN if you select Reason B

เหตุผล เอ – ประเทศที่ผู้ถือบัญชีมีถิ่นที่อยู่ทางภาษี ไม่ได้ออกเลขประจำตัวผู้เสียภาษีให้

Reason A – The country where the account holder is a tax resident does not issue TINs to its residents.

เหตุผล บี – ผู้ถือบัญชีไม่สามารถมีหมายเลขประจำตัวผู้เสียภาษี (หมายเหตุ: โปรดอธิบายเหตุผลในตารางด้านบน)

Reason B – The Account Holder is otherwise unable to obtain a TIN. (Note: Please explain reason in table above)

เหตุผล ซี – กฎหมายภายในของประเทศที่ผู้ถือบัญชีมีถิ่นที่อยู่ทางภาษี ไม่บังคับให้ต้องมีกรรวบรวมหมายเลขประจำตัวผู้เสียภาษีที่ออกโดยประเทศถิ่นที่อยู่ทางภาษีนั้น

Reason C – Domestic law in country where the account holder is a tax resident does not require to collect TIN which is issued by such country.

ส่วนที่ 2 คำถามเพิ่มเติม  
Part 2 Additional question1 ท่านมีที่อยู่อาศัยหรือที่อยู่เพื่อส่งไปรษณีย์ในประเทศอื่นนอกจากประเทศไทยและสหรัฐอเมริกา ใช่หรือไม่  
Do you have a current residence address or mailing address in countries other than Thailand and U.S.?ใช่/Yes ☐ ไม่ใช่/No ☐2 ท่านมีคำสั่งทำรายการโอนเงินเป็นประจำโดยอัตโนมัติไปยังบัญชี ในประเทศอื่นนอกจากประเทศไทยและสหรัฐอเมริกา ใช่หรือไม่  
Do you have standing instructions to transfer funds from your account to an account maintained in countries other than Thailand or the U.S.?ใช่/Yes ☐ ไม่ใช่/No ☐3 ท่านมีการมอบอำนาจหรือให้อำนาจการลงลายมือชื่อแก่บุคคลที่มีถิ่นอยู่ในประเทศอื่นนอกจากประเทศไทยและสหรัฐอเมริกา  
Do you have a power of attorney or signatory authority for opening and holding account granted to person with countries' Address other than Thailand or the U.S.?ใช่/Yes ☐ ไม่ใช่/No ☐

4

ท่านมีที่อยู่รับไปรษณีย์แทนหรือที่อยู่สำหรับการส่งต่อในประเทศอื่นนอกจากประเทศไทยและสหรัฐอเมริกา ใช่หรือไม่  
Do you have a hold mail or in care of address as the sole address in countries other than Thailand and the U.S.?

ใช่/Yes ☐ ไม่ใช่/No ☐

5

ท่านมีหมายเลขโทรศัพท์ของประเทศอื่นนอกจากประเทศไทยและสหรัฐอเมริกาเพื่อการติดต่อท่านหรือบุคคลอื่น ใช่หรือไม่  
Do you have telephone number of another country other than Thailand and the U.S?

ใช่/Yes ☐ ไม่ใช่/No ☐

ส่วนที่ 3  
Part 3

คำรับรองและการลงนาม  
Declaration and Signature

1. ท่านยืนยันว่า ข้อความข้างต้นเป็นความจริง ถูกต้อง ครบถ้วนสมบูรณ์ และ เป็นปัจจุบัน  
You confirm that the above information is true, correct, complete and current.

2. ท่านตกลงที่จะแจ้งให้ทีเอสโกทราบและนำส่งเอกสารประกอบให้แก่ทีเอสโก ภายใน 30 วัน หลังจากมีเหตุการณ์เปลี่ยนแปลงอันทำให้ข้อมูลของท่านที่ระบุในเอกสารฉบับนี้ไม่เป็นความจริง ไม่ถูกต้อง ไม่ครบถ้วน หรือ ไม่เป็นปัจจุบัน  
You agree to notify and provide relevant documents to TISCO within 30 days after any change in circumstances that causes the information provided in this document to be untrue, incorrect, incomplete, or not current.

3. ท่านรับทราบและตกลงว่า หากท่านไม่ได้ดำเนินการตามข้อ 2 หรือ นำส่งข้อมูลที่เป็นเท็จ ไม่ถูกต้อง หรือไม่ครบถ้วนสมบูรณ์ซึ่งเป็นข้อมูลที่ใช้เป็นการพิจารณาสถานะความมีถิ่นที่อยู่ทางภาษีหรือข้อมูลที่ใช้เป็นต้องรายงานให้แก่ทีเอสโก ทีเอสโกมีสิทธิใช้ดุลยพินิจแต่เพียงฝ่ายเดียวที่จะยุติความสัมพันธ์ทางการเงินทางธุรกิจกับท่าน ไม่ว่าทั้งหมดหรือบางส่วน ตามที่ทีเอสโกเห็นสมควร  
You acknowledge and agree that if you fail to comply with item 2 above or provide false, inaccurate or incomplete information which required to determine whether you are a Reportable Person, or to be reported to TISCO, companies in TISCO shall be entitled to terminate, at its sole discretion, the entire banking/business relationship with you or part of such relationship as TISCO may deem appropriate.

4. ท่านรับทราบว่า ทีเอสโกจะส่งข้อมูลในเอกสารนี้ให้แก่หน่วยงานจัดเก็บภาษีทั้งภายในและ/หรือภายนอกประเทศ ตามกฎหมายพระราชกำหนดการแลกเปลี่ยนข้อมูลเพื่อปฏิบัติตามความตกลงระหว่างประเทศเกี่ยวกับภาษีอากร พ.ศ. 2566  
You acknowledge that TISCO shall disclose information in this document to domestic and/or foreign Tax Authority subject to Emergency Decree on the exchange of information to compliance with international Agreement regarding Taxation B.E. 2566

5. สำหรับธุรกรรมที่ทีเอสโกเป็นตัวแทนนิติบุคคลอื่น ท่านตกลงให้ทีเอสโกนำส่งข้อมูลของท่านตามที่ได้ไว้ในเอกสารฉบับนี้ หรือ ส่งมอบเอกสารหรือสำเนาเอกสารฉบับนี้ให้แก่นิติบุคคลดังกล่าวเพื่อประโยชน์ในการทำธุรกรรมนั้นของท่าน โดยเสมือนว่าท่านได้เป็นผู้ส่งข้อมูลหรือเอกสารนั้นกับนิติบุคคลอื่นทุกรายด้วยตนเอง ตามกฎหมายเกี่ยวกับการแลกเปลี่ยนข้อมูลเพื่อปฏิบัติตามความตกลงระหว่างประเทศเกี่ยวกับภาษีอากร  
In case of financial transaction that TISCO act as agent of other entity, you agree that TISCO shall transfer information which you provided in this document or deliver original or copy of this document to such entity as if you send information or document to each Entity subject to regulation regarding the exchange of information to compliance with international Agreement regarding Taxation.

หมายเหตุ นิติบุคคลอื่น หมายถึง กองทุนหรือนิติบุคคลอื่นที่เป็นเจ้าของผลิตภัณฑ์ทางการเงินที่ทีเอสโกเป็นตัวแทนหรือผู้สนับสนุนการขายกองทุนและรับซื้อคืนหน่วยลงทุน และผู้เกี่ยวข้องหรือตัวแทนของบริษัทจัดการ/กองทุนดังกล่าว  
Note Other Entity means Fund or other company Asset management companies who are the owners of financial product(s) that TISCO is their selling agent or sponsor for subscribing/redeeming the investment unit(s) and any of related person or agent of the asset management companies or such funds.

อนึ่ง ท่านสามารถดูรายละเอียดเพิ่มเติมเกี่ยวกับการรวบรวม ใช้ และเปิดเผยข้อมูลส่วนบุคคลของทีเอสโก ได้ตามประกาศความเป็นส่วนตัวบนเว็บไซต์ของทีเอสโกที่ <https://www.tisco.co.th/th/privacy-notice.html> หรือช่องทางอื่นใดที่ทีเอสโกกำหนด  
Whereas Please see further details of TISCO collects, uses and discloses personal data in the Privacy Notice on TISCO's website (<https://www.tisco.co.th/en/privacy-notice.html>) or other channel prescribed by TISCO.

"ทีเอสโก" หมายความว่า บริษัท ธนาคารทีเอสโก จำกัด (มหาชน) หรือ บริษัทหลักทรัพย์จัดการกองทุน ทีเอสโก จำกัด หรือ บริษัทหลักทรัพย์ ทีเอสโก จำกัด ที่ท่านมีความสัมพันธ์ทางการเงินทางธุรกิจด้วยเพื่อวัตถุประสงค์ของเอกสารฉบับนี้  
"TISCO" shall mean TISCO Bank Public Company Limited or TISCO Asset Management Company Limited or TISCO Securities Company Limited which for the purpose of this form, having banking/business relationship with you.

ลายมือชื่อผู้ถือบัญชี  
Signature of Applicant



วันที่  
Date

Consent is not a condition of providing product or service to customer.

## PERSONAL DATA PROTECTION CONSENT FORM

TISCO Securities Company Limited seeks your consent to collect and/or use your personal data given by you, as well as to disclose and/or exchange them with TISCO Financial Group Companies\* and Non-TISCO Financial Group Companies\*\* (data receivers) for the following purposes:

1. Analysis and research to develop and recommend products and services
2. Marketing, advertising or offering of products and services, sending information on benefits including promotions

Above consent shall remain in effect for 10 years from the date in this document. You may withdraw your consent by making a request to TISCO Contact Center at 02 633 6000 or 02 080 6000 or channel specified in the website [www.tisco.co.th](http://www.tisco.co.th).

Date.....

Full Name.....

National ID/Passport Number) .....

☐ Accept

☐ Reject for Non-TISCO Financial Group Companies only

☐ Reject

.....Data Owner

\*TISCO Financial Group Companies:

TISCO Financial Group Plc./ TISCO Bank Plc./ TISCO Securities Co., Ltd./ TISCO Asset Management Co., Ltd./ TISCO Insurance Solutions Co., Ltd./ TISCO Information Technology Co., Ltd./ Hi-Way Co., Ltd./ All-Ways Co., Ltd.

\*\*Non - TISCO Financial Group Companies:

Bangkok Insurance Plc./ Allianz Ayudhya Assurance Plc./ Allianz Ayudhya General Insurance Plc./ Prudential Life Assurance (Thailand)Plc./ AIA Co., Ltd./ AIA Co., Ltd. (Non-Life Insurance)/ Generali Life Assurance (Thailand) Plc./ Generali Insurance (Thailand) Plc./ Cigna Insurance Plc./ FWD Life Insurance Plc./ MSIG Insurance (Thailand) Plc./ Chubb Life Assurance Plc./ Chubb Samaggi Insurance Plc.

# For Internal Use Only

## Marketing Officer Opinion

Account Name \_\_\_\_\_

Securities Account Trading Number \_\_\_\_\_

### Type of Account

☐ Credit Line Account

☐ Trading via Marketing Officer

Limit \_\_\_\_\_ Baht

☐ Trading via Internet

Limit \_\_\_\_\_ Baht

☐ Cash Balance Account

☐ Trading via Marketing Officer

☐ Trading via Internet

### Other Opinions

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( \_\_\_\_\_ )  
Chief Marketing Officer

( \_\_\_\_\_ )  
Marketing Officer Code \_\_\_\_\_  
Date \_\_\_\_\_

## Supporting Documents for the Securities Trading Account

*Please Certify True Copy in all copies*

### Cash Balance Account

☐ Copy of ID Card/Government Officer Card/Passport

☐ Copy of House Registration

(if address in ID card does not specify address per house registration)

☐ Copy of Work Permit (non-thai individuals)

☐ Copy of Bank Account showing the Name and Account Number

☐ Letter of Consent for Debit Account (ATS)

☐ Duty Fee \_\_\_\_\_ Baht

### Additional Documents for Credit Line Account

☐ Copy of Work Permit (non-thai individuals)

☐ Copy of the last 6 months Bank Statement

☐ Salary Certification Letter/Copy of Payslip

☐ Copy of Portfolio at other Broker

☐ Letter of Consent for Debit Account (ATS)

### In Case of Appointing Representative to Act On Behalf of the Customer

☐ Letter of Representative Appointment

☐ Copy of the Representative(s) ID Card / Passport

☐ Copy of the Representative(s) House Registration

(If address in ID card does not specify address per House Registration)

☐ Duty Fee 30 Baht per 1 Representative

### Juristic Person Customer

☐ Corporate Certification Document from Ministry of Commerce

(dated within 6 months)

☐ Memorandum of Account Opening for Corporate Securities Account

☐ Memorandum of Association

☐ Articles of Association

☐ Shareholders List (dated within 1 year)

☐ Specimen Signature of Authorized Person(s) and Company Seal (if applicable)

☐ Financial Statement (last 3 years)

☐ Copy of Business License (if applicable)

☐ Copy of Tax Registration

☐ Copy of ID Card/Passport, House Registration (if address in ID card does not specify address per house registration) of authorized person(s)

☐ Copy of VAT Registration (VAT20)

☐ Letter of Consent for Debit Account (ATS) (if any)

☐ Copy of Bank Account showing the Name and Account Number

### In Case of Business Owner or Partner

☐ Corporate Certification Document from Ministry of Commerce

(dated within 6 months)

☐ Memorandum of Association

☐ Shareholders List (dated within 1 year)

☐ Financial Statement (last 3 years)

## LETTER OF CONSENT FOR DEBIT ACCOUNT

At \_\_\_\_\_

Date \_\_\_\_\_

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

I \_\_\_\_\_ Owner of the [ ] saving [ ] current

Bank Account No. \_\_\_\_\_ Account Name \_\_\_\_\_

Contact Address No. \_\_\_\_\_ Soi \_\_\_\_\_ Road \_\_\_\_\_

Sub-District \_\_\_\_\_ District \_\_\_\_\_ 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 called "the Company") or credit to all of my securities trading accounts and/or derivatives trading account ("trading account") opened with the Company, in the amount as shown in the Diskette / Uploaded Data / Electronic Data or any other means of communication which the Bank receives from the Company and/or representatives of the Company and/or any person designated or allowed by the Company to conduct such transactions on behalf of the Company, in order to pay for any debt and / or obligation to the Company.


I hereby agree to pay the service fee and / or charges and / or other expenses which related to the Direct Debit Service ("the Service") as the Bank addressed by deduct from above mentioned deposit account and / or any other my deposit account opened with the Bank.

For the said debit to my account as payment of the debt and/or any obligation to the Company, should it appear later that the amount shown in the instruction which the Bank received is incorrect and that the Bank has already debited the sum equivalent to the amount stated in the Diskette / Uploaded Data / Electronic Data or any other means of communication which the Bank receives from the Company and/or representatives of the Company and/or any person designated or allowed by the Company, including service fee and / or charges and / or other expenses related to the service as the Bank addressed (if any). 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 deposit account is at the time available. I also waive notice of such because I will be able to receive all details from PassBook and/or Bank Statement issued by the Bank and/or Invoice and/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 be valid and enforceable for such account.

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

Sincerely yours,

Signed  \_\_\_\_\_ Consenting Party  
( \_\_\_\_\_ )

As that given to the Bank/Account Owner

<p><b>Certified that the consenting party has opened trading account with the company</b></p>     <p>Signed _____ ( _____ )</p> <p>TISCO Securities Co., Ltd.</p>	<p><b>Certified correct account and true signature of consenting party</b></p>  <p><b>Bank</b> _____ <b>Branch</b> _____</p>  <p>Signed _____ ( _____ )</p> <p>Authorized Signature of the Bank</p>
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