

บริษัทหลักทรัพย์ ยูโอบี เคย์ฮิอัน (ประเทศไทย) จำกัด (มหาชน)

UOB Kay Hian Securities (Thailand) Public Company Limited.

ใบคำขอเปิดบัญชี – นิติบุคคล
Application Form - Corporate

<input type="checkbox"/> สำนักงานใหญ่ Head Office	<input type="checkbox"/> สาขา Branch _____	วันที่ Date _____
ประเภทบัญชี Account	<input type="checkbox"/> เงินสด Cash _____	<input type="checkbox"/> อินเทอร์เน็ต Internet _____
	<input type="checkbox"/> เครดิตบาลานซ์ Credit Balance _____	<input type="checkbox"/> ตราสารหนี้ Bond _____

เรียน ประธานเจ้าหน้าที่บริหาร

To The Chief Executive Officer

ข้าพเจ้ามีความประสงค์จะขอเปิดบัญชีซื้อขายหลักทรัพย์กับบริษัทหลักทรัพย์ ยูโอบี เคย์ฮิอัน (ประเทศไทย) จำกัด (มหาชน) ("บริษัท") และมีความประสงค์จะขอวงเงินซื้อขายหลักทรัพย์กับบริษัท โดยข้าพเจ้าขอให้อัดฉีดและรายละเอียดต่างๆ ซึ่งข้าพเจ้ารับรองและยืนยันต่อบริษัทว่า เป็นความจริงครบถ้วนทุกประการดังต่อไปนี้ และหากภายหลังปรากฏว่ามีการเปลี่ยนแปลงข้อมูลและรายละเอียดดังกล่าว ข้าพเจ้าตกลงจะแจ้งให้บริษัททราบโดยทันที

We wish to open a securities trading account(s) with UOB Kay Hian Securities (Thailand) Public Company Limited. (the "Company"). In order to obtain the necessary approval, We hereby provide the Company with the following statement and the necessary documents, which we certify to be true and accurate.

ข้อมูลของบริษัท Corporate Information

ไทย Thai _____	จดทะเบียนที่ Country of Incorporation
อังกฤษ English _____	<input type="checkbox"/> ไทย Thailand
ประเภทธุรกิจ Type of Business _____	<input type="checkbox"/> อื่นๆ Others, _____
หนังสือรับรองการจัดตั้งนิติบุคคล เลขที่ Cert. of Incorporation No. _____	วันจดทะเบียน Date of Incorporation _____
	เลขประจำตัวผู้เสียภาษี Tax ID No. _____
ที่อยู่จดทะเบียน Registered Address _____	รหัสไปรษณีย์ Post Code _____
หมายเลขโทรศัพท์ Tel. _____	โทรสาร Fax _____

ผู้รับมอบอำนาจทำการซื้อขายแทนบริษัท Person(s) Authorised To Trade

ชื่อ Name	บัตรประจำตัว/หนังสือเดินทาง เลขที่ ID Card / Passport No	ตำแหน่ง Designation
_____	_____	_____
_____	_____	_____
_____	_____	_____

การติดต่อ Reference

สถาบันการเงินที่ติดต่อ Bank(s) Reference			
สถาบันการเงิน Name of Bank	สาขา Branch	ประเภทบัญชี Type of Account	เลขที่บัญชี Account No.
_____	_____	_____	_____
_____	_____	_____	_____
บริษัทหลักทรัพย์ที่ติดต่อ Broker(s) Reference			
บริษัทหลักทรัพย์ Name of Broker	ประเภทบัญชี Type of Account	วงเงิน Credit Limit	
_____	_____	_____	_____
_____	_____	_____	_____

* เพื่อประโยชน์ของท่าน หากท่านประสงค์ขอคืนภาษีมูลค่าเพิ่ม ที่อยู่ติดต่อได้ต้องเป็นที่อยู่จดทะเบียนกับกระทรวงพาณิชย์เท่านั้น
* For your own interests, if you intend to claim VAT, the contact address must be the same as the registered address.

ที่อยู่และวิธีการติดต่อ Address & Mode of Contact

ที่อยู่ติดต่อได้

Contact Address

รหัสไปรษณีย์

Post Code

สถานที่แจ้งและส่งสิทธิประโยชน์ต่างๆ

Mailing Address of Share Registration Documents

☐

ที่อยู่จดทะเบียน

House Registration Address

☐

ที่อยู่ติดต่อได้

Other Address

วิธีการส่งเอกสาร และ วิธีการรับชำระเงินค่าซื้อขายหลักทรัพย์ Mode of Delivery of Documents & Settlement for Securities Trading

[โปรดเลือกข้อใดข้อหนึ่ง Select either one of the following mode of delivery]

1	ส่งทางไปรษณีย์ Mail (Address)	<input type="checkbox"/>	ที่อยู่ตามทะเบียนบ้าน House Registration	<input type="checkbox"/>	สถานที่ติดต่อได้ Contact	และชำระ/รับ เงินค่าซื้อ/ค่าขาย To Settle Trades By	<input type="checkbox"/>	ฝากเข้าบัญชี ธ. Pay-in (Bank)	
2	มารับเองที่ บริษัท Pick-up By Myself				และชำระ/รับ เงินค่าซื้อ / ค่าขาย To Settle Trades By	<input type="checkbox"/>	เช็คติดพร้อม Cheque	<input type="checkbox"/>	ฝากเข้าบัญชี ธ. Pay-in (Bank)
3	ส่งเอกสารโดยพนักงานรับส่งเอกสารตามสถานที่ติดต่อได้ และรับจ่ายเงินค่าซื้อขายหลักทรัพย์ด้วยเช็คติดพร้อม Deliver By Messenger To Contact Address / To Settle Trades By Cheque								
สำหรับบัญชีซื้อขายผ่านระบบอินเทอร์เน็ต For Internet Trading Account									
<input type="checkbox"/>	หักบัญชีอัตโนมัติ (โปรดระบุธนาคารที่ต้องการใช้ด้านล่าง) ATS (Please specify the preferred bank below)				<input type="checkbox"/>	Cash Balance			

กรณีลูกค้าเลือกใช้บริการหักบัญชีอัตโนมัติ Trade Settlement By ATS													
ธนาคารที่ต้องการให้หักบัญชีอัตโนมัติ Preferred Bank for ATS													
สาขา Branch		ประเภทบัญชี Account Type		เลขที่บัญชี Account No.									
** ระหว่างรอผลการหักบัญชีอัตโนมัติ โปรดระบุวิธีการรับชำระค่าซื้อขายหลักทรัพย์ Please specify method of settlement while awaiting approval for ATS													
<input type="checkbox"/>	เช็คติดพร้อม Cheque	ขอรับเช็คค่าขายของธนาคาร Receiving Bank for Sales Proceed		<input type="checkbox"/>	ธ.กรุงเทพ BBL	<input type="checkbox"/>	ธ.กรุงไทย KTB	<input type="checkbox"/>	ธ.กสิกรไทย KBANK	<input type="checkbox"/>	ธ.ไทยพาณิชย์ SCB	<input type="checkbox"/>	ธ.ยูไอบี UOBT
<input type="checkbox"/>	ฝากเข้าบัญชีบริษัทและบัญชีลูกค้า Pay-in Company's Account & Client's Account												

เอกสารประกอบ Documents To Be Submitted

หนังสือรับรองการจดทะเบียนเป็นนิติบุคคล	Certificate of Incorporation
หนังสือบริคณห์สนธิ	Memorandum and Articles of Association
รายงานมติที่ประชุมคณะกรรมการบริษัท	Directors' Resolution
งบการเงินปีล่าสุด	Latest Audited Financial Statements
บัตรตัวอย่างลายมือชื่อ	Specimen of Authorised Signatories
ของผู้รับมอบอำนาจ	ID Card / Passport / Work Permit of Authorised Persons

ข้าพเจ้าขอรับรองว่าจะปฏิบัติตามระเบียบข้อบังคับและเงื่อนไขของบริษัท ตลอดจนข้อกำหนดของตลาดหลักทรัพย์แห่งประเทศไทยที่มีอยู่แล้ว และ/หรือที่จะมีต่อไปในภายหน้า ทั้งนี้ข้าพเจ้าเข้าใจและรับทราบถึงความเสี่ยงที่จะเกิดขึ้นจากการลงทุนได้

ข้าพเจ้าตกลงและยินยอมให้บริษัทตรวจสอบและเปิดเผยข้อมูลดังกล่าวข้างต้นแก่นิติบุคคลที่ประกอบธุรกิจข้อมูลเครดิต หรือผู้อื่นที่บริษัทเห็นสมควรได้ทุกประการ

We hereby agree that we shall abide by the rules, regulations and conditions set out herein as well as the stipulation laid down at present or in the future by the Company or the Stock Exchange of Thailand. We acknowledge and understand that investment in the stock market contains element of risk.

We agree and consent to the disclosure of the status of our application as well as the particulars of our other banking accounts and our securities trading account as provide in this application form.

เจ้าหน้าที่การตลาด

ผู้มีอำนาจลงนาม

() Marketing Officer

Authorised Signatory(ies)

ประทับตราบริษัท Please Affix Company's Stamp

* เพื่อประโยชน์ของท่าน หากท่านประสงค์ขอคืนภาษีมูลค่าเพิ่ม ที่อยู่ติดต่อได้ต้องเป็นที่อยู่จดทะเบียนกับกระทรวงพาณิชย์เท่านั้น

* For your own interests, if you intend to claim VAT, the contact address must be the same as the registered address.

Agreement for Appointment of Securities Trading Agent/Broker

Made at UOB Kay Hian Securities (Thailand) PLC

Date

This agreement (“**Agreement**”) is made between UOB Kay Hian Securities (Thailand) Public Company Limited, having the registered head office located at 130-132 Sindhorn Tower 1, 3rd Floor Wireless., Lumpini, Pathumwan, Bangkok 10330 (hereinafter referred to as the “**Company**”) on one side; and Mr/Mrs/Ms/other....., the citizen identification card no., issued at District/Sub-district Province, having resided at No., Moo, Soi, Street, District/Sub-district Province (hereinafter referred to as the “**Customer**”), on the other side.

WHEREAS the Customer wishes to open the account for securities trading in cash and to appoint the Company as its agent/broker for securities trading and/or agrees to appoint the Company to act as its agent and/or to undertake the matters relating securities trading via the internet and/or the electronic means; as well as to settle the account from time to time. In addition, it also includes to opening sub-account (if any). The Customer agrees to comply with laws, rules or regulations relating securities and securities market, and the Stock Exchange of Thailand; and, to appoint the Company as its custodian of assets.

NOW, THEREFORE, the Company and the Customer agree to enter into this Agreement with the following terms and conditions.

Part 1: Definitions

The Company and the Customer agree to the following definitions applicable under this Agreement:

Definition

1. Unless apparently specified otherwise in this Agreement, the following words shall be specifically defined as follows:

“**Securities**” means Treasury bills, bonds, bills of note, stocks, debentures, investment units which includes instrument or evidence of ownership in mutual fund’s assets, stock warrants, debenture warrants, unit trust warrant, derivatives warrants, any other instrument prescribed by the Office of Securities and Exchange Commission, including contracts or other instruments, as well as proceeds of such securities.

“**Exchange**” means the Stock Exchange of Thailand, securities dealing center, future exchange, the Market for Alternative Investment (MAI) and other securities exchanges in Thailand.

“**TSD**” means The Thailand Securities Depository Company Limited and any center for depository and withdrawal of securities, including services relating clearing and settlement under the laws relating securities and exchange.

“SEC” means the Securities and Exchange Commission and/or the Office of the Securities and Exchange Commission.

“Subsidiary Company” means the subsidiary company as defined under the Notification of the Securities and Exchange Commission re: Rules, Conditions and Procedures for Disclosure of Information Relating to Financial Status and Operating Result of Issuing Company as amended or any relevant regulations of the authorities.

“Associated Company” means the associated company as defined under the Notification of the Securities and Exchange Commission re: Rules, Conditions and Procedures for Disclosure of Information Relating to Financial Status and Operating Result of Issuing Company as amended or any relevant regulations of the authorities.

“Parent Company” means the parent company as defined under the Notification of the Securities and Exchange Commission re: Rules, Conditions and Procedures for Disclosure of Information Relating to Financial Status and Operating Result of Issuing Company as amended or any relevant regulations of the authorities.

“Announcement” means statements, letters or any requirement the Company has informed the Customer, whether the written information is delivered to the domicile of the Customer; and also includes announcement posted at the head office, branches or the Company’s offices. The Announcement shall be deemed acknowledged by the Customer promptly once the Announcement is posted by the Company.

“Customer” means the Customer who is the counterparty of the Company under this Agreement; and also includes person designated by the Customer to give signatory or instruction on behalf of the Customer to perform any act under this Agreement, whether directly or implicitly.

“Customer’s Signature” means any signature of the Customer, its agent or any person designated in accordance with the above paragraph, whether directly or implicitly; and whether or not such signature is an initial or is given differently from the specimen signature previously given to the Company.

“Advance Payment” means the fund the Company has paid as purchase or subscription price and fees or any other expense incurred as a result of the Company’s purchase of securities on behalf of the Customer, including any other expense incurred as a result of the collection of the Customer’s debts.

“Purchase” means purchase of securities, including subscription of securities.

“Purchasing Power” means the maximum amount that the Customer may make order for securities purchase at a certain time, including brokerage fee and value-added tax.

“Customer’s Assets” means cash, securities, other properties under the notification of the SEC and/or as prescribed by the Exchange that the Customer has placed at the Company, paid to the Company and/or in respect of the provision of credit limit in securities trading, including any proceed or interest arising out of such assets, e.g. dividend, interest, right to subscription of new shares or right to attendance and voting in meeting of securities holders, etc.

“Cash Balance Account” means the account that the Customer has placed advance fund with the Company in the amount identical to the full amount of the Securities to be purchased, prior to the securities trading; that has an agreement allowing the Company to deduct fund, upon the Company’s instruction, from the Customer’s account in which the fund is deposited to cover the purchase of securities in full, prior to the securities trading; or that the Customer has remitted fund obtained from sale of securities into such account prior to the securities trading or has transferred fund obtained from sale of securities into such account.

“Cash Balance Securities Trading System” means the securities trading in which the Customer is required to place a guarantee in the amount sufficient to cover each purchase of securities, including remuneration payable to the Company, tax and other expenses in connection with the Customer’s securities trading, hereinafter referred to as **“Security Deposit”** to ensure settlement of securities trading.

“Cash Balance Credit Limit” means the amount the Company agrees to allow the Customer to trade securities, which shall not exceed the amount of Securities Deposit the Customer placed with the Company less the amount required for settlement of purchase price and the amount to be received from sale of securities.

“Internet” means the network that connects computers and network systems globally, no matter what the means of connections is, e.g. electrical line, signal line, telephone line, satellite line, to communicate, receive, transmit, display or exchange electronic message or information or other information.

“Electronic” means the applied uses of electrical method, electromagnetic wave or methods of magnetic or equipment relating the applied uses of such methods.

“Internet Securities Trading” means the case where the Company trades securities as an agent or broker of the Customer, provided that the Customer makes order instruction for securities trading itself via its own Internet network in order to enable such order instruction to get through to the securities trading system of the Exchange.

“Username” means personal individual username of the Customer designated by the Company.

“Password” means the code designated by the Customer to be used as a password in login on into the securities trading service system as required by the Company.

“PIN Code” means the code designated by the Customer to be used as a password in the Internet Securities Trading.

“Website” means the website of the Company under the domain name of www.uobkayhian.co.th or other domain names as may otherwise be changed in the future.

Part 2: Securities Trading

In appointing the Company as a securities trading agent/broker and/or in appointing the Company to act as an agent and/or to undertake the matters relating securities trading, the Customer and the Company agree with the following terms and conditions:

Appointment and Authorization

2. The Customer agrees to appoint and authorize the Company to act as its agent and/or broker in the purchase and/or sale of securities both in and out of the Exchange for the Customer under all the securities trading accounts the Customer opened with the Customer, whether such purchase and/or sale is made via any system that the Exchange and/or the Company has arranged and whether such system is currently existing or is to be specified later on. In this regard, the Customer agrees to pay the Company, from the date this Agreement is entered into, the remuneration at the rate prescribed by the Company and proportionally upon the number of securities being purchased and/or sold under such instruction, including any applicable tax, fee and expense (hereinafter referred to as the **“Remuneration”**). The Customer hereby consents that the Company may change the fee and/or the brokerage fee in the securities trading as required under the rules of the Exchange or as designated by the Company. In the foregoing appointment and authorization, if the Customer fails to provide the

Company a power of attorney as required by the Company, this Agreement shall be deemed the power of attorney authorizing the Company to act as the agent and/or broker of the Customer for its purchase and/or sale of securities.

The above authorization shall also include the following authorities:

2.1 to purchase, sell, transfer, take transfer and subscribe all types of securities, both in and out of the Exchange, including to deliver, take delivery of, possess, take care of or hold such securities;

2.2 to pay and be paid for purchase or sale price of securities, including fees, taxes, duties, expenses relating trading or transfer of securities, as well as to receive dividends, interests or other proceeds arising from the securities; and to deduct taxes applicable and further forward to the Revenue Department or relevant authorities;

2.3 to deposit, withdraw the Customer's securities and assets relating the trading, or to transfer the securities, under this Agreement, deposited at the TSD, including to take care of the proceeds arising from such Customer's securities and assets;

2.4 to pledge or otherwise arrange, as required by law, for the Company's preferential right over securities and/or rights and/or assets of the Customer as a guarantee against the debt owed to the Company by the Customer or other persons; as well as to arrange for withdraw of pledge by executing the document, instrument or other letters relating such matter with relevant person, or otherwise arrange for any matter relating the securities trading, e.g. notification of pledge, closure of share register, registration, etc.;

2.5 To execute and/or sign any letter, document or instrument or undertake any matter relating the arrangement in clauses 2.1 to 2.4 on behalf of the Customer as necessary or appropriate under this Agreement;

2.6 To appoint agent or sub-authorize any person to undertake any matter on behalf of the Company under the authorities given under this Agreement; and

2.7 To undertake any other act necessary or appropriate for and on behalf of the Customer, in order to fulfill the objective of this Agreement.

Securities Trading

3. In making order to purchase or sell securities, the Customer may do so verbally or in writing, or in any manner in accordance with the tradition or the practice generally conducted by members of the Exchange for an order to purchase or to sell securities, or any manner customarily conducted by the Customer, whether or not in the ordinary course of business, in order that the Company purchases and/or sells securities from time to time.

In the case where the Customer orders to purchase or buy verbally, the Customer may make such order itself at the Company's trading room or have its agent make such order, as well as via telephone, telex, facsimile, Internet or other communication equipments. In this regard, the order slip completed upon the Customer's order, which is the Company's own form, or any other similar form that the employee of the Company has completed upon the order of such Customer, constitutes sufficient evidence against the Customer's liability to the Company even without the Customer's signatory or completion of such form. In case of an error, the Customer shall notify the Company in writing within the next business day; otherwise, it shall be deemed acceptance of the Customer that such order slip is true, accurate and fully valid. The Customer agrees to oblige to such order and comply with the provisions of this Agreement in its entirety.

The order to purchase or sell Securities shall bind the Customer at the time it is made by the Customer or deemed to be made. In the case where the Company is not able to purchase or sell Securities, whether wholly

or partially, as instructed by the Customer, the Customer and the Company agree that the part of the above order that the Company is not able to fulfill (which is not at the Company's fault) shall be deemed cancelled promptly upon the end of the trading hours of the Exchange on the date of such Customer's order. In the case where the Company is able to purchase or sell Securities, whether wholly or partially, as instructed by the Customer, the Customer agrees to commit to such purchase or sale in its entirety. The Customer agrees that the Company shall not be liable for damage incurred to the Customer as a result of Company's failure to purchase or sell Securities upon the instruction of the Customer, whether wholly or partially.

In the case where the Securities trading instruction of the Customer is made via the Internet, the Customer agrees to appoint the Company as its agent and/or broker for its Internet Securities Trading, within the credit limit and under the conditions approved and informed the Customer by the Company. In this regard, the Company shall designate username and password and inform the Customer of the same in advance. In this regard, the Customer and the Company mutually agree that such instruction shall be considered the instruction of the Customer under this Agreement once it is verified and accepted by the computer system of the Company. Where the trading instruction is made in accordance with the procedures stated herein this clause 3 and the Customer accepts the outcome of such instruction as if the Customer has itself made it in all respects, it shall be considered that, with respect to such order to purchase and/or sell the above Securities, the Customer agrees to admit that the confirmation letter in connection with the Securities trading issued by the Company after the trading of Securities on behalf of the Customer is deemed a conclusive evidence to support the purchase or sale of Securities (as the case may be) in the amount equal to the Advance Payment that the Company paid for and on behalf of the Customer in the purchase of Securities and/or the amount received from the sale of Securities as detailed in such document, unless the Customer has submitted a dispute in writing to the Company within 3 business days following the date the Securities is traded.

The cancellation or change of order to purchase or sell, whether wholly or partially, may be made by the Customer informing the Company during the normal trading hours of the Exchange prior to the completion of trading instruction. Such cancellation or change shall be effective upon the Customer receiving the confirmation of such cancellation or change in writing from the Company. The cancellation or change shall have nothing to do with any matter undertaken by the Company prior to the effectiveness of such cancellation or change.

4. The Customer agrees and acknowledges that the order to purchase and/or sell Securities is intended for the purchase and/or sale of Securities of the name, type, class, amount and price that the Customer would like to purchase and/or sell only; and not particularly intended to purchase from or sell to anyone, or that anyone is the holder of the Securities purchased or sold as such, or such Securities is of any particular nature. In the case where the Company is required to receive from or deliver to purchaser, seller or Customer the Securities, the Securities of the same type, class, and amount may be interchangeably used for such purpose.

5. The Customer acknowledges that the Company is not always obliged to take the order to purchase or sell Securities of the Customer. The Company is entitled to refuse to honor the Customer's order to purchase or sell Securities at no cause to be informed to the Customer, as well as not required to be liable for any damage incurred to the Customer as a result of the Company's refusal to take such order. The Customer acknowledges that each of any order to purchase or sell Securities or each of any transaction made is completely made by the sole decision of the Customer. Any data, information or recommendation relating the Securities trading obtained

from any employee of the Company shall not bind the Company and shall not result that the Company being held liable for in any and all manner. Any act performed by the Company under this Agreement is deemed as the Customer's own act in which the Customer shall not refuse liability, as well as argue or object in any manner.

6. In trading Securities using one or more securities trading account of the Customer altogether, the Customer may, at any certain point of time, trade Securities, within the credit limit approved by the Company and in accordance with the Company's method of calculation of credit limit individually, provided that the Customer agrees that the Company may increase or decrease such credit limit or change the method of calculation of credit limit without prior notice.

The Customer agrees and acknowledges that the Company is entitled to not making order to purchase and/or sell upon the instruction which exceeds the Customer's credit limit of securities trading and/or the Customer's Purchasing Power at any certain point of time; and the Customer agrees to accept the case that the Company does not make order to purchase and shall not claim against the Company for any damage or expense.

The Customer acknowledges that, in calculating the Purchasing Power of the Customer at any certain point of time, the Company shall consider the value of the Customer's assets placed as a guarantee in the cash balance securities trading under the agreement then existing, in accordance with the rules, conditions, and procedures prescribed by the SEC and/or the Exchange and/or the Company, provided that the Company is entitled to change the condition and method in calculating the Customer's Purchasing Power as it sees fit without prior notice to the Customer in any manner.

In the case where the Company trades Securities upon the Customer's instruction in the manner exceeding the credit limit originally approved by the Company, the Customer agrees to be bound by such instruction as if the Company has temporarily increased the credit limit for the Customer. However, the Company is not obliged to increase the credit limit for always.

7. Once the Company trades the Securities upon the Customer's instruction, the Company shall confirm the Customer of such transaction via postal mail, facsimile, Internet or any other electronic means; or hand courier by the Company's employee to the domicile of the Customer given to the Company. In this regard, the Customer is required to verify such document immediately. If the Customer fails to argue or object in writing to the Company within the same day, the Customer consents that the Company's document evidencing the Securities trading transacted on behalf of the Customer is deemed accurate. And the Customer shall not make any defense against the Company.

8. The Customer agrees, represents and covenants that the Securities the Customer delivered to the Company is under the lawful ownership of the Customer and is not under pledge, lien, seizure or any encumbrance; or under any interest of other person (whether under the law or the principle of equity). In the case where the Customer has provided the Company any financial explanation or information, it shall be deemed that the Customer acknowledges, represents and covenants that any of such financial explanation and information is the true, complete and accurate explanation and information in all respects; and the Customer has not concealed any material fact or information.

Debt and Debt Performance

Order for Purchase of Securities

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9. In purchasing Securities, the Customer agrees to pay the Company the price of Securities, remuneration, fee or any other amount the Customer is required to pay the Company within 3 (three) business day from the date the Customer instructs for such Securities purchase or within any specific time announced by the Company or the Exchange, depending on the Company to specify from what date it will counts. If the Customer fails to pay for the price of the Securities, when due, the Customer agrees that the Company shall promptly sell the Securities the Customer had instructed the Company to purchase, without prior notice to the Customer. And the Customer consents to indemnify the Company for damages arising from such purchase of Securities, as well as the interest incurred at the maximum rate applicable.

In case of same day trading of Securities, whether or not such Securities traded is the similar Securities, the Company shall offset the purchase price against the sale price of the Securities under the Customer's account. If there is a deficit (after such set-off), the Customer agrees to pay the other party such deficit of the price in accordance with the amount of deficit incurred from the set-off of the purchase price against the sale price of such Securities on the 3rd business day following the trade date of such Securities or on any other day required by the Exchange or the Company.

If the Customer fails to make payment of the price or the deficit under the 1st paragraph or the 2nd paragraph of this Clause 9, the Company shall not further purchase additional Securities for the Customer, unless the Company have received such payment from the Customer in full, or as the Company may consider otherwise.

In the case where the Customer fails to pay for the price of the Securities purchased in full by the time required; and/or fails to pay fee, brokerage fee, loss, outstanding balance or any expense due or demanded by the Company; and/or fails to repay loan or advance payment or interest within the time required in accordance with the conditions and the rates prescribed under this Agreement, the Customer hereby consents that it shall be deemed the Customer's default in performing its debt obligation under this Agreement and agrees that the Company change the maximum default interest rate prescribed by the Company from the due date until such debt obligation is performed in full, including the penalty fee at the rate prescribed by the Exchange and/or the Company from the due date until it is paid in full. In this regard, the Customer agrees that the Company may force sell such purchased Securities promptly upon completion of the time required under the above paragraph or afterward, as well as to enforce the sale of the guarantee placed with the Company without prior notice to the Customer, as the Company sees fit.

In the abovementioned force sale, the Customer consents that the Company may offset the fund obtained from such force sale (less fee or brokerage fee, loss, outstanding balance, interest, penalty fee and any other expense) against the debt obligation under all types of account that the Customer owes the Company, as well as to offset the proceeds or dividends the Company has acquired, and possessed, on behalf of the Customer against all types of debt obligation the Customer owes the Company, including any damage arising out of the purchase of such Securities, until all such debt obligations are performed in full without any objection and prior notice to the Customer. If the fund acquired is insufficient to cover all the debt obligation, the Customer agrees to be liable for the deficit, including the maximum interest incurable to the Company, in full.

10. The Company shall deliver the Customer the purchased Securities within four business days following the trade date or within any other time required by the Exchange, provided that the delivery of Securities shall mean to include the transfer of Securities via the Securities depository account arranged by TSD

for the purposes of depository, withdrawal, or transfer of Securities for the Customer; or the case where the Customer assigns that the Company keep the Securities purchased on its behalf.

11. In case where the Customer is required to pay the Company the purchase price of Securities, and the Company is required to pay the Customer the sale price of Securities on the same day, the Company may offset the purchase price and the sale price of such Securities in order that the Company or the Customer pay the other only the different amount of such prices (after setoff) within the day the payment of such purchase price or sale price is required without prior notice to the Customer. It is provided, in such setoff, that the Company may choose to offset all or part of Securities of any name, type, class, amount or price.

Order for Sale of Securities

12. In sale of Securities, the Customer shall deliver the Company the Securities to be sold, including the relevant transfer document or deed accurately and completely executed prior to making an order to sell or at least by 12.00 P.M. of the next business day following the date the sale order of such Securities is made or within any time prescribed by the Company and/or announced by the Exchange.

In the case where the Customer fails to deliver by the time required, the Company shall be entitled to purchase the Securities similar to the one the Customer orders for sale from any person or place for the purpose of delivery immediately or within any other time the Company sees fit, without prior notice to the Customer. In this regard, the Customer consents to be liable for advance payment, fee, and damage incurred to the Company, as well as the maximum interest rate prescribed by the Company and penalty fee prescribed by the Exchange and/or the Company arising out of the Customer's failure to deliver the Securities in all respects.

13. The Company shall deliver the Customer the fund acquired from sale of such Securities (less fees and other expenses) within the 3rd business days following the date of sale or within any other time required by the Exchange or the Company, provided that such fund shall be made by issuance of account payee cheque payable to the account of the Customer, by transfer of fund into the bank's deposit account of the Customer or by any other means required by the Exchange or the Company.

If the Customer still has owed the Company the purchase price, damage, fee or other payments, the Customer is required to completely make such payments to the Company; otherwise, the Company shall not deliver the Customer the fund acquired from sale of Securities.

14. In case of same day trading of the same Securities (or where the Customer sells the Securities previously purchased within same day), the Company may offset the purchase price against the sale price of such Securities for the Customer ("**Net Settlement**") and pay the Customer the net amount on the 3rd business day following the trade date or any other day required by the Exchange or the Company.

15. In case where the Customer is in default or in breach of agreement, the Company may allow the Customer to remedy such default or breach within the time or under the condition specified by the Company. Such allowance is however individually granted for such a particular matter in default or breach only. If the Customer fails to remedy completely within the time or under the condition specified for such allowance, the Company shall still be entitled to demand the Customer for immediate performance of the entire debt obligations.

16. The Customer acknowledges that by not having exercised, at any particular time, any right, power or privilege of the Company against the Customer under this Agreement, it shall not be deemed as an

abolishment or a waiver of such right, power or privilege. An exercise of any right, power or privilege at any one time or partially shall not be deemed to bar the Company to fully exercising its right, power and privilege under this Agreement.

17. In case all Securities is disposed, this Agreement shall be deemed expired and there shall be settlement of account or settlement of the guarantee at once. Particularly in this regard, the Customer and the Company jointly agree that this Agreement shall be deemed to remain to bind the Customer further, and not be in expiration, unless the Customer wishes to terminate this Agreement or close the account with the Company once the settlement of account or settlement of guarantee is made, in which case the Customer shall inform the Company in writing.

In the case where this Agreement is deemed expired in any manner, if it appears that, upon completion of the settlement of account, the Customer still owes the Company the debt obligation, the Customer shall make payment of the such outstanding debt obligation, with the applicable highest interest rate calculated from the date of settlement to the date of completion, provided that such outstanding debt obligation shall be completed within the time specified by the Company.

18. In case where any of the terms and conditions of this Agreement is affected by laws, notifications, rules and regulations of the Ministry of Finance, the SEC, the Exchange, the Anti-money Laundering Office or any government agency, or notification of the Company; or where the Company sees appropriate, the Customer consents that the Company may modify or amend the provisions of this Agreement in compliance with such law, notification, rule and regulation or objective, as the case may be, provided that the Customer consents to be bound by and comply with strictly, whether or not the Company has informed the Customer. The above shall be effective and binding upon such modification or amendment.

The Customer agrees to acknowledge the practice or norm practicable in the securities business, e.g. adjustment of interest rate upon movement of interest rate in the market at any one time. In this regard, the Customer consents to be bound by the practice the Company has performed which is acceptable in the securities business and not in violation of laws, notifications, rules or regulations specified by the Exchange or the Office of the Securities and Exchange Commission.

In case where any change causes that the Customer to perform or omit to perform any act in compliance with this Agreement, the Customer agrees to comply with this Agreement in all respects; and shall not claim against the Company for any damage.

19. The Company is entitled to terminate this Agreement at any time by giving the Customer a notice, and the Customer agrees to repay the Company the loan or advance payment, interest and/or any other debt obligation within 7 day following the date the notice of termination is made.

In case the Customer is in default or owes the Company a debt obligation, or where the Company sees that the trade of Securities in the Exchange carries shows any behavior in the manner abnormal or untrustworthy, whether or not such behavior incurs on a particular Securities or on some certain or all transactions in the Exchange, and despite being on the Securities purchased or sold by the Customer, the fact of which may affect the price of the Securities the Customer assigned that the Company possess as a guarantee, **the Customer consents that the Company may, at its discretion, sell any Securities the Customer has with the Company, whether partially or entirely, at the time and the price the Company sees fit, without advance instruction**

of the Customer. In this regard, the Customer agrees to waive its rights to claim for any damage incurred in connection with such action.

20. Should any notice or notification to the Customer under this Agreement is made by announcement, telephone (at the tel. no. provided by the Customer), delivery of letter (to the address of the Customer indicated in the beginning of the Agreement for Appointment of Securities Trading Agent/Broker or at the tel. no. or to the address the Customer informed the Company in writing (in case of change of delivery address after the execution of this Agreement), the Customer consents that it shall be deemed that a notice or notification is lawfully made to the Customer already, whether or not the Customer has received such notice or notification by itself or by someone else on its behalf. In the case where the tel. no. or the address of the Customer is changed, revoked, closed or yields no recipient, or it is informed by competent official that the address provided in this Agreement cannot be found, it shall be deemed that the Customer has lawfully received such notice or notification, or such communication already.

Guarantee for Trading of Securities

21. Prior to trading of Securities, the Customer shall place at the Company an asset as a guarantee against the settlement of purchase or sale price of Securities or any other relevant debt obligation for the account of Securities trading in cash at the rate prescribed by the Exchange or securities dealing center; provided on the execution date of this Agreement, the rate is not lower than 15 percent of the amount the Customer is able to trade Securities, in which such amount shall not exceed the Customer's credit limit in securities trading approved by the Company. In case where the Customer fails to place a guarantee sufficient to meet such rate, the Customer agrees that the Company shall consider the amount the Customer may be able to trade Securities as the Company sees fit. However, in the case the Customer places the guarantee in exceed of such rate, it shall not result in an increase of the Customer's credit limit approved. The Customer shall still be able to trade Securities within the credit limit approved by the Company only.

The asset to be used as a guarantee in Securities trading that the Customer may place with the Company under the above paragraph includes cash, fully-paid listed securities and/or other securities under the notification of the Office of the Securities and Exchange Commission relating Operations Relating to Lending of Money for Purchasing Securities and Lending of Securities to Non-Institutional Clients for Making Short Sale, *mutatis mutandis*, including any other asset specified by the Exchange, provided that the Customer shall arrange to pledge and register the pledge the Securities in accordance with the form and procedure specified by the Company. In case there is no registration of pledge, the Customer agree that the Company hold such asset, and the Company shall sell such asset in the public auction. The proceed acquired from such public auction shall be used to repay the Company of the Customer's obligation. Otherwise, the Company may enforce or seize the asset being held as a guarantee until the Company is being repaid in full.

Margin Loan for Securities Trading

22. In case of the margin loan for Securities trading, the Customer agrees to comply with Rules, Conditions and Procedures specified by the Exchange or the SEC and/or the Company. The Customer shall execute an agreement relating margin loan for securities trading in the form specified by the Company and such agreement shall form an integral part of this Agreement.

Cash Balance Securities Trading System

23. In case of Cash Balance Securities Trading System, the Customer agrees to provide the Company a fund, as a guarantee against its debt obligation prior to making order for purchase of Securities, provided that the Customer shall transfer the fund into the Company's bank account and deliver the Company a pay-in slip or any other proof of fund depository for the Company's verification prior to executing Securities trading. The Company agrees that the Customer is entitled to purchase Securities within the Cash Balance Credit Limit.

24. In making each order to purchase Securities, the Customer agrees that the purchase price of Securities shall be deducted from the Security Deposit on the date of settlement, in order to make payment of the Customer's purchase price.

In case the Customer makes order to sell Securities, the Company shall consolidate the proceed of sale, less fee, brokerage fee and other expenses, with the outstanding Security Deposit on the settlement date of the sale of Securities, in order to calculate the credit limit for the Customer accordingly.

25. The Customer may increase the credit limit by providing the Company an additional fund as a guarantee against its debt obligation prior to making order to purchase Securities. In this regard, the Company shall recalculate the Customer's credit limit by consolidating the outstanding Security Deposit and the proceed the Customer obtains from sale of Securities under the 2nd paragraph of Clause 24, with the additional fund placed as a guarantee, to make up the Customer's credit limit.

26. In case where the Customer wish to withdraw fund, it shall inform the Company at least 1 business day in advance. The fund withdrawable shall only be the balance outstanding after deducting the amount required for settlement of Securities purchased not yet due, in accordance with the agent agreement.

27. The Customer agrees that the Company shall be entitled to utilize the Security Deposit under this Agreement by means of depository or investment on the fund or any financial instrument with financial institution; or issuer or drawer of the bill of note that binds the Company, whether as a Parent Company, Subsidiary Company or Affiliated Company in accordance with the notification of the SEC.

The Customer acknowledges and understands that such Security Deposit shall not fall under the protection of the Financial Institutions Development Fund or any other financial institution that provide deposit protection. The Customer shall receive interest on the fund in such Security Deposit only on the outstanding amount of the Security Deposit that the Customer has not yet utilized in the purchase of Securities at the interest rate applicable for the Security Deposit announced by the Company. Such interest rate is subject to change as the Company sees fit. However, the rate of interest in the above paragraph shall not exceed the rate of return receivable by the Company in utilizing the fund in the Security Deposit as prescribed in the 1st paragraph of this clause.

28. In trading Securities in the Cash Balance Securities Trading System under this Agreement, the Customer agrees that it shall not trade Securities in the manner exceeding the credit limit approved by the Company. Besides, the Customer agrees to accept any and all outcome of the trading under its purchase and/or sale order of Securities that exceeds the credit limit of such purchase and/or sale, although such purchase and/or sale shall cause that the purchase and/or sale exceeds the Customer's credit limit.

Customer's Representations in relation to Securities Trading via the Internet or other Electronic Means

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29. In trading Securities and/or using other services of the Company via the internet or other electronic means, the Customer shall entirely make order by using the Username, Password and Personal Identification Number Code (PIN Code), in accordance with the rules, conditions and procedures specified by the Company, in logging in (Log In) to and accessing the account, as well as in making any transaction relevant to the account opened, held, or accessible by using such Username, Password and PIN Code, including in changing such Username, Password and PIN Code. The Customer agrees that any order made by using such Username, Password and PIN Code shall be deemed, by the Company, as being made accurately by the Customer.

30. The Customer agrees to be entirely responsible for the use and safe custody of the Username, Password and PIN Code provided in making order of Securities trading and any transactions relevant to the account opened, held, or accessible by using such Username, Password and PIN Code; and agrees that it shall be deemed as being made accurately by the Customer. The Customer shall exercise due care to prevent an unauthorized person to connect to the computer system. In case the Customer suspects that the unauthorized person:

1. accesses the services or the account of the Customer, or
2. is able to access the services or the account of the Customer;

the Customer shall immediately notify the Company. Should the Customer allow a third party access into its account or to know its Username, Password and PIN Code, the Customer shall defend, be liable and indemnify the Company from damages arising from the responsibility on fees or damages incurred to the Company as a result of the above action, including but not limited to claim or lawsuit made by such third party in accordance with or in relation to such access or use of Username, Password and PIN Code, and the fact that the Customer has not notified the Company of the suspected event it has been aware or should be aware of, should it has exercised higher level of care.

31. In case where Securities trading order cannot be made via the internet system due to an error of equipment or computer system of the Customer or the Company, the Customer may make Securities trading order via telephone or by any other means to the authorized personnel of the Company. In this regard, the Company shall confirm the Customer of the purchase or sale of Securities in the manner specified by the Company; and it shall be deemed that the Customer acknowledges and accepts such abovementioned conditions. If the Customer fails to dispute or object in writing to the Company within 24 hours from the time it is confirmed, it shall be deemed that the Customer agrees that the purchase or sale of Securities executed by the Company on behalf of the Customer is accurate, and the Customer shall not make any defense against the Company.

32. In trading Securities via the Internet or using other services of the Company under this Agreement, the Customer agrees to accept and be bound by the outcome of the purchase or sale of Securities or the use of any other service exhibited on the Internet by the Company. The Customer is required to verify the outcome of the purchase or sale of Securities or the use of any other service via the Internet in the form and manner specified by the Company, provided that the Company may or may not, otherwise, confirm the outcome of the purchase or sale of Securities or the use of any other service in any other manner, as it sees fit.

33. The Customer acknowledges and shall not make Securities trading order that is inappropriate and has an impact on the overall confidence in the trading system, e.g. trading or acting otherwise in the manner causing the price of Securities to be higher or lower than in the normal condition of the market, or undertake to

acquire unlawful interest from Securities, whether for itself or anyone else, etc. The Customer shall comply with the notification and regulation announced by the Exchange or any other relevant agency.

34. The Customer is required to inform the Company of its domicile and email address, as well as any change to them immediately.

35. The Customer agrees that, at any time, the Company reserves the right to terminate the Customer's access to the Internet Securities Trading at its sole discretion without prior notice.

36. The Customer agrees that it shall not use any other computer program and/or software to connect its computer to the Company's computer, unless the Company requires or allows for the purpose of this Agreement.

37. The Company agrees to maintain its computer system in the good order and condition normally compatible with the Company's computer system, without limitation to only the requirement of maintaining a condition of serious-virus free. The Customer shall exercise due care and implement preventive measures to ensure that the Company shall not be affected from any loss or damage, whether direct or indirect, arising out of the error of the Customer's computer, which should not happen if the Customer has exercised due care and implemented preventive measures before hand. In this regard, the Customer agrees to indemnify the Company of any damage, fee and expense arising out of such damage, in full, without any condition.

38. The Customer acknowledges and understands the rules, conditions and procedures relating Securities trading via the Internet and electronic means, and all facilities provided by the Company, provided that the Company shall arrange to connect the trading system to enable the Customer to make Securities trading order via computer or the authorized personnel of the Company, as well as acknowledges risks associated if the equipment or facility of the Customer, the Company or the Exchange used in transmitting or receiving order via the Internet is in error, resulting in the failure in the transmission or reception of order. The Customer also accepts any damage that may incur, whether or not by itself or any other person and whether in bad faith, e.g. loss of data in the course of transmission, delay in data transmission or failure in transmission, as well as any damage arising out of the force majeure, e.g. failure of or unworkable data connection, computer virus. It is provided that the Company shall not be held liable in the damages incurred in any case, unless it is caused by the officer of the Company.

39. In case where Securities trading order is made via the Internet, electronic means or any means under the condition and permission of the Exchange or the SEC and/or as specified by the Company; and the Customer has soundly studied and acknowledged the rules, conditions and procedures in making Securities trading via the Internet and electronic means, the Company shall accordingly arrange to connect the trading system to enable the Customer to make Securities trading order via the computer or the authorized personnel of the Company.

40. Any notice or notification to the Customer made via the Internet, electronic means or telephone as specified in the Agreement or at the address informed the Company in writing later by the Customer shall be deemed lawfully made to the Customer of such notice or notification.

Agreements relating Use of Electronic Services

41. The Customer represents that the Company has been authorized to act in accordance with the authentically certified instruction by using the accurate Username and Password. The Customer agrees that such authenticated certification by the use of Username and Password shall bind the Customer; and the Customer shall not claim for loss of profit, loss from trading or damage arising out the Company referring to such Username and Password. Moreover, the Customer shall try to prevent and exercise due care in the access to use

the services to avoid the service rendered or to be rendered fall out of the objectives of the Company. In this regard, the Customer shall be responsible for the entire expenses. The Customer also agrees to notify the Company immediately should there be loss, thief or unauthorized use of Username and Password and/or account number of the Customer.

42. The Customer agrees and understands that the Company may and shall not be, or is not responsible for any delay or inconvenience in complying with the order, along the course of rendering services, that the Company has exercised its best-effort. Any delay in executing such order is beyond the Company's control and the Company shall not be held responsible for and/or shall not be responsible for any delay, in responding to the order, caused by the market volume and/or market volatility. The Company shall not be responsible for delay in responding to the order that is due to the verification and acceptance of such order.

43. The Customer agrees that the Company shall not be held liable for any loss arising out of the cause beyond the Company's direct control, without limitation to unworkable condition of the Internet, electronic equipment, mechanic, telephone line or other communication device, or problem of connection, unauthorized access, thief, error of other business operator, bad weather, earthquake, flood and labor strike or other labor problems.

44. The information and news provided in the services rendered is of the "as-is" nature, and may be delayed, omitted or incorrect. The Company, representative of the company providing information and licensor may not and shall not guarantee the accuracy, sequence, completion of time, ability to purchase or sell or appropriateness for any purpose of the information or news, as well as the purchase or sale price provided in the service or force majeure or any other cause beyond the Company's control, the representative of the company providing information and licensor. Either party shall not be held liable against the Customer or other person should loss or damage arising out of negligence, careless or omission of all or part of the search, compilation, interpretation, revision, writing, reporting or transmission of any information or news via this services.

45. The Customer acknowledges that, in using this service, there is risk from virus attack into the Customer's computer system or equipment, or risk in service obstruction or interference by third party beyond the Company's control which is able to access the computer system or equipment of the Company. The company who provides information and the licensor shall not be responsible against the Customer or other person should there be loss or damage from virus attack or service blockage or interference.

Receipt and Payment of Fund via the Automatic Transfer System (ATS)

46. In case the Customer uses ATS in receiving and making payment of Securities trading, the Customer hereby agrees with the supplemental terms and conditions as follows:

46.1 Both parties agree that the debit and/or credit of fund via ATS may be used between the parties, as indicated by the Customer in the application for debit of bank account for settlement, placement or withdrawal of Security Deposit and/or any obligation. However, it shall not prejudice the right of either party to use other methods of payment.

Once bank has debited fund from and/or credited fund into the deposit account as indicated in the application for debit of bank account submitted to the Company, it shall be deemed that the Customer has already paid and/or received the fund in relation to purchase or sale of Securities; and the Company shall not longer be required to issue any proof to the Customer.

46.2 Both parties agree that the method of fund debit and/or credit under Clause 46.1 shall be applicable to any performance of debt obligation, placement or withdrawal of Security Deposit and/or any obligation to be incurred in the future, until either party give notice of termination in writing.

46.3 Fees payable to bank and/or the Company, as well as other expenses in connection with the credit of fund into the Customer's account shall be borne by the Company. On the other hand, the same in the debit of fund from the Customer's account into the Company's shall be borne by the Customer in full.

The above arrangement on the responsibility and fees, including expenses, is subject to change by the Customer and/or the bank without prior notice to the Customer; and the Customer agrees that it shall not dispute or make any defense in any manner.

46.4 In case where the Company credit fund into bank account, as required above, in the amount exceeding the actual figure and/or where the Customer is required to return any fund to the Company, the Customer agrees to return the Company such fund and/or consents that the bank debit fund from its bank account, as required above, promptly.

Part 3: Custodian of Customer's Assets

The Company and the Customer jointly agree with the following terms and conditions in appointing the Company as the custodian of the Customer's assets.

47. The Customer agrees to appoint the Company to be the custodian of its assets for the interests of safekeeping and/or trading or borrowing of Securities and/or guarantee against purchase or sale of Securities and/or any other interest under the scope required by law, provided that the Customer agrees to pay a custodian fee under this Agreement as specified by the Company.

48. The Customer agrees and accepts that the Customer is entitled to withdraw its fund from the Company under the following terms and conditions.

48.1.1 The Customer shall notify the Company in writing, in the form prescribed by the Company, at least 1 business day in advance.

48.1.2 In case where the Customer owes the Company a debt obligation from Securities trading and/or any other debt obligation payable to the Company under agreement, the Customer may not withdraw its fund in the manner causing the fund placed with the Company to be insufficient for the performance of its debt obligation owed to the Company, unless the Customer owes the Company no debt obligation, in which case the Customer may withdraw all of its fund.

However, if such withdrawal of fund of the Customer causes that the value of the Security Deposit placed with the Company against its debt obligation under this Agreement decrease to be less than the rate specified by the Company, as well as if the value of such Security Deposit decreases to the extent lower than the minimum value specified by the Company, by any reason, the Customer shall not be able to trade Securities, until it has placed additional Security Deposit in accordance with the rules, conditions and procedures specified by the Company.

49. The Customer agrees to accept that the Company may utilize, by making investment, the Customer's fund for an individual interest of the Customer and/or for the joint interest of the Customer and other customers of the Company, as the Company sees fit under the rules, conditions and procedure required by the

SEC; provided that the Customer agrees and consents that the Company may also deposit the Customer's fund with financial institution or engage in transactions with a person related to the Company, whether directly or indirectly, as a parent company, subsidiary company or affiliated company.

50. The Customer agrees and consents that the Company is entitled to use the Customer's fund to pay the Company for debt obligation in Securities trading and/or fees and/or brokerage fees and/or any other expense, including any interest and damage incurred from Securities trading under this Agreement in full.

51. The Customer acknowledges and understands that the fund deposit with the Company as one types of the Customer's assets shall not fall under the protection of the Financial Institutions Development Fund or any other financial institution that provide deposit protection.

52. The Company shall not appoint any person as its agent in safe custody of the Customer's assets, unless it is in forms of deposit with commercial bank, investment in promissory note of finance company, TSFC Securities Public Co., Ltd., Thailand Securities Depository Co., Ltd. or the Bank of Thailand, or as approved by the SEC.

53. The Customer agrees and consents that the Company is entitled to do any act to create, modify, transfer, reserve or extinguish right in the Customer's assets, unless it is agreed otherwise in writing.

54. The Company shall not utilize an asset of one customer for the interest of the other customer, other person, or the Company itself, unless a written instruction or written consent is obtained from the Customer on a case-by-case basis.

55. The Customer agrees and consents that the Company may exercise the rights and benefits of the Customer or arrange as necessary to enable the Customer to enjoy the rights and benefits arising from being an owner of Securities or any instrument under the custodian of the Company, with the issuer of such Securities or instrument in a timely manner.

56. The Company shall provide the Customer a report exhibiting list of assets once a month, unless for the month that there is no transaction that creates movement or modification of the assets in its custodian under this Agreement. In case where the Customer has no transaction for a consecutive six month upward, the Company shall provide the Customer such a report once every six months.

57. The Company shall segregate the Customer's assets in accordance with the notification of the SEC or the Capital Market Advisory Board, or in any other manner under the relevant rules and regulation or as required by the Company; provided that the following shall be already considered as the segregation of assets.

57.1 Cash

(a) The Company shall segregate cash by depositing with commercial banks or other banks established under specific laws; investing in treasury bills, Thai government bonds, state-owned enterprise bonds, Bank of Thailand bonds; investing in debt instruments that the Ministry of Finance provides aval on the entire amount or guarantees the entire amount of both the principal and interest; investing in promissory notes issued by commercial banks or finance companies; investing in investment units of domestic money market mutual funds; or investing in other manners as required under the relevant rules and regulations, provided that it shall be expressly indicated on such deposit account, promissory note, or particular investment that it is undertaken by a securities company for the interest of customer. In case where such deposit or promissory note is redeemable upon maturity, there shall not be restriction for redemption prior the maturity.

(b) The Company segregates cash by keeping in its own custody, provided that the Company maintains in safe custody and is able to identify that such fund is the customer's assets without doubt.

57.2 Securities

(a) The Company segregates Securities by depositing with TSD or the Bank of Thailand, provided that it shall be expressly indicated that such assets are deposited by the Company for the interest of the customer; or

(b) The Company segregates Securities by keeping in its own custody in the manner able to identify that such Securities certificate belongs to the customer without doubt.

57.3 Other assets

(a) The Company segregates other assets by keeping in its own custody in the manner identifiable that it is the customer's assets or keeping anywhere else in accordance with relevant rules and as specified by the Company.

(b) If the customer's assets in (a) above are the assets for purchase or sale foreign securities, the Company will segregate aforesaid assets in sort that could be particularized as the customer's assets or the transferable assets in accordance with rules and orders specified by the Company.

58. If there is proceed arising from any of the Customer's assets as agreed by the Company, where the Customer is entitled to receive such proceed from the Company, the Customer agrees that the Company may, without prior notice to the Customer, offset such proceed against the custodian fee under this Agreement (if any) or any other debt obligation the Customer is required to pay the Company, until the Company have received such fee or payment of such obligation in full. However, if there is still outstanding debt obligation the Customer owes the Company, after such setoff of the proceed against the fees and obligations; the Customer agrees to be liable for such outstanding debt obligation to its completion in full.

59. The Company shall pay interest on the outstanding balance of the Customer's fund, in the Customer's account, placed with the Company at the rate of interest announced publicly by the Company at its office. The Company reserves the right to adjust the interest rate and/or time and procedure of the interest payment as it sees fit.

60. The Company reserves the right to charge fees in relation to transfer, delivery, or safekeeping and custodian fee as appropriate; and shall make announcement to the Customer from time to time.

61. The company obliges to keep and maintain the customer's assets in accordance with the brokerage agreement. If the customer's assets damage or damage caused by neglect of duty of the Company or an officer or employee of the Company, the Company agreed to be responsible for the loss and / or damage that happens to customers in full.

Part 4: General Provisions

The Company and the Customer mutually agree that, in addition to the terms and conditions provided in Parts 1, 2 and 3 of this Agreement in which the parties are obliged to another, they also mutually agree with the terms and conditions provided under this Part 4 as follows.

62. The Customer agrees and consents to pay interest applicable at the rate specified by the Company on the overdue debt obligation under this Agreement, calculating from the date the Customer fails to make

payment of such debt obligation until its completion in full. The Company may, from time to time, adjust the interest rate, provided that the Company shall notify the Customer of such interest rate adjusted by posting at the Company's head office, securities service office or branch office the announcement of such interest rate.

63. The Customer consents to indemnify for damages, advance payments, fees and other expenses arising from damage directly or indirectly incurred to the Company or other parties as a result of the Company's compliance with this Agreement, or the Customer's breach of this Agreement or its term, condition or provision. Upon demand, the Customer shall promptly indemnify the Company for such damage.

64. The Customer acknowledges that the securities trading with this appointing agents / brokers agreement, whether any times or items have decided by the Customer itself. If damages arising from trading securities either due to willful act or negligence of the customer. The Company shall not be responsible in any way. Unless such damage is caused by the willful act or negligence of the Company, employees or officers of the Company, or in default of the Company, or be contrary to the provisions of regulations issued by the Securities and Exchange Commission .

65. The Customer agrees that the Company shall not be liable for loss and / or damage to the Customer, if the loss and / or damage has a result of fire, storm, strike, the rioters protesting, war, the control of state power, errors related to network communication delays caused by network communication, equipment failure, power outages, acts of God or any other that the Company can not be expected which directly affects the operation of the company.

However, if the cause of the damage mentioned above occurred due to failure to perform the duties of the company, or arising out of the willful misconduct or negligence of the Company or an officer or employee of the company. The Company shall be responsible for the loss and / or damage to the property of the customer in full.

66. In the case where the Customer passes away, becomes incompetent or semi-incompetent, is brought under a lawsuit or in any other case, should the Company sees appropriate, to protect the Company's interests, the Customer agrees and consents that the Company may immediately sell the Customer's Securities, assets and/or any other right under its possession in their entirety or in part and/or purchase the entire or part of Securities for delivery to the Company in return of the Securities the Customer ordered the Company to sell but has not promptly deliver the Company such Securities sold. Besides, it shall not disqualify the Company from its right to close the Customer's account.

67. In the case where the Customer fails to comply with any provision of this Agreement, the Company shall be entitled to purchase or sell Securities, assets or any other right of the Customer, or perform otherwise as the Company sees fit, through the Exchange, public auction or trading with any parties or the Company itself, without prior notice to the Customer and without requiring the Company to notify, advertise or perform any act in the similar manner in advance. The Customer consents that the Company may use the proceed obtained from such sale of Securities to settle the debt obligation and all expenses the Customer owes the Company, whether currently or in the future and whether or not such debt obligation is due. The Company is entitled to offset all debt obligations owed to the Company as it sees fit and the Customer consents that it shall be bound to repay all debt obligations it has still been required to pay the Company in full.

68. The Customer agrees not to allege, demand, claim or undertake any other action against the Company in relation to any damage the Customer has suffered from action, omission or liability of the Exchange or any person beyond the Company's control, e.g. damage arising from the fact that the Customer receives

Securities certificate in delay, etc. Besides, for the interest of this Agreement, it shall be deemed that the Customer's Securities deposited under the Company's account at the TSD is held and possessed by the Company itself.

69. This Agreement is a continuing agreement. Either party may terminate this Agreement with immediate effect at any time by notifying the other party in writing. All rights and obligations of both parties incurred prior to such termination shall survive the termination. Upon termination, should there still be the Customer's funds, Securities, and any asset under the Company's possession and the Company is unable to contact the Customer to return or otherwise arrange such funds, Securities and assets, the Company agrees to keep such funds, Securities and assets in its custody at the Customer's expenses (if any).

In case where this Agreement is deemed terminated, upon settlement of account, if the Customer still owes the Company the debt obligation, the Customer shall pay such outstanding debt obligation with interest at the maximum rate applicable calculating from the date of settlement until completion, provided that such debt obligation must be completed within the time specified by the Company.

70. In the case where the Company has relaxed any of the Customer's obligations under this Agreement or waived its right to termination at any time, such relaxation or waiver shall only be for such a particular time.

71. In addition to all rights the Company is entitled to against the Customer under this Agreement, the Company is also entitled to demand the Customer for indemnification against any and all damages and expenses the Company may suffer from or in connection with this Agreement, or in relation to action or omission of the Customer or its agent, as well as any damage and expense the Company may suffer from demand or claim of other persons for liability under this Agreement which is not caused by the Company's action, omission or liability in any manner.

72. All notices, notification or letter sent to the Customer, whether via registered or unregistered postal mail, shall be deemed lawfully delivered to the Customer if it is sent to the address the Customer provided the Company in writing, whether or not there is any recipient. In case of delivery via the Internet transmission and/or electronic means, it shall be deemed lawfully delivered to the Customer, if it is sent to the address the Customer provided the Company, once the Company's Internet or electronic system has transmitted such delivery, whether or not there is any recipient. In the case where the Company is not succeeded to delivery due to change of the Customer's address not known to the Company in writing by the Customer, or due to unmatched address, the Customer and the Company mutually agree that such notice, notification or other letters of the Company shall be deemed lawfully received and acknowledged by the Customer.

73. The Customer agrees and consents that, for joint protection, the Company may examine and record communication made via telephone and/or internet and/or electronic means between the Company and the Customer without any condition.

74. The Customer consents that the Company and/or its group companies may examine and/or exchange information relating the Customer, as well as request for report relating credit information and other reference documents relevant, contact all sources of information, use the Customer's information for marketing and administration purposes and transfer such information among companies in the group.

75. The Customer accepts that it has studied, well understood and well acknowledged the character of and risks associated with investment in Securities, which also include derivatives warrant. The Customer understands that there are risks associated with investment in Securities and there is no

guarantee on return on investment. Moreover, the Customer also well understands that derivatives warrant or other warrants with maturity shall no longer be tradable after the maturity.

76. The Customer acknowledges and understands well of all aspects of risks associated with investment in Securities trading, e.g. volatility of stock index, fluctuation of values of Securities and assets being affected from change of relevant laws, regulations or notifications or change in taxation, etc.

77. With respect to the Customer's investment in existing Securities and additional Securities in the future, the Customer Prior to making investment decision, the Customer acknowledges, studies and understands such new Securities before making investment decision.

78. The Customer and the Company mutually agree that, at any time during the term of this Agreement, if any provision in this Agreement or documents supplemental to this Agreement becomes in violation of law, void, invalid or unenforceable as a result of any law or reason, the Customer and the Company mutually agree that such provision that becomes in violation of law, void, invalid or unenforceable shall be several from the provisions that are not in violation of law, not void, valid or enforceable; and that this Agreement shall still be in full force and effect.

79. The Customer accepts that it understands and acknowledges well the laws, notifications, rules or regulation of the Securities and Exchange Commission, the Office of the Securities and Exchange Commission, the Exchange, the Anti-Money Laundering Office, government agencies or any agency, including announcements, rules or regulation of companies relating the Securities and the Exchange, provided that the Customer shall strictly comply with the aforementioned, as well as its amendments and additions.

In case there is change or amendment of such law, notification, rule or regulation mentioned in the above paragraph after the date of execution of this Agreement, both parties agree to be bound by such change, amendment or addition, unless it is otherwise specified by the Company.

The Customer agrees and consents that the Company is entitled to amend or add any condition of this Agreement as it sees fit without prior consent of the Customer. However, the Company shall notify the Customer of such change and the Customer agrees to comply with the condition changed or amended by the Company strictly.

80. In the case where the Company merges its business with other securities company, whether by any means of merger or acquisition with other securities company, or establishment of a new securities company (such newly established securities company shall hereinafter be referred to as "**New Securities Company**"), the Customer agrees and consents to become a customer of the New Securities Company and that the Company may transfer the Customer's account under this Agreement to the New Securities Company, provided that the Company shall give the Customer prior notice.

If the Customer does not wish to have the account transferred to, and become a customer of, the New Securities Company as mentioned above, the Customer may inform the Company of such intention in writing within 7 days following the date of the Customer's receipt of the Company's notice.

If the Customer fails to inform the Company of such intention within the time specified in paragraph 2 above, it shall be deemed a consent of the Customer for the transfer of the Customer's account to the New Securities Company as mentioned in paragraph 1.

81. This Agreement shall be governed by and interpreted under Thai law.

82. In the case where there is dispute relating the Securities trading under this Agreement and/or memorandum and/or agreement between the Company and the Customer, the Customer may bring such dispute into the procedures of the Dispute Settlement by Arbitration Facilitated by the Office of the Securities and Exchange Commission; and the Company agrees to bring such dispute of the Customer into such Dispute Settlement by Arbitration upon the Customer's desire.

The parties have read and understood the content of this Agreement in its entirety and seen that it is in light of their intention and desire; and, thus, give their signatories in the presence of witnesses.

Signed ~~S~~^X Customer
()

Signed Witness
()

Signed Company
UOB Kay Hian (Thailand) Public Company Limited

Signed Witness
()

บัตรตัวอย่างลายเซ็น

Specimen Signature Card



เลขที่บัญชี / A/C Code.....

วันที่ / Date.....

ชื่อลูกค้า / Client Name.....

ข้าพเจ้า / ผู้ใดผู้หนึ่ง / สองบุคคล ผู้มีนามและตัวอย่างลายเซ็นต่อท้ายหนังสือนี้ เป็นผู้มิอำนาจลงนามในการทำนิติกรรมสัญญา และเอกสารทุกประเภท กับบริษัทหลักทรัพย์ ยูโอบี เคย์เฮียน (ประเทศไทย) จำกัด (มหาชน)

All legal documents shall be completed by me/any one/two person(s) being authorised signatory(ies) whose name(s) and specimen signature(s) appeared and subject to the signing conditions set forth below.

ตัวอย่างลายเซ็น Specimen Signature	ตราสำคัญของนิติบุคคล Company Seal
	
	
เงื่อนไขการลงนาม Signing Conditions	

เจ้าหน้าที่การตลาดรับรองลายเซ็น

Verified by Marketing Officer

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()

ใบแนบคำขอเปิดบัญชีซื้อขายหลักทรัพย์ (เพื่อ KYC & CDD) – ประเภทนิติบุคคลและ Omnibus Account

Attachment of Securities and/or Derivatives Trading Application (for KYC & CDD) – Juristic Person & Omnibus Account

(ตามประกาศ กคด. – มาตรการเกี่ยวกับการตรวจสอบเพื่อทราบข้อเท็จจริงเกี่ยวกับลูกค้า as required by SEC – Know Your Customer / Customer Due Diligence)

โปรดกรอกข้อความให้ครบถ้วน All items are essential to be filled.

วันที่ Date _____

ข้อมูลส่วนตัว Personal Particulars

ชื่อ – สกุลลูกค้า

เลขที่บัญชี

Company Name _____ Account No. _____

บุคคลที่เกี่ยวข้อง Related Persons (If any)

โปรดแนบสำเนาบัตรประชาชนของบุคคลที่เกี่ยวข้องต่อไปนี้ Please attach copy of ID, Card of the related persons as below.

1. บุคคลที่ได้รับมอบอำนาจให้กระทำการแทน Authorized Persons (If any)

☐ ไม่มี No

☐ มี Yes, Please specify 1. _____ 2. _____

ความสัมพันธ์ของผู้รับมอบอำนาจกับเจ้าของบัญชี Relationship between Authorized Person and Account Owner _____

2. บุคคลที่มีอำนาจควบคุมการทำธุรกรรมในทอดสุดท้าย Controlling Persons (If any)

☐ ไม่มี No

☐ มี Yes, Please specify 1. _____ 2. _____

3. บุคคลที่ได้รับผลประโยชน์จากการทำธุรกรรมในทอดสุดท้าย Beneficial Owner

☐ ไม่มี No

☐ มี Yes, Please specify 1. _____ 2. _____

4. การลงนามผู้มีอำนาจลงนามการเปิดบัญชี Authorized Signature to Open Account _____

5. หุ้นตั้งแต่ร้อยละ 30 ได้แก่ Name of Shareholders who own 30% shares and above

1. _____ ถือหุ้นร้อยละ _____ ของทุนจดทะเบียน % of Registered Capital

2. _____ ถือหุ้นร้อยละ _____ ของทุนจดทะเบียน % of Registered Capital

กรณีผู้ถือหุ้นตั้งแต่ร้อยละ 30 เป็นนิติบุคคล กรุณาระบุชื่อและแนบรายละเอียดการถือหุ้นในทอดต่อไป (ตั้งแต่ร้อยละ 50)

Please described Name of Shareholders (own 50% shares and above) of Juristic Person who owns 30% shares and above

6. วัตถุประสงค์การลงทุนในหลักทรัพย์ Investment Purpose

☐ ระยะยาว Long Term

☐ ระยะปานกลาง Medium Term

☐ ระยะสั้น Short Term

7. ประสบการณ์การลงทุนในหลักทรัพย์ Investment Experience

☐ ไม่เคยลงทุน None

☐ เคยลงทุนมาแล้ว Experience _____ ปี (Yrs)

8. ประวัติการกระทำผิดตามกฎหมายฟอกเงินในช่วง 3 ปีที่ผ่านมา Have you ever penalized from Money Laundering for the last 3 years?

☐ ไม่เคยกระทำความผิด No

☐ เคยกระทำความผิด Yes, please specify _____

ข้าพเจ้าขอรับรองว่าข้อมูลข้างต้นถูกต้องทุกประการ และข้าพเจ้ายินยอมให้ บริษัทหลักทรัพย์ ยูโอบี เคย์ฮิอัน (ประเทศไทย) จำกัด (มหาชน) ทำการตรวจสอบข้อมูลกับสถาบันการเงิน หรือ หน่วยงานอื่นใด ภายใต้กฎหมายและประกาศที่เกี่ยวข้อง

I certify that the above information is true and correct. I also authorize the UOB Kay Hian Securities (Thailand) Public Company Limited to verify information with financial institutions or any other companies under related law and regulations.

ลงชื่อ _____ ลูกค้า

วันที่ _____

Signed (_____) Applicant

Date _____ / _____ / _____

Memorandum attached to the appointing brokerage agent for securities trading agreement

This memorandum is made at UOB Kay Hian Securities (Thailand) Public Company Limited on date between UOB Kay Hian Securities (Thailand) Public Company Limited where head office located at 130-132, 2nd 3rd Floor, Sindhorn Building Tower 1 Wireless Road, Lumpini, Pathumwan, Bangkok known hereinafter as “the Company” and Account No. known hereinafter as “the Customer”

According to the Stock Exchange of Thailand had revised clearing and settlement rules by adjusting clearing and settlement to “T+2” which it had commencing on 2nd March 2018. Therefore, in order to the broker/agent agreement with the customer will not conflict the rules as the following clauses

1. To provide the amendment text in article 9, paragraph 1 and paragraph 2 as following detail ;

“Article 9. : The securities buying, the customer have agree to pay for any securities, securities brokerage service fees, commission, any fees or any other amount that the customer have obliged to pay to the company on the 2nd working day next to the trading or within the period that the company or The Stock Exchange of Thailand have already announced which followed by any company deadline. If the customer still do not pay securities brokerage service fees as the agreement, the customer permitted the company to transfer any securities immediately without notified in advance and the customer will pay any damage of stock exchange with the maximum interest rate.

In case of the customer have trading within the same day which the securities are the same or not, the company will offset trading price with transfer securities price on the 2nd working day after the trading or any date as the stock exchange or the company obliged.

2. To provide the amendment text in article 10 and using the following detail;

“Article 10 : The company shall settlement to the customer within the 3rd working day after buying securities or the Stock Exchange of Thailand terms. Due to settlement shall including the settlement through securities deposit accounts provided by the Securities Depository for deposit, withdraw or settlement to customers or the customer assign the company to keeping.

3. To provide the amendment text in article 12, paragraph 1 and using the following detail;

“Article 12. : In case of securities trading, the customer must to settlement within the 1st working day after buying securities or within 12.00 hrs. (noon) of the 1st working day after buying securities or the terms as announcement of company and/or the Stock Exchange of Thailand.

4. To provide the amendment text in article 13 and using the following detail;

“Article 13. : The Company shall transfer settlement securities value after deduct any fees, other expenses within the 2nd working day after buying securities by crossed cheque to the customer’s account or any alternative as the Stock Exchange of Thailand obliged.

In case of the customer still have outstanding payment ; for any securities, commission or any other amount, with the company. The customer must to pay all outstanding debts then the company will transfer settlement securities value back.

5. To provide the amendment text in article 14 and using the following detail;

“Article 14. : In case of the customer have trading within the same day, the company may deduct all trading price(net settlement) and pay net value to customer on the 2nd working day after trading date or any date as the announcement of the Stock Exchange of Thailand or the company.

6. Both of contract parties will acknowledge this memorandum to be part of the appointing of brokerage/agent for securities trading on which hereafter effective on 2nd March 2018. If other terms and conditions do not cancelled, revised or attached to the agreement will be remained.

I have read, I understand the above terms and conditions and sign in this contract with the witness.

Signed.....The Customer

(.....)

Signed.....

UOB Kay Hian Securities (Thailand) Public Company Limited

Signed.....Witness

(.....)

Signed.....Witness

(.....)

แบบฟอร์ม FATCA สำหรับลูกค้าประเภทองค์กร / นิติบุคคล

Customer FATCA Form for Entity

เลขที่บัญชี/Account No. _____

ผู้เปิดบัญชี (คำนำหน้า/ชื่อ) Applicant Name (Title/Name)	ประเทศที่จดทะเบียนจัดตั้ง Country of Incorporation or Organization
ประเภทองค์กร / Type of Entity <input type="checkbox"/> ห้างหุ้นส่วน / Partnership <input type="checkbox"/> บริษัทมหาชนจำกัด / Public Limited Company <input type="checkbox"/> บริษัทจำกัด / Private Limited Company <input type="checkbox"/> อื่นๆ / Other	หมายเลขทะเบียน Registration Number

ส่วนที่ 1 ความสัมพันธ์ทางธุรกิจที่ท่านมีกับบริษัท / Part 1 Business relationship with the company

บุคคลอเมริกัน / U.S. Person		
หากท่านทำเครื่องหมายในช่อง "ใช่" ช่องใดช่องหนึ่ง โปรดข้ามคำถามในส่วนของผู้ที่ไม่ใช่บุคคลอเมริกันข้างท้ายนี้ และกรอกแบบฟอร์ม W-9 If you check "Yes" in any one box, please skip the Non-U.S. Person questionnaire below and complete IRS Form W-9		
1. ลูกค้าเป็นคอร์ปอเรชั่นหรือห้างหุ้นส่วนอเมริกันใช่หรือไม่ / Is the Customer a U.S. Corporation/Partnership? <ul style="list-style-type: none"> โปรดตอบ "ใช่" หากลูกค้าเป็นคอร์ปอเรชั่นห้างหุ้นส่วน หรือนิติบุคคลอื่นๆ ที่จัดตั้งภายใต้กฎหมายสหรัฐ กฎหมายของมลรัฐในสหรัฐ หรือ District of Columbia หรือได้รับการปฏิบัติเช่นนิติบุคคลท้องถิ่นของสหรัฐภายใต้บทบัญญัติอื่นของกฎหมายภาษีอากรสหรัฐ เพื่อวัตถุประสงค์ของคำถามนี้ โปรดตอบ "ใช่" หากลูกค้าถูกจัดตั้งขึ้นในมากกว่าหนึ่งประเทศ หรือหนึ่งในนั้นคือสหรัฐอย่างสมบูรณ์ตามกฎหมาย You must answer "Yes" if the Customer is a corporation/partnership or other entity incorporated or organized in or under the laws of the U.S., a U.S. state, or the District of Columbia or is treated as a U.S. domestic entity under any other provision of U.S. federal income law. For purposes of this question, you must answer "Yes" if the Customer was created, incorporated or organized in more than one jurisdiction, one of which is the U.S. 	ใช่/Yes <input type="checkbox"/>	ไม่ใช่/No <input type="checkbox"/>
2. ลูกค้าเป็นกองมรดกที่มีรายได้ซึ่งอยู่ภายใต้การเก็บภาษีเงินได้ของรัฐบาลสหรัฐ โดยไม่คำนึงถึงแหล่งที่มาของรายได้ ใช่หรือไม่ Is the Customer an estate the Income of which is subject to U.S. federal income taxation regardless of source? หมายเหตุ - สถานะของกองมรดกที่เป็นบุคคลอเมริกันหรือไม่เป็นบุคคลอเมริกัน ขึ้นอยู่กับข้อเท็จจริงและสภาวะแวดล้อมที่เกี่ยวข้องทั้งหมด ซึ่งรวมถึงการแต่งตั้งผู้จัดการกองมรดกหรือตัวแทนจัดการกองมรดกที่เป็นพลเมืองอเมริกันหรือผู้มีถิ่นที่อยู่ในสหรัฐ ตลอดจนขอบเขตอำนาจและกำหนดเวลาในการเป็นตัวแทนจัดการกองมรดกในสหรัฐ Remark - The status of an estate as a U.S. Person or Non-U.S. Person depends on all the facts and circumstances involved, including the appointment of an executor or ancillary administrator who is a citizen or resident of the U.S. and the extent and duration of the activities of the ancillary administrator in the U.S.	ใช่/Yes <input type="checkbox"/>	ไม่ใช่/No <input type="checkbox"/>
3. ลูกค้าเป็นกองทรัสต์ที่มีลักษณะดังต่อไปนี้หรือไม่ /Is the Customer a trust that (ก)(1) ศาลในสหรัฐมีเขตอำนาจในการกำกับดูแลการบริหารจัดการของกองทรัสต์ในเมืองต้น และ (2) บุคคลที่เป็นบุคคลอเมริกันรายหนึ่งหรือหลายรายมีอำนาจในการควบคุมการตัดสินใจทั้งหมดในเรื่องสำคัญของกองทรัสต์ หรือ (ข) เป็นกองทรัสต์ที่ได้เลือกที่จะให้ได้รับการปฏิบัติเช่นบุคคลอเมริกันเพื่อวัตถุประสงค์ในการจัดเก็บภาษีเงินได้ของรัฐบาลสหรัฐ (a)(1) a court within the U.S. is able to exercise primary supervision over its administration; and (2) one or more U.S. Persons have the authority to control all of the substantial decisions of the trust; or (2) has a valid election in effect to be treated as a U.S. Person for U.S. federal income tax purposes?	ใช่/Yes <input type="checkbox"/>	ไม่ใช่/No <input type="checkbox"/>
ไม่เป็นบุคคลอเมริกัน / Non-U.S. Person		
หากท่านทำเครื่องหมาย "ใช่" ช่องใดช่องหนึ่ง โปรดกรอกแบบฟอร์ม W-8BEN พร้อมทั้งส่งเอกสารประกอบ If you check "Yes" in any one box, please complete IRS Form W-8BEN and provide supporting document(s)		
1. ลูกค้าเป็นองค์กร/นิติบุคคลที่มีบุคคลอเมริกันมีสัดส่วนความเป็นเจ้าของอย่างมีนัยยะสำคัญ ใช่หรือไม่ Is the Customer an entity with substantial U.S. ownership? <ul style="list-style-type: none"> โปรดตอบ "ใช่" หากลูกค้าเป็นคอร์ปอเรชั่นที่มีบุคคลอเมริกันรายหนึ่งหรือหลายราย ซึ่งแต่ละรายเป็นผู้ถือหุ้นในคอร์ปอเรชั่นนั้น ไม่ว่าโดยตรงหรือโดยอ้อมเกินกว่าร้อยละ 10 ของหุ้นทั้งหมด ไม่ว่าในแง่ของสิทธิออกเสียงหรือมูลค่าหุ้น การถือหุ้นไม่ว่าโดยตรงหรือโดยอ้อม จะถูกพิจารณาว่าเป็นการถือหุ้นตามสัดส่วนโดยผู้ถือหุ้น หุ้นส่วน ผู้ก่อตั้งทรัสต์ หรือบุคคลอื่นที่ได้รับการปฏิบัติเสมือนเจ้าของของคอร์ปอเรชั่นหรือกองทรัสต์ โปรดตอบ "ใช่" หากลูกค้าเป็นห้างหุ้นส่วนที่มีบุคคลอเมริกันรายหนึ่งหรือหลายรายเป็นผู้ลงทุนหรือมีส่วนแบ่งกำไรในหุ้นส่วนนั้น ไม่ว่า 	ใช่/Yes <input type="checkbox"/>	ไม่ใช่/No <input type="checkbox"/>

<p>โดยตรงหรือโดยอ้อมเกินกว่าร้อยละ 10 ของหุ้นหรือกำไรทั้งหมด ทั้งนี้ หากคอร์ปอเรชั่น ทั้งหุ้นส่วน หรือกองทรัสต์เป็นผู้ลงทุนหรือมีส่วนแบ่งกำไรในหุ้นส่วน ไม่ว่าโดยตรงหรือโดยอ้อม จะถูกพิจารณาว่าเป็นการมีหรือถือตามสัดส่วนโดยผู้ถือหุ้น หุ้นส่วน ผู้ก่อตั้งทรัสต์ หรือบุคคลอื่นที่ได้รับการปฏิบัติเสมือนเจ้าของคอร์ปอเรชั่น ทั้งหุ้นส่วน หรือกองทรัสต์นั้น</p> <ul style="list-style-type: none"> ● โปรดตอบ "ใช่" หากลูกค้าเป็นกองทรัสต์ และมีบุคคลอเมริกันรายหนึ่งได้รับการปฏิบัติเสมือนเจ้าของในหุ้นใดส่วนหนึ่งของกองทรัสต์นั้น เพื่อวัตถุประสงค์ในการเก็บภาษีเงินได้ของรัฐบาลสหรัฐ หรือมีบุคคลอเมริกันรายหนึ่งหรือหลายรายมีส่วนได้ผลประโยชน์ ไม่ว่าโดยตรงหรือโดยอ้อมเกินกว่าร้อยละ 10 ของผลประโยชน์ทั้งหมดของกองทรัสต์นั้น ทั้งนี้ ผู้รับผลประโยชน์จากกองทรัสต์ที่กำหนดให้ทรัสต์มีดุลยพินิจในการตัดสินใจ จะถูกพิจารณาว่ามีสัดส่วนการรับผลประโยชน์เกินกว่าร้อยละ 10 ของผลประโยชน์ทั้งหมดของกองทรัสต์ หากมูลค่าของสกุลเงินหรือทรัพย์สินอื่นๆ ที่ได้จัดสรรให้แก่ผู้รับประโยชน์จากกองทรัสต์ซึ่งทรัสต์มีดุลยพินิจในการตัดสินใจ ในระหว่างปีปฏิทินที่ผ่านมา มีจำนวนเกินกว่าร้อยละ 10 ของมูลค่าการจัดสรรผลประโยชน์ทั้งหมดในปีนั้นๆ และหากคอร์ปอเรชั่น ทั้งหุ้นส่วน หรือกองทรัสต์เป็นผู้มีกรรมสิทธิ์หรือได้รับผลประโยชน์ในกองทรัสต์ ไม่ว่าโดยตรงหรือโดยอ้อมจะถูกพิจารณาว่าเป็นการมีหรือถือตามสัดส่วนโดยผู้ถือหุ้น หุ้นส่วน ผู้ก่อตั้งทรัสต์ หรือบุคคลใดที่ได้รับการปฏิบัติเสมือนเจ้าของในคอร์ปอเรชั่น หรือกองทรัสต์นั้น ● You must answer "Yes" if the Customer is a corporation having one or more U.S. persons that each own directly or indirectly more than 10% of the corporation's stock by vote or value. Stock owned directly or indirectly by an entity that is a corporation, partnership or trust is considered owned proportionately by its shareholders, partners, grantors or other persons treated as owners. ● You must answer "Yes" if the Customer is a partnership having one or more U.S. persons that each own directly or indirectly more than 10% of the partnership's capital or profits interests. A capital or profits interest in a partnership owned or held directly by an entity that is a corporation, partnership or trust is considered as being owned or held proportionately by its shareholders, partners, grantors or other persons treated as owners. ● You must answer "Yes" if the Customer is a trust and a U.S. person is treated as an owner of any portion of the trust for U.S. federal income tax purposes, or a one or more U.S. persons each hold, directly or indirectly more than 10% of the beneficial interests of the trust. A discretionary beneficiary owns more than 10% of the beneficial interests in a trust if the value of the currency or other property distributed to the discretionary during the prior calendar year exceeds 10% of the value of all distributions made by the trust during that year. An ownership or beneficial interest in a trust owned or held directly or indirectly by an entity is a corporation, partnership or trust is considered as being owned or held proportionately by its shareholders, partners, grantors or other persons treated as owners. 		
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ส่วนที่ 2 การยืนยันและการเปลี่ยนแปลงสถานะของผู้ที่ไม่มีสถานะความเป็นบุคคลอเมริกัน /Part 2 Confirmations and Change of Non-U.S. Person Status

1. ลูกค้ายืนยันว่า ข้อความข้างต้นเป็นความจริง และครบถ้วนสมบูรณ์
The Customer confirms that the above information is true, accurate and complete
2. ในกรณีที่ลูกค้าไม่ใช่บุคคลอเมริกัน ลูกค้าตกลงที่จะแจ้งให้บริษัททราบทันที หาก (ก) มีการเปลี่ยนแปลงสถานะความเป็นบุคคลอเมริกันของลูกค้าภายใต้กฎหมายอากรของสหรัฐ (ข) มีการเปลี่ยนแปลงสัดส่วนการถือหุ้น (ไม่ว่าในแง่สิทธิออกเสียงหรือมูลค่า) และ/หรือ สัดส่วนของทุนผลประโยชน์ (แล้วแต่กรณี) หรือสัดส่วนผลประโยชน์ของบุคคลอเมริกันในลูกค้า ไม่ว่าโดยตรงหรือโดยอ้อม
In case that the Customer is a Non-U.S. Person, the Customer agrees to promptly notify the company should there be (i) any change in the Customer's status as a Non-U.S. Person under U.S. tax law; or (ii) any change in shareholding (regardless of by vote or value) and/or capital/interests ratio (as the case may be) or trust beneficial interests of U.S. Persons in the Customer, whether held directly or indirectly.
3. ลูกค้ารับทราบและตกลงว่า การไม่แจ้งให้บริษัททราบในทันทีเกี่ยวกับการเปลี่ยนแปลงใดๆ ในสถานะความไม่เป็นบุคคลอเมริกันของลูกค้า หรือการนำส่งข้อมูลอันเป็นเท็จ ไม่ถูกต้อง หรือไม่ครบถ้วนสมบูรณ์ เกี่ยวกับสถานะความไม่เป็นบุคคลอเมริกันของลูกค้า หรือการไม่แจ้งให้บริษัททราบในทันทีเกี่ยวกับการเปลี่ยนแปลงสัดส่วนการถือหุ้น (ไม่ว่าในแง่สิทธิออกเสียงหรือมูลค่า) และ/หรือ สัดส่วนของทุนผลประโยชน์ (แล้วแต่กรณี) หรือสัดส่วนผลประโยชน์ของบุคคลอเมริกันในลูกค้า ไม่ว่าโดยตรงหรือโดยอ้อม จะมีผลให้บริษัทมีดุลยพินิจแต่เพียงฝ่ายเดียวที่จะใช้สิทธิบอกเลิกความสัมพันธ์ทางธุรกิจกับลูกค้า ไม่ว่าทั้งหมดหรือบางส่วน
The Customer acknowledges and agrees that failure to promptly notify the company of any change in the Customer's status as a Non-U.S. Person, or provision of any false, incorrect, inaccurate or incomplete information as to the Customer's status as a Non-U.S. Person or failure to promptly notify the company of any change in shareholding (regardless of by vote or value) and/or capital/interest ratio (as the case may be) or trust beneficial interests of U.S. Persons in the Customer, whether held directly or indirectly, shall entitle the company to terminate, at its sole discretion, the entire business relationship with the Customer or part of such relationship as the company may determine in its sole discretion.
4. ลูกค้ารับทราบและตกลงว่า หากลูกค้ามีสถานะเป็นบุคคลอเมริกัน และข้อมูลที่ได้ตามแบบฟอร์มนี้ หรือตามแบบฟอร์ม W-9 เป็นข้อมูลอันเป็นเท็จ ไม่ถูกต้อง หรือไม่ครบถ้วนสมบูรณ์ บริษัทมีสิทธิใช้ดุลยพินิจแต่เพียงฝ่ายเดียวที่จะใช้สิทธิบอกเลิกความสัมพันธ์ทางธุรกิจกับลูกค้า ไม่ว่าทั้งหมดหรือแต่บางส่วน

The Customer acknowledges and agrees that if the Customer is a U.S. Person and the information provided on this form or IRS Form W-9 is false, incorrect, inaccurate or incomplete, the company shall be entitled to terminate, at its sole discretion, the entire business relationship with the Customer or part of such relationship as the company may determine in its sole discretion.

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

ภายใต้ขอบเขตของกฎหมายที่เกี่ยวข้อง และ/หรือ ข้อตกลงใดๆ ระหว่างบริษัทและหน่วยงานภาษีอากรในประเทศ และ/หรือ ต่างประเทศ ลูกค้าตกลงให้ความยินยอม และตกลงที่จะไม่เพิกถอนการให้ความยินยอมดังกล่าวแก่บริษัท ในการดำเนินการดังต่อไปนี้

To the extent required by applicable laws and/or any agreements between company and domestic and/or foreign tax authorities, the Customer hereby irrevocably authorize company to:

1. เปิดเผยข้อมูลต่างๆ ของลูกค้าเพื่อประโยชน์ในการปฏิบัติตาม FATCA หน่วยงานจัดเก็บภาษีอากรในประเทศ และ/หรือ ต่างประเทศ ซึ่งรวมถึง หน่วยงานจัดเก็บภาษีอากรของสหรัฐ (Internal Revenue Service: IRS) ข้อมูลดังกล่าว ได้แก่ ชื่อลูกค้า ที่อยู่ เลขประจำตัวผู้เสียภาษี เลขที่บัญชี จำนวนเงินหรือมูลค่าคงเหลือในบัญชี การฝากถอนเงินในบัญชีในระหว่างปีปฏิทินที่ผ่านมา รายการเคลื่อนไหวทางบัญชี จำนวนเงิน ประเภทและมูลค่าของผลิตภัณฑ์ทางการเงิน และ/หรือ ทรัพย์สินอื่นๆ ที่มีอยู่กับบริษัท รวมทั้งจำนวนรายได้ และข้อมูลอื่นๆ ที่เกี่ยวกับความสัมพันธ์ทางธุรกิจที่อาจถูกร้องขอโดยหน่วยงานทางภาษีอากรในประเทศ และ/หรือ ต่างประเทศ ซึ่งรวมถึง IRS ด้วย

Disclose to the company (for the benefit of FATCA compliance), domestic and/or foreign tax authorities, including the U.S. Internal Revenue Service (IRS) the Customer's name, address, taxpayer identification number, account number, account balance or value, the deposit/withdraw money made with respect to the account during the calendar year, account statements, the amount of money, the type and value of financial products and/or other assets held with the company, as well as the amount of revenue and income and any information regarding the business relationship which may be requested or required by the domestic and/or foreign tax authorities, including the IRS;

2. หักเงินจากบัญชีของลูกค้า และ/หรือ เงินที่ลูกค้าอาจมีหรือมีสิทธิได้รับจากบริษัท ในจำนวนที่กำหนดโดยหน่วยงานจัดเก็บภาษีอากรในประเทศ และ/หรือ ต่างประเทศ ซึ่งรวมถึง IRS ด้วย ภายใต้บังคับของกฎหมาย และ/หรือ กฎเกณฑ์ต่างๆ รวมถึงความตกลงใดๆ ระหว่างบริษัท และหน่วยงานจัดเก็บภาษีอากรดังกล่าว

Withhold from the Customer's account and/or the income that the Customer may have or may be entitled to get paid from the company in the amount as required by the domestic and/or foreign tax authorities, including the IRS, pursuant to the laws and/or regulations, including any agreements between the company and such tax authorities;

หากไม่มีการดำเนินการหักเงินจากบัญชี และ/หรือ เงินที่ลูกค้าอาจมีหรือมีสิทธิได้รับจากบริษัท ตามข้อ 2 ข้างต้น บริษัทจำเป็นต้องยุติความสัมพันธ์ทางธุรกิจกับลูกค้า ไม่ว่าทั้งหมดหรือแต่บางส่วนตามที่บริษัทเห็นสมควรโดยเป็นดุลยพินิจแต่เพียงฝ่ายเดียวของบริษัท ในกรณีที่ลูกค้าไม่กรอกข้อมูลและลงลายมือชื่อในแบบฟอร์มนี้ ไม่แจ้งเพื่อปรับปรุงข้อมูลตามที่ได้ให้ไว้ตามแบบฟอร์มนี้ หรือในการที่ลูกค้าให้ข้อมูลอันเป็นเท็จ ไม่ถูกต้อง หรือไม่ครบถ้วนสมบูรณ์ในแบบฟอร์มนี้

If no account or income withholding is made pursuant to clause 2 above, the company shall be entitled to terminate, at its sole discretion, the entire business relationship with the Customer or part of such relationship as the company may determine in its sole discretion in the event of a failure to sign and complete this form, a failure to update information as provided in this form, or in the event that the Customer provides information that is false, incorrect, incomplete or inaccurate on this form.

ลายมือชื่อของลูกค้าผู้ขอเปิดบัญชี Signature of Authorized Person(s) of the Customer ชื่อ-นามสกุล Name ตำแหน่ง Position		วันที่ Date
สำหรับบริษัท For the company	ผู้มีอำนาจลงนาม Authorized Person	วันที่ Date

Memorandum of receiving electronic documentation

Appendix to the Agreement for Appointment of Securities, Derivatives, Unit Trusts and/or Futures Contract Trading Agent/Broker

Made at UOB Kay Hian Securities (Thailand) Public Company Limited

Date _____

I, _____, herewith shall be referred to as (“Customer”) Account No. _____, has appointed UOB Kay Hian Securities (Thailand) Public Company Limited. (“the Company”) to act as agent and/or broker to buy, sell, borrow, lend, convert securities, unit trusts, derivatives and/or futures contract or to engage in any other transactions in relation to securities business. By this memorandum Customer agrees to receive information and documentation related to Customer’s trading account(s) which has already been opened and/or all other account types that Customer may open with the Company in the future via electronic mail (“Email”) instead of physical copies via postal mail. The Terms and Conditions are as follows:

1. In case of Customer's Email Address for the purpose of receiving electronic documentation according to this memorandum is:

[illegible]

2. When the Customer wants to change the e-mail address as specified in Article 1, the Customer aware of the responsibility and agreed that the Customer will notify the Company in writing and/or E-documents on internet whenever there is a change.
3. Customer agrees that the Terms and Conditions as stipulated in this memorandum shall be binding and are enforceable by law, by virtue of the provisions under the Electronic Transaction Act B.E. 2544 (A.D.2001) and any other amendments related to this aforementioned Act, including any other laws deemed connected to the dispatch and receipt of information and/or documentation via electronic mail.
4. "Data message" means information generated, sent, received, stored or processed by electronic means, such as electronic data interchange (EDI), electronic mail or facsimile.
5. "Document" to be delivered as soft file according to this memorandum shall include;

Equity documents mean Securities Confirmation Note, Settlement Receipt, Cash Receipt, Pay Slip, Month End Statement or Movement of Account Statement.

Derivatives documents mean Derivatives Confirmation Note, Movement of Account Statement.

Investment Units documents mean Investment Units Confirmation Note, Movement of Account Statement.

And related documents such as Futures Confirmation Note, Securities Borrowing and Lending Statement, Fixed Income Confirmation Note, Foreign Securities Confirmation Note, Cash and Open Interest of Futures Statement, Unit Trusts Confirmation Note, and/or any other documentation permitted by the Securities and Exchange Commission and/or any other regulatory bodies. The Company reserve the right to add or amend the format and any other supporting documentation that the Company shall deliver electronically to Customer of which the Company shall inform Customer in advance.

6. Customer acknowledges that Customer can request for the Company to print or issue document in original format or copy of which on occasional basis and Customer agrees to pay relevant service charges, if any, as prescribed by the Company.
7. If the Customer wants to cancel receiving all types of documents, in accordance with Article 5, or only specific types of documents via electronic mail. The Customer must request it in writing to the Company at least 3 working days before the day that the Customer wishes to cancel receiving documents via electronic mail will be effective.
8. Customer has full knowledge and has a good understanding of how to receive documents by Email. Customer acknowledges and accepts that Email is a communication service in public domain and is common to users worldwide and there can be possible risk and damage such as lost of file or information during transmission, risk related to send/receive, confirm, respond in time to message or failed of message, system interruption, hacking of information which are under the controls of external service provider. Customer knows, understands and agrees that the Company cannot be held responsible for such errors or data lost and damages.
9. Customer agrees to check for accuracy and completeness of data and document delivered by Email each time upon receipt of such mail. In the event that Customer discovers an error, Customer shall inform the Company within the next business day. If Customer fails to reject or dispute as to the accuracy of the information within three days as from the date that the Company delivered such document to Customer via Email to Customer's nominated email address; it shall be deemed that such delivered data via Email is correct and complete and is accepted and agreed to by Customer and the Company has fully discharged its duties and responsibilities as agent.

Signed..... (Customer)
()

Noted: After the Customer signed the application for the service, the Customer will receive a confirmation letter which will be sent to Email Address and the Courier Address that the Customer provided.

ชื่อ-สกุล _____

(Name-Surname)

เลขที่บัญชี _____

(Account No.)

หนังสือแจ้งขอความร่วมมือ เรื่อง การส่งคำสั่งซื้อหรือขายหลักทรัพย์ที่อาจพิจารณาได้ว่า เป็นคำสั่งที่ไม่เหมาะสม

Informing Letter Requesting Client's Cooperation – Sending Buy or Sell orders that the SET may consider as improper orders

โดยหนังสือฉบับนี้ บริษัทขอความร่วมมือมายังท่าน เพื่อหลีกเลี่ยงการส่งคำสั่งซื้อหรือขายหลักทรัพย์ในลักษณะดังต่อไปนี้ อันมีลักษณะที่ตลาดหลักทรัพย์ฯอาจพิจารณาได้ว่า เป็นคำสั่งที่ไม่เหมาะสม และอาจมีผลกระทบต่อตลาดโดยรวม ตามข้อบังคับที่ตลาดหลักทรัพย์ฯกำหนด

By this Letter, the Company would like to request client's cooperation to avoid sending Buy or Sell orders that the SET may consider as improper orders and may affect the market in overall as following details:

1. ส่งคำสั่งในลักษณะ " ลัดคิวและปิดบังคำสั่ง " โดยส่งคำสั่งซื้อหรือขายในราคาที่สูงหรือต่ำกว่าราคาที่ควรจะเป็นมาก ซึ่งโดยปกติไม่น่าจะเกิดการจับคู่ซื้อขายที่ราคานั้นหรือผู้ส่งคำสั่งไม่ได้ประสงค์จะทำให้เกิดการซื้อขายตามราคานั้น ไม่ว่าจะมีการยกเลิกคำสั่งดังกล่าวภายหลังหรือไม่ก็ตาม ทั้งนี้จะเกิดในหลักทรัพย์ที่ไม่มี ceiling และ floor
Sending Buy or Sell orders that can be characterized as "orders which intervene the queue and conceal another person's order" by placing a bid or offer at the price significantly higher or lower than the projected price which would not normally be matched, or which the person placing the order did not intend for trade to occur at that price, regardless as to whether such order will subsequently be cancelled. This occurs in the case of securities with no ceiling and floor.
2. ส่งคำสั่งในลักษณะ " ไล่ - ถอน " โดยส่งคำสั่งซื้อหรือขายหลักทรัพย์และยกเลิกคำสั่งดังกล่าวในภายหลัง และส่งคำสั่งกลับเข้ามาใหม่ในจำนวน ราคา และเวลาใกล้เคียงกัน โดยกระทำหลายครั้ง โดยไม่มีความประสงค์จะซื้อขายหลักทรัพย์นั้นจริง เพื่อลวงให้ผู้อื่นสำคัญผิดว่าในขณะใดขณะหนึ่ง มีความต้องการซื้อหรือขายหลักทรัพย์นั้นๆในปริมาณมาก โดยเมื่อมีการจับคู่ไปแล้วบางส่วน หรือไม่มีการจับคู่ซื้อขายก็ตาม จะยกเลิกคำสั่งนั้นทันทีแล้วส่งคำสั่งเข้ามาใหม่ในระยะเวลาใกล้เคียงกัน ในจำนวนเดียวกัน หรือใกล้เคียงกับรายการที่เพิ่งยกเลิก
Sending Buy or Sell orders that can be characterized as "placing – withdrawing trading order" by placing a bid or offer and canceling it shortly after and places a new trading order at similar price and in similar amount shortly after, repeatedly without genuine intention to trade such securities to trick other persons into thinking that there is a high need for buy or sale of the particular securities in large amount, by that, when get some matched or not will cancelling it immediately and places a new trading order shortly after, in the same or similar amount of the cancelled transactions.
3. ส่งคำสั่งในลักษณะ " จับคู่กันเอง " โดยส่งคำสั่งซื้อหรือขายในราคาและปริมาณที่อาจจับคู่ซื้อขายระหว่างกันเองของลูกค้ารายเดียวกันหรือกลุ่มเดียวกัน เพื่ออำพรางให้บุคคลทั่วไปหลงผิดในราคาหรือปริมาณการซื้อขายหลักทรัพย์
Sending Buy or Sell orders that can be characterized as "wash sale/matched order" by placing a bid or offer at the price and trading volume likely to get matched with the same client or clients of the same group to cause other persons to be mistaken with regard to the price or trading volume.
4. ส่งคำสั่งในลักษณะ " ผลักดันราคา " โดยส่งคำสั่งซื้อหรือขายหลักทรัพย์หลายรายการในลักษณะผลักดันราคาให้สูงขึ้นหรือลดลง โดยกระทำหลายครั้งเพื่อให้บุคคลอื่นสำคัญผิดในราคาหลักทรัพย์นั้นๆ หรือส่งคำสั่งเคาะซื้อหรือกวาด Offer เพื่อให้ราคาเปลี่ยนแปลงสูงขึ้น / เคาะขายหรือมีลักษณะกวาด Bid เพื่อให้ราคาเปลี่ยนแปลงต่ำลง
Sending Buy or Sell orders that can be characterized as "orders which pump and dump the price of securities" by placing several bids or offers in the manner of orders which pump and dump the price of securities to cause other persons to be mistaken in the price of securities or entering bids or sweeping offers in the manner which attempts to push the price up/ entering offers or sweeping bids in order to lower the price.
5. ส่งคำสั่งในลักษณะ " ชี้นำราคา " โดยส่งคำสั่งซื้อหรือขายในราคาที่สูงกว่าหรือต่ำกว่าราคาที่ควรจะเป็นมาก เพื่อควบคุมราคาหลักทรัพย์
Sending Buy or Sell orders that can be characterized as "orders which direct the price of securities" by placing bid or offer at the price significantly higher or lower than the last execution price to control the securities price.
6. ส่งคำสั่งในลักษณะ " แยกย่อยคำสั่ง " โดยส่งคำสั่งซื้อหรือขายหลักทรัพย์ ครั้งละ 100 – 1,000 หุ้น ในระดับราคาเดียวกัน จำนวนหลายคำสั่ง ทั้งที่สามารถซื้อหรือขายได้ในคราวเดียว
Sending Buy or Sell orders that can be characterized as "orders which separated bids/offers" by placing several bids/offers at the amount of 100 – 1,000 shares at the same price although purchase/selling transactions can be effectuated at one time.

ข้าพเจ้ารับทราบและเข้าใจเป็นอย่างดีถึงผลกระทบอันเกิดจากการส่งคำสั่งซื้อหรือขายหลักทรัพย์ที่ไม่เหมาะสมดังกล่าวข้างต้น หากบริษัทพบการส่งคำสั่งที่ไม่เหมาะสมในลักษณะดังกล่าวของข้าพเจ้า และ/หรือ บัญชีของข้าพเจ้า ข้าพเจ้ายินยอมให้บริษัทระงับการให้บริการเป็นนายหน้าซื้อขาย หรือปิดบัญชีซื้อขาย หรือจำกัดการซื้อขาย หรือดำเนินการใด ๆ ตามคำสั่งของตลาดหลักทรัพย์ฯ หรือตามที่บริษัทจะเห็นสมควร โดยข้าพเจ้าจะไม่โต้แย้ง หรือเรียกร้องสิทธิใดๆ ทั้งสิ้น

I hereby acknowledge and truly understand the effect of sending Buy or Sell orders that the SET may consider as improper orders as above. If the Company find out that there are such above improper orders from me and/or my account, I accept that the Company has the right of stop providing internet trading service or closing account or limit trading or allow the Company to take any action on the orders of the Stock Exchange of Thailand, or as the Company seems appropriate and also I waive any claims against the Company.

ลูกค้ารับทราบและยอมรับ ลงชื่อ _____

Acknowledged and accepted ()

โปรดแนบหนังสือนี้ที่ลงนามแล้ว มาพร้อมกับแบบคำขอเปิดบัญชีซื้อขายหลักทรัพย์

Please attach this signed document with your Application for opening a Securities Trading Account.

**UPDATED INFORMATION FOR USERS OF FORM W-8BEN-E - -
USE OF FORM W-8BEN (REVISION DATE FEBRUARY 2006)
BEFORE JANUARY 1, 2015**

The Form W-8BEN-E reflects changes made by the Foreign Account Tax Compliance Act (FATCA) and is for use by beneficial owners that are entities. Entities also may use the Form W-8BEN (revision date February 2006) through December 31, 2014.

For purposes of chapter 3 of the Internal Revenue Code, a Form W-8BEN (revision date February 2006) provided to a withholding agent by an entity before January 1, 2015 will remain valid until the form's validity expires under Treasury Regulations section 1.1441-1(e)(4)(ii).

For purposes of chapter 4 of the Internal Revenue Code, a Form W-8BEN (revision date February 2006) provided to a withholding agent by an entity before January 1, 2015 is and will remain valid to the extent permitted in Treasury Regulations section 1.1471-3(d)(1) (describing the allowance for use of a "pre-FATCA Form W-8"). See also Treasury Regulations section 1.1471-2T(a)(4)(ii) (describing a transitional exception to withholding for certain payments made with respect to a preexisting obligation).

A withholding agent may request that you provide a Form W-8BEN (revision date February 2006) before January 1, 2015. The Form W-8BEN (revision date February 2006) can be found on irs.gov in the Forms and Publications section, under the "Prior Year Forms" tab, by searching the cumulative list of forms posted there for the term "Form W-8". It does not reflect the changes made by FATCA.

**Certificate of Status of Beneficial Owner for
United States Tax Withholding and Reporting (Entities)**

For use by entities. Individuals must use Form W-8BEN. Section references are to the Internal Revenue Code.
Information about Form W-8BEN-E and its separate instructions is at www.irs.gov/formw8bene.
Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

Do NOT use this form for:

- U.S. entity or U.S. citizen or resident W-9
- A foreign individual W-8BEN (Individual)
- A foreign individual or entity claiming that income is effectively connected with the conduct of trade or business within the U.S. (unless claiming treaty benefits) W-8ECI
- A foreign partnership, a foreign simple trust, or a foreign grantor trust (unless claiming treaty benefits) (see instructions for exceptions) . . . W-8IMY
- A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government of a U.S. possession claiming that income is effectively connected U.S. income or that is claiming the applicability of section(s) 115(2), 501(c), 892, 895, or 1443(b) (unless claiming treaty benefits) (see instructions) W-8ECI or W-8EXP
- Any person acting as an intermediary W-8IMY

Instead use Form:

Part I Identification of Beneficial Owner

1 Name of organization that is the beneficial owner		2 Country of incorporation or organization																																					
3 Name of disregarded entity receiving the payment (if applicable)																																							
4 Chapter 3 Status (entity type) (Must check one box only): <table border="0"><tr><td><input type="checkbox"/> Corporation</td><td><input type="checkbox"/> Disregarded entity</td><td><input type="checkbox"/> Partnership</td></tr><tr><td><input type="checkbox"/> Simple trust</td><td><input type="checkbox"/> Grantor trust</td><td><input type="checkbox"/> Complex trust</td></tr><tr><td><input type="checkbox"/> Estate</td><td><input type="checkbox"/> Government</td><td><input type="checkbox"/> Central Bank of Issue</td></tr><tr><td><input type="checkbox"/> Tax-exempt organization</td><td><input type="checkbox"/> Private foundation</td><td></td></tr></table> If you entered disregarded entity, partnership, simple trust, or grantor trust above, is the entity a hybrid making a treaty claim? If "Yes" complete Part III. <input type="checkbox"/> Yes <input type="checkbox"/> No				<input type="checkbox"/> Corporation	<input type="checkbox"/> Disregarded entity	<input type="checkbox"/> Partnership	<input type="checkbox"/> Simple trust	<input type="checkbox"/> Grantor trust	<input type="checkbox"/> Complex trust	<input type="checkbox"/> Estate	<input type="checkbox"/> Government	<input type="checkbox"/> Central Bank of Issue	<input type="checkbox"/> Tax-exempt organization	<input type="checkbox"/> Private foundation																									
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5 Chapter 4 Status (FATCA status) (Must check one box only unless otherwise indicated). (See instructions for details and complete the certification below for the entity's applicable status). <table border="0"><tr><td><input type="checkbox"/> Nonparticipating FFI (including a limited FFI or an FFI related to a Reporting IGA FFI other than a registered deemed-compliant FFI or participating FFI).</td><td><input type="checkbox"/> Nonreporting IGA FFI (including an FFI treated as a registered deemed-compliant FFI under an applicable Model 2 IGA). Complete Part XII.</td></tr><tr><td><input type="checkbox"/> Participating FFI.</td><td><input type="checkbox"/> Foreign government, government of a U.S. possession, or foreign central bank of issue. Complete Part XIII.</td></tr><tr><td><input type="checkbox"/> Reporting Model 1 FFI.</td><td><input type="checkbox"/> International organization. Complete Part XIV.</td></tr><tr><td><input type="checkbox"/> Reporting Model 2 FFI.</td><td><input type="checkbox"/> Exempt retirement plans. Complete Part XV.</td></tr><tr><td><input type="checkbox"/> Registered deemed-compliant FFI (other than a reporting Model 1 FFI or sponsored FFI that has not obtained a GIIN).</td><td><input type="checkbox"/> Entity wholly owned by exempt beneficial owners. Complete Part XVI.</td></tr><tr><td><input type="checkbox"/> Sponsored FFI that has not obtained a GIIN. Complete Part IV.</td><td><input type="checkbox"/> Territory financial institution. Complete Part XVII.</td></tr><tr><td><input type="checkbox"/> Certified deemed-compliant nonregistering local bank. Complete Part V.</td><td><input type="checkbox"/> Nonfinancial group entity. Complete Part XVIII.</td></tr><tr><td><input type="checkbox"/> Certified deemed-compliant FFI with only low-value accounts. Complete Part VI.</td><td><input type="checkbox"/> Excepted nonfinancial start-up company. Complete Part XIX.</td></tr><tr><td><input type="checkbox"/> Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part VII.</td><td><input type="checkbox"/> Excepted nonfinancial entity in liquidation or bankruptcy. Complete Part XX.</td></tr><tr><td><input type="checkbox"/> Certified deemed-compliant limited life debt investment entity. Complete Part VIII.</td><td><input type="checkbox"/> 501(c) organization. Complete Part XXI.</td></tr><tr><td><input type="checkbox"/> Certified deemed-compliant investment advisors and investment managers. Complete Part IX.</td><td><input type="checkbox"/> Nonprofit organization. Complete Part XXII.</td></tr><tr><td><input type="checkbox"/> Owner-documented FFI. Complete Part X.</td><td><input type="checkbox"/> Publicly traded NFFE or NFFE affiliate of a publicly traded corporation. Complete Part XXIII.</td></tr><tr><td><input type="checkbox"/> Restricted distributor. Complete Part XI.</td><td><input type="checkbox"/> Excepted territory NFFE. Complete Part XXIV.</td></tr><tr><td></td><td><input type="checkbox"/> Active NFFE. Complete Part XXV.</td></tr><tr><td></td><td><input type="checkbox"/> Passive NFFE. Complete Part XXVI.</td></tr><tr><td></td><td><input type="checkbox"/> Excepted inter-affiliate FFI. Complete Part XXVII.</td></tr><tr><td></td><td><input type="checkbox"/> Direct reporting NFFE.</td></tr><tr><td></td><td><input type="checkbox"/> Sponsored direct reporting NFFE. Complete Part XXVIII.</td></tr></table>				<input type="checkbox"/> Nonparticipating FFI (including a limited FFI or an FFI related to a Reporting IGA FFI other than a registered deemed-compliant FFI or participating FFI).	<input type="checkbox"/> Nonreporting IGA FFI (including an FFI treated as a registered deemed-compliant FFI under an applicable Model 2 IGA). 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Complete Part XXIII.	<input type="checkbox"/> Restricted distributor. Complete Part XI.	<input type="checkbox"/> Excepted territory NFFE. Complete Part XXIV.		<input type="checkbox"/> Active NFFE. Complete Part XXV.		<input type="checkbox"/> Passive NFFE. Complete Part XXVI.		<input type="checkbox"/> Excepted inter-affiliate FFI. Complete Part XXVII.		<input type="checkbox"/> Direct reporting NFFE.		<input type="checkbox"/> Sponsored direct reporting NFFE. Complete Part XXVIII.
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6 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address (other than a registered address) .

City or town, state or province. Include postal code where appropriate.

Country

7 Mailing address (if different from above)

City or town, state or province. Include postal code where appropriate.

Country

8 U.S. taxpayer identification number (TIN), if required	9a <input type="checkbox"/> GIIN	b <input type="checkbox"/> Foreign TIN	10 Reference number(s) (see instructions)
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Note. Please complete remainder of the form including signing the form in Part XXIX.

Part II Disregarded Entity or Branch Receiving Payment. (Complete only if disregarded entity or branch of an FFI in a country other than the FFI's country of residence.)

- 11 Chapter 4 Status (FATCA status) of disregarded entity or branch receiving payment
- ☐ Limited Branch. ☐ Reporting Model 1 FFI. ☐ U.S. Branch.
- ☐ Participating FFI. ☐ Reporting Model 2 FFI.
- 12 Address of disregarded entity or branch (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address (other than a registered address) .

City or town, state or province. Include postal code where appropriate.

Country

- 13 GIIN (if any)

Part III Claim of Tax Treaty Benefits (if applicable). (For chapter 3 purposes only)

- 14 I certify that (check all that apply):
- a ☐ The beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country.
- b ☐ The beneficial owner derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits (see instructions).
- c ☐ The beneficial owner is claiming treaty benefits for dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation and meets qualified resident status (see instructions).
- 15 Special rates and conditions (if applicable—see instructions): The beneficial owner is claiming the provisions of Article _____ of the treaty identified on line 14a above to claim a _____ % rate of withholding on (specify type of income): _____.
- Explain the reasons the beneficial owner meets the terms of the treaty article: _____

Part IV Sponsored FFI That Has Not Obtained a GIIN

- 16 Name of sponsoring entity: _____
- 17 Check whichever box applies.
- ☐ I certify that the entity identified in Part I:
- Is an FFI solely because it is an investment entity;
 - Is not a QI, WP, or WT; and
 - Has agreed with the entity identified above (that is not a nonparticipating FFI) to act as the sponsoring entity for this entity.
- ☐ I certify that the entity identified in Part I:
- Is a controlled foreign corporation as defined in section 957(a);
 - Is not a QI, WP, or WT;
 - Is wholly owned, directly or indirectly, by the U.S. financial institution identified above that agrees to act as the sponsoring entity for this entity; and
 - Shares a common electronic account system with the sponsoring entity (identified above) that enables the sponsoring entity to identify all account holders and payees of the entity and to access all account and customer information maintained by the entity including, but not limited to, customer identification information, customer documentation, account balance, and all payments made to account holders or payees.

Part V Certified Deemed-Compliant Nonregistering Local Bank

- 18 ☐ I certify that the FFI identified in Part I:
- Operates and is licensed solely as a bank or credit union (or similar cooperative credit organization operated without profit) in its country of incorporation or organization;
 - Engages primarily in the business of receiving deposits from and making loans to, with respect to a bank, retail customers unrelated to such bank and, with respect to a credit union or similar cooperative credit organization, members, provided that no member has a greater than five percent interest in such credit union or cooperative credit organization;
 - Does not solicit account holders outside its country of organization;
 - Has no fixed place of business outside such country (for this purpose, a fixed place of business does not include a location that is not advertised to the public and from which the FFI performs solely administrative support functions);
 - Has no more than \$175 million in assets on its balance sheet and, if it is a member of an expanded affiliated group, the group has no more than \$500 million in total assets on its consolidated or combined balance sheets; and
 - Does not have any member of its expanded affiliated group that is a foreign financial institution, other than a foreign financial institution that is incorporated or organized in the same country as the FFI identified in Part I and that meets the requirements set forth in this Part V.

Part VI Certified Deemed-Compliant FFI with Only Low-Value Accounts19 ☐ I certify that the FFI identified in Part I:

- Is not engaged primarily in the business of investing, reinvesting, or trading in securities, partnership interests, commodities, notional principal contracts, insurance or annuity contracts, or any interest (including a futures or forward contract or option) in such security, partnership interest, commodity, notional principal contract, insurance contract or annuity contract;
- No financial account maintained by the FFI or any member of its expanded affiliated group, if any, has a balance or value in excess of \$50,000 (as determined after applying applicable account aggregation rules); and
- Neither the FFI nor the entire expanded affiliated group, if any, of the FFI, have more than \$50 million in assets on its consolidated or combined balance sheet as of the end of its most recent accounting year.

Part VII Certified Deemed-Compliant Sponsored, Closely Held Investment Vehicle

20 Name of sponsoring entity: _____

21 ☐ I certify that the entity identified in Part I:

- Is an FFI solely because it is an investment entity described in §1.1471-5(e)(4);
- Is not a QI, WP, or WT;
- Has a contractual relationship with the above identified sponsoring entity that agrees to fulfill all due diligence, withholding, and reporting responsibilities of a participating FFI on behalf of this entity; and
- Twenty or fewer individuals own all of the debt and equity interests in the entity (disregarding debt interests owned by U.S. financial institutions, participating FFIs, registered deemed-compliant FFIs, and certified deemed-compliant FFIs and equity interests owned by an entity if that entity owns 100 percent of the equity interests in the FFI and is itself a sponsored FFI).

Part VIII Certified Deemed-Compliant Limited Life Debt Investment Entity22 ☐ I certify that the entity identified in Part I:

- Was in existence as of January 17, 2013;
- Issued all classes of its debt or equity interests to investors on or before January 17, 2013, pursuant to a trust indenture or similar agreement; and
- Is certified deemed-compliant because it satisfies the requirements to be treated as a limited life debt investment entity (such as the restrictions with respect to its assets and other requirements under § 1.1471-5(f)(2)(iv)).

Part IX Certified Deemed-Compliant Investment Advisors and Investment Managers23 ☐ I certify that the entity identified in Part I:

- Is a financial institution solely because it is an investment entity described in §1.1471-5(e)(4)(i)(A); and
- Does not maintain financial accounts.

Part X Owner-Documented FFI

Note. This status only applies if the U.S. financial institution or participating FFI to which this form is given has agreed that it will treat the FFI as an owner-documented FFI (see instructions for eligibility requirements). In addition, the FFI must make the certifications below.

24a ☐ (All owner-documented FFIs check here) I certify that the FFI identified in Part I:

- Does not act as an intermediary;
- Does not accept deposits in the ordinary course of a banking or similar business;
- Does not hold, as a substantial portion of its business, financial assets for the account of others;
- Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account;
- Is not owned by or in an expanded affiliated group with an entity that accepts deposits in the ordinary course of a banking or similar business, holds, as a substantial portion of its business, financial assets for the account of others, or is an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account; and
- Does not maintain a financial account for any nonparticipating FFI.

Part X Owner-Documented FFI (continued)

Check box 24b or 24c, whichever applies.

- b ☐ I certify that the FFI identified in Part I:
- Has provided, or will provide, an FFI owner reporting statement that contains:
 - The name, address, TIN (if any), chapter 4 status, and type of documentation provided (if required) of every individual and specified U.S. person that owns a direct or indirect equity interest in the owner-documented FFI (looking through all entities other than specified U.S. persons);
 - The name, address, TIN (if any), chapter 4 status, and type of documentation provided (if required) of every individual and specified U.S. person that owns a debt interest in the owner-documented FFI (including any indirect debt interest, which includes debt interests in any entity that directly or indirectly owns the payee or any direct or indirect equity interest in a debt holder of the payee) that constitutes a financial account in excess of \$50,000 (disregarding all such debt interests owned by participating FFIs, registered deemed-compliant FFIs, certified deemed-compliant FFIs, excepted NFFEs, exempt beneficial owners, or U.S. persons other than specified U.S. persons); and
 - Any additional information the withholding agent requests in order to fulfill its obligations with respect to the entity.
- c ☐ I certify that the FFI identified in Part I has provided, or will provide, an auditor's letter, signed within four years of the date of payment, from an independent accounting firm or legal representative with a location in the United States stating that the firm or representative has reviewed the FFI's documentation with respect to all of its owners and debt holders identified in §1.1471-3(d)(6)(iv)(A)(2), and that the FFI meets all the requirements to be an owner-documented FFI. The FFI identified in Part I has also provided, or will provide, an FFI owner reporting statement of its owners that are specified U.S. persons and Form(s) W-9, with applicable waivers.

Check box 24d if applicable.

- d ☐ I certify that the entity identified in line 1 is a trust that does not have any contingent beneficiaries or designated classes with unidentified beneficiaries.

Part XI Restricted Distributor

- 25a ☐ (All restricted distributors check here) I certify that the entity identified in Part I:
- Operates as a distributor with respect to debt or equity interests of the restricted fund with respect to which this form is furnished;
 - Provides investment services to at least 30 customers unrelated to each other and less than half of its customers are related to each other;
 - Is required to perform AML due diligence procedures under the anti-money laundering laws of its country of organization (which is an FATF-compliant jurisdiction);
 - Operates solely in its country of incorporation or organization, has no fixed place of business outside of that country, and has the same country of incorporation or organization as all members of its affiliated group, if any;
 - Does not solicit customers outside its country of incorporation or organization;
 - Has no more than \$175 million in total assets under management and no more than \$7 _____ in gross revenue on its income statement for the most recent accounting year;
 - Is not a member of an expanded affiliated group that has more than \$500 million in total assets under management or more than \$20 million in gross revenue for its most recent accounting year on a combined or consolidated income statement; and _____ million
 - Does not distribute any debt or securities of the restricted fund to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs.

Check box 25b or 25c, whichever applies.

I further certify that with respect to all sales of debt or equity interests in the restricted fund with respect to which this form is furnished that are made after December 31, 2011, the entity identified in Part I:

- b ☐ Has been bound by a distribution agreement that contained a general prohibition on the sale of debt or securities to U.S. entities and U.S. resident individuals and is currently bound by a distribution agreement that contains a prohibition of the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI.
- c ☐ Is currently bound by a distribution agreement that contains a prohibition on the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI and, for all sales made prior to the time that such a restriction was included in its distribution agreement, has reviewed all accounts related to such sales in accordance with the procedures identified in §1.1471-4(c) applicable to preexisting accounts and has redeemed or retired any, or caused the restricted fund to transfer the securities to a distributor that is a participating FFI or reporting Model 1 FFI securities which were sold to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs.

Part XII Nonreporting IGA FFI

- 26 ☐ I certify that the entity identified in Part I:
- Meets the requirements to be considered a nonreporting financial institution pursuant to an applicable IGA between the United States and _____;
 - Is treated as a _____ under the provisions of the applicable IGA (see instructions); and
 - If you are an FFI treated as a registered deemed-compliant FFI under an applicable Model 2 IGA, provide your GIIN: _____

Part XIII Foreign Government, Government of a U.S. Possession, or Foreign Central Bank of Issue

- 27 ☐ I certify that the entity identified in Part I is the beneficial owner of the payment and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or depository institution with respect to the payments, accounts, or obligations for which this form is submitted (except as permitted in §1.1471-6(h)(2)).

Part XIV International Organization

Check box 28a or 28b, whichever applies.

- 28a ☐ I certify that the entity identified in Part I is an international organization described in section 7701(a)(18).
- b ☐ I certify that the entity identified in Part I:
- Is comprised primarily of foreign governments;
 - Is recognized as an intergovernmental or supranational organization under a foreign law similar to the International Organizations Immunities Act;
 - The benefit of the entity's income does not inure to any private person;
 - Is the beneficial owner of the payment and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or depository institution with respect to the payments, accounts, or obligations for which this form is submitted (except as permitted in §1.1471-6(h)(2)).

Part XV Exempt Retirement Plans

Check box 29a, b, c, d, e, or f, whichever applies.

- 29a ☐ I certify that the entity identified in Part I:
- Is established in a country with which the United States has an income tax treaty in force (see Part III if claiming treaty benefits);
 - Is operated principally to administer or provide pension or retirement benefits; and
 - Is entitled to treaty benefits on income that the fund derives from U.S. sources (or would be entitled to benefits if it derived any such income) as a resident of the other country which satisfies any applicable limitation on benefits requirement.
- b ☐ I certify that the entity identified in Part I:
- Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered;
 - No single beneficiary has a right to more than 5% of the FFI's assets;
 - Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operated; and
 - Is generally exempt from tax on investment income under the laws of the country in which it is established or operates due to its status as a retirement or pension plan;
 - Receives at least 50% of its total contributions from sponsoring employers (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, other retirement funds described in an applicable Model 1 or Model 2 IGA, or accounts described in §1.1471-5(b)(2)(i)(A));
 - Either does not permit or penalizes distributions or withdrawals made before the occurrence of specified events related to retirement, disability, or death (except rollover distributions to accounts described in §1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), to retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or to other retirement funds described in this part or in an applicable Model 1 or Model 2 IGA); or
 - Limits contributions by employees to the fund by reference to earned income of the employee or may not exceed \$50,000 annually.
- c ☐ I certify that the entity identified in Part I:
- Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered;
 - Has fewer than 50 participants;
 - Is sponsored by one or more employers each of which is not an investment entity or passive NFFE;
 - Employee and employer contributions to the fund (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or accounts described in §1.1471-5(b)(2)(i)(A)) are limited by reference to earned income and compensation of the employee, respectively;
 - Participants that are not residents of the country in which the fund is established or operated are not entitled to more than 20 percent of the fund's assets; and
 - Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operates.
- d ☐ I certify that the entity identified in Part I is formed pursuant to a pension plan that would meet the requirements of section 401(a), other than the requirement that the plan be funded by a trust created or organized in the United States.
- e ☐ I certify that the entity identified in Part I is established exclusively to earn income for the benefit of one or more retirement funds described in this part or in an applicable Model 1 or Model 2 IGA, accounts described in §1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), or retirement and pension accounts described in an applicable Model 1 or Model 2 IGA.

Part XV Exempt Retirement Plans (Continued)f ☐ I certify that the entity identified in Part I:

- Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in §1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are current or former employees of the sponsor (or persons designated by such employees); or
- Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in §1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are not current or former employees of such sponsor, but are in consideration of personal services performed for the sponsor.

Part XVI Entity Wholly Owned by Exempt Beneficial Owners30 ☐ I certify that the entity identified in Part I:

- Is an FFI solely because it is an investment entity;
- Each direct holder of an equity interest in the investment entity is an exempt beneficial owner described in §1.1471-6 or in an applicable Model 1 or Model 2 IGA;
- Each direct holder of a debt interest in the investment entity is either a depository institution (with respect to a loan made to such entity) or an exempt beneficial owner described in §1.1471-6 or an applicable Model 1 or Model 2 IGA.
- Has provided an owner reporting statement that contains the name, address, TIN (if any), chapter 4 status, and a description of the type of documentation provided to the withholding agent for every person that owns a debt interest constituting a financial account or direct equity interest in the entity; and
- Has provided documentation establishing that every owner of the entity is an entity described in §1.1471-6(b), (c), (d), (e), (f) and/or (g) without regard to whether such owners are beneficial owners.

Part XVII Territory Financial Institution31 ☐ I certify that the entity identified in Part I is a financial institution (other than an investment entity) that is incorporated or organized under the laws of a possession of the United States.**Part XVIII Excepted Nonfinancial Group Entity**32 ☐ I certify that the entity identified in Part I:

- Is a holding company, treasury center, or captive finance company and substantially all of the entity's activities are functions described in §1.1471-5(e)(5)(i)(C) through (E);
- Is a member of a nonfinancial group described in §1.1471-5(e)(5)(i)(B);
- Is not a depository or custodial institution (other than for members of the entity's expanded affiliated group); and
- Does not function (or hold itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle with an investment strategy to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.

Part XIX Excepted Nonfinancial Start-Up Company33 ☐ I certify that the entity identified in Part I:

- Was formed on (or, in the case of a new line of business, the date of board resolution approving the new line of business) _____ (date must be less than 24 months prior to date of payment);
- Is not yet operating a business and has no prior operating history or is investing capital in assets with the intent to operate a new line of business other than that of a financial institution or passive NFFE;
- Is investing capital into assets with the intent to operate a business other than that of a financial institution; and
- Does not function (or hold itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.

Part XX Excepted Nonfinancial Entity in Liquidation or Bankruptcy34 ☐ I certify that the entity identified in Part I:

- Filed a plan of liquidation, filed a plan of reorganization, or filed for bankruptcy on _____;
- During the past 5 years has not been engaged in business as a financial institution or acted as a passive NFFE;
- Is either liquidating or emerging from a reorganization or bankruptcy with the intent to continue or recommence operations as a nonfinancial entity; and
- Has, or will provide, documentary evidence such as a bankruptcy filing or other public documentation that supports its claim if it remains in bankruptcy or liquidation for more than three years.

Part XXI 501(c) Organization35 ☐ I certify that the entity identified in Part I is a 501(c) organization that:

- Has been issued a determination letter from the IRS that is currently in effect concluding that the payee is a section 501(c) organization that is dated _____; or
- Has provided a copy of an opinion from U.S. counsel certifying that the payee is a section 501(c) organization (without regard to whether the payee is a foreign private foundation).

Part XXII Non-Profit Organization

- 36 ☐ I certify that the entity identified in Part I is a non-profit organization that meets the following requirements:
- The entity is established and maintained in its country of residence exclusively for religious, charitable, scientific, artistic, cultural or educational purposes;
 - The entity is exempt from income tax in its country of residence;
 - The entity has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
 - Neither the applicable laws of the entity's country of residence nor the entity's formation documents permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or non-charitable entity other than pursuant to the conduct of the entity's charitable activities or as payment of reasonable compensation for services rendered or payment representing the fair market value of property which the entity has purchased; and
 - The applicable laws of the entity's country of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets be distributed to an entity that is a foreign government, an integral part of a foreign government, a controlled entity of a foreign government, or another organization that is described in this Part XXII or escheats to the government of the entity's country of residence or any political subdivision thereof.

Part XXIII Publicly Traded NFFE or NFFE Affiliate of a Publicly Traded Corporation

Check box 37a or 37b, whichever applies.

- 37a ☐ I certify that:
- The entity identified in Part I is a foreign corporation that is not a financial institution; and
 - The stock of such corporation is regularly traded on one or more established securities markets, including _____ (name one securities exchange upon which the stock is regularly traded).
- b ☐ I certify that:
- The entity identified in Part I is a foreign corporation that is not a financial institution;
 - The entity identified in Part I is a member of the same expanded affiliated group as an entity the stock of which is regularly traded on an established securities market;
 - The name of the entity, the stock of which is regularly traded on an established securities market, is _____; and
 - The name of the securities market on which the stock is regularly traded is _____.

Part XXIV Excepted Territory NFFE

- 38 ☐ I certify that:
- The entity identified in Part I is an entity that is organized in a possession of the United States;
 - The entity identified in Part I:
 - Does not accept deposits in the ordinary course of a banking or similar business,
 - Does not hold, as a substantial portion of its business, financial assets for the account of others, or
 - Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account; and
 - All of the owners of the entity identified in Part I are bona fide residents of the possession in which the NFFE is organized or incorporated.

Part XXV Active NFFE

- 39 ☐ I certify that:
- The entity identified in Part I is a foreign entity that is not a financial institution;
 - Less than 50% of such entity's gross income for the preceding calendar year is passive income; and
 - Less than 50% of the assets held by such entity are assets that produce or are held for the production of passive income (calculated as a weighted average of the percentage of passive assets measured quarterly) (see instructions for the definition of passive income).

Part XXVI Passive NFFE

- 40a ☐ I certify that the entity identified in Part I is a foreign entity that is not a financial institution (other than an investment entity organized in a possession of the United States) and is not certifying its status as a publicly traded NFFE (or affiliate), excepted territory NFFE, active NFFE, direct reporting NFFE, or sponsored direct reporting NFFE.

Check box 40b or 40c, whichever applies.

- b ☐ I further certify that the entity identified in Part I has no substantial U.S. owners, or
- c ☐ I further certify that the entity identified in Part I has provided the name, address, and TIN of each substantial U.S. owner of the NFFE in Part XXX.

Part XXVII Excepted Inter-Affiliate FFI

- 41 ☐ I certify that the entity identified in Part I:
- Is a member of an expanded affiliated group;
 - Does not maintain financial accounts (other than accounts maintained for members of its expanded affiliated group);
 - Does not make withholdable payments to any person other than to members of its expanded affiliated group that are not limited FFIs or limited branches;
 - Does not hold an account (other than a depository account in the country in which the entity is operating to pay for expenses) with or receive payments from any withholding agent other than a member of its expanded affiliated group; and
 - Has not agreed to report under §1.1471-4(d)(2)(ii)(C) or otherwise act as an agent for chapter 4 purposes on behalf of any financial institution, including a member of its expanded affiliated group.

Part XXVIII

Sponsored Direct Reporting NFFE

42

Name of sponsoring entity: _____

43

☐ I certify that the entity identified in Part I is a direct reporting NFFE that is sponsored by the entity identified _____ in line 42.

Part XXIX

Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- The entity identified on line 1 of this form is the beneficial owner of all the income to which this form relates, is using this form to certify its status for chapter 4 purposes, or is a merchant submitting this form for purposes of section 6050W,
- The entity identified on line 1 of this form is not a U.S. person,
- The income to which this form relates is: (a) not effectively connected with the conduct of a trade or business in the United States, (b) effectively connected but is not subject to tax under an income tax treaty, or (c) the partner's share of a partnership's effectively connected income, _____ and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which the entity on line 1 is the beneficial owner or any withholding agent that can disburse or make payments of the income of which the entity on line 1 is the beneficial owner.

I agree that I will submit a new form within 30 days if any certification on this form becomes incorrect.

Sign Here

Signature of individual authorized to sign for beneficial owner

Print Name

Date (MM-DD-YYYY)

☐ I certify that I have the capacity to sign for the entity identified on line 1 of this form.

Part XXX

Substantial U.S. Owners of Passive NFFE

As required by Part XXVI, provide the name, address, and TIN of each substantial U.S. owner of the NFFE. Please see instructions for definition of substantial U.S. owner.

Name	Address	TIN

แบบฟอร์ม FATCA สำหรับลูกค้าประเภทบุคคลธรรมดา

Customer FATCA Form for Individual

เลขที่บัญชี/Account No. _____

ผู้เปิดบัญชี (คำนำหน้า/ชื่อ/นามสกุล)/ Applicant Name (Title/Name/Lasetsname)		สัญชาติ/Nationality
เลขที่บัตรประชาชน/ID Card No.	สถานที่เกิด/Place of Birth	
หนังสือเดินทาง เลขที่/Passport No.	ออกโดยประเทศ/Issued by	

ส่วนที่ 1 ความสัมพันธ์ทางธุรกิจที่ท่านมีกับบริษัท/Part 1 Business relationship with the company

บุคคลอเมริกัน / U.S. Person		
<p>หากท่านทำเครื่องหมายในช่อง "ใช่" ช่องใดช่องหนึ่ง โปรดข้ามคำถามในส่วนของผู้ที่ไม่ใช่บุคคลอเมริกันข้างท้ายนี้ และกรอกแบบฟอร์ม W-9</p> <p>If you check "Yes" in any one box, please skip the Non-U.S. Person questionnaire below and complete IRS Form W-9</p>		
<p>1. ท่านเป็นบุคคลอเมริกันใช่หรือไม่ / Are you a U.S. Citizen?</p> <ul style="list-style-type: none"> • โปรดตอบ "ใช่" หากท่านเป็นพลเมืองอเมริกัน แม้ว่าท่านอาศัยอยู่นอกสหรัฐ • โปรดตอบ "ใช่" หากท่านมีสถานะเป็นพลเมืองของหลายประเทศ และหนึ่งในนั้นคือเป็นพลเมืองอเมริกัน • โปรดตอบ "ใช่" หากท่านเกิดในสหรัฐ (หรือดินแดนที่เป็นของสหรัฐ) และยังไม่ได้สละความเป็นพลเมืองของสหรัฐตามกฎหมาย • You must answer "Yes" if you are 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. 	ใช่/Yes <input type="checkbox"/>	ไม่ใช่/No <input type="checkbox"/>
<p>2. ท่านเป็นผู้ถือบัตรประจำตัวผู้มีถิ่นที่อยู่ถาวรอย่างถูกกฎหมายในสหรัฐ (กรีนการ์ด) ใช่หรือไม่ /Are you a U.S. Green Card Holder?</p> <ul style="list-style-type: none"> • โปรดตอบ "ใช่" หากสำนักงานตรวจคนเข้าเมืองและสัญชาติของสหรัฐได้ออกบัตรประจำตัวคนต่างด้าวที่ได้ขึ้นทะเบียนเป็นผู้มีถิ่นที่อยู่ถาวรอย่างถูกต้องตามกฎหมายในสหรัฐ (กรีนการ์ด) ให้แก่ท่าน • โปรดตอบ "ใช่" ไม่ว่าบัตรประจำตัวคนต่างด้าวที่ได้ขึ้นทะเบียนเป็นผู้มีถิ่นที่อยู่ถาวรอย่างถูกต้องตามกฎหมายในสหรัฐ (กรีนการ์ด) ของท่านจะหมดอายุแล้วหรือยังไม่หมดอายุ ณ วันที่ท่านกรอกและลงลายมือชื่อในแบบฟอร์มนี้ • โปรดตอบ "ไม่ใช่" หากบัตรประจำตัวคนต่างด้าวที่ได้ขึ้นทะเบียนเป็นผู้มีถิ่นที่อยู่ถาวรอย่างถูกต้องตามกฎหมายในสหรัฐ (กรีนการ์ด) ของท่านได้ถูกสละ ยกเลิก หรือถอนออกอย่างเป็นทางการแล้ว ณ วันที่ท่านกรอกและลงลายมือชื่อในแบบฟอร์มนี้ • You must answer "Yes" if the U.S. Citizenship and Immigration Service (USCIS) has issued you a U.S. alien registration card as a lawful permanent resident of the U.S. • You must answer "Yes" irrespective of your Green Card's expiration date and irrespective of whether such expiration date has passed as of the date you sign and complete the form. • You should answer "No" if your Green Card has been officially abandoned, revoked, or relinquished as of the date you sign and complete this form. 	ใช่/Yes <input type="checkbox"/>	ไม่ใช่/No <input type="checkbox"/>
<p>3. ท่านมีสถานะเป็นผู้มีถิ่นที่อยู่ในสหรัฐเพื่อวัตถุประสงค์ในการเก็บภาษีอากรของสหรัฐใช่หรือไม่ / Are you a U.S. resident for U.S. tax purposes?</p>	ใช่/Yes <input type="checkbox"/>	ไม่ใช่/No <input type="checkbox"/>
<p>ท่านอาจถูกพิจารณาเป็นผู้มีถิ่นที่อยู่ในสหรัฐหากเป็นไปตามเกณฑ์ "Substantial Physical Presence Test" ตัวอย่างที่ท่านจะถือว่าเป็นไปตามเกณฑ์นี้ ในปีปัจจุบัน ท่านอยู่ในสหรัฐอย่างน้อย 183 วัน เป็นต้น และหากต้องการรายละเอียดเพิ่มเติม โปรดศึกษาข้อมูลใน website ของหน่วยงานจัดเก็บภาษีอากรของสหรัฐ ดังนี้ http://www.irs.gov/Individuals/International-Taxpayers/Substantial-Presence-Test</p> <p>You may considered a U.S. resident if you meet the "Substantial Physical Presence Test". You will meet this test if, 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</p>		
ไม่เป็นบุคคลอเมริกัน / Non-U.S. Person		
<p>หากท่านทำเครื่องหมาย "ใช่" ช่องใดช่องหนึ่ง โปรดกรอกแบบฟอร์ม W-8BEN พร้อมทั้งส่งเอกสารประกอบ/If you check "Yes" in any one box, please complete IRS Form W-8BEN and provide supporting document(s)</p>		
<p>1. ท่านมี (หรือจะมี) การมอบอำนาจหรือให้อำนาจการลงลายมือชื่อแก่บุคคลที่มีที่อยู่ในสหรัฐ เพื่อการใด ๆ ที่เกี่ยวข้องกับบัญชีที่เปิดไว้หรือมีอยู่ร่วมกับบริษัท ใช่หรือไม่ /Do you have (or will you have) a power of attorney or signatory authority for the account granted to person with U.S. address?</p>	ใช่/Yes <input type="checkbox"/>	ไม่ใช่/No <input type="checkbox"/>
<p>2. ท่านมี (หรือจะมี) ที่อยู่สำหรับรับไปรษณีย์แทนหรือที่อยู่สำหรับการส่งเพื่อดำเนินการเกี่ยวกับบัญชีที่เปิดไว้หรือมีอยู่ร่วมกับบริษัทแต่เพียงที่อยู่เดียว ใช่หรือไม่ /Do you have (or will you have) a hold mail or in care of address as the sole address for the account?</p>	ใช่/Yes <input type="checkbox"/>	ไม่ใช่/No <input type="checkbox"/>

3. ท่านมี (หรือจะมี) ที่อยู่อาศัยในปัจจุบัน หรือที่อยู่เพื่อการติดต่อสำหรับบัญชีที่เปิดไว้หรือมีอยู่กับบริษัทในสหรัฐ ใช่หรือไม่ Do you have (or will you have) a current U.S. residence address or U.S. mailing address for the account?	ใช่/Yes <input type="checkbox"/>	ไม่ใช่/No <input type="checkbox"/>
4. ท่านมีหมายเลขโทรศัพท์ในสหรัฐ เพื่อการติดต่อท่านหรือบุคคลอื่นที่เกี่ยวข้องกับบัญชีที่เปิดไว้หรือมีอยู่กับบริษัทหรือไม่ Do you have U.S. telephone number for contacting you or another person in relation to the account?	ใช่/Yes <input type="checkbox"/>	ไม่ใช่/No <input type="checkbox"/>

ส่วนที่ 2 การยืนยันและการเปลี่ยนแปลงสถานะของผู้ที่ไม่ใช่สถานะความเป็นบุคคลอเมริกัน/Part 2 Confirmations and Change of Non-U.S. Person Status

- ท่านยืนยันว่า ข้อความข้างต้นเป็นความจริง และครบถ้วนสมบูรณ์
You confirm that the above information is true, accurate and complete
- ในกรณีที่ท่านไม่ใช่บุคคลอเมริกัน ท่านตกลงที่จะแจ้งให้บริษัททราบทันที หากมีการเปลี่ยนแปลงสถานะของท่านเป็นบุคคลอเมริกัน ภายใต้กฎหมายภาษีอากรของสหรัฐ
In case that you are a Non-U.S. Person, you agree to promptly notify the company should there be any change in your status to become a U.S. Person under U.S. tax law.
- ท่านรับทราบและตกลงว่า ในกรณีที่ท่านได้แจ้งให้บริษัททราบในทันทีเกี่ยวกับการเปลี่ยนแปลงใดๆ ในสถานะความไม่เป็นบุคคลอเมริกันของท่าน หรือการนำส่งข้อมูลอันเป็นเท็จ ไม่ถูกต้องหรือไม่ครบถ้วนสมบูรณ์ เกี่ยวกับสถานะความไม่เป็นบุคคลอเมริกันของท่าน จะไม่มีผลให้บริษัทมีสิทธิใช้ดุลยพินิจแต่เพียงฝ่ายเดียวที่จะยุติความสัมพันธ์ทางธุรกิจกับท่าน ไม่ว่าทั้งหมดหรือบางส่วน
You acknowledge and agree that failure to promptly notify the company of any change in your status as a Non-U.S. Person, or provision of any false, incorrect, inaccurate or incomplete information as to your status as a Non-U.S. Person shall entitle the company to terminate, at its sole discretion, the entire business relationship with you or part of such relationship as the company may determine in its sole discretion.
- ท่านรับทราบและตกลงว่า หากท่านมีสถานะเป็นบุคคลอเมริกัน แต่ข้อมูลที่ให้ตามแบบฟอร์มนี้ หรือตามแบบฟอร์ม W-9 เป็นข้อมูลอันเป็นเท็จ ไม่ถูกต้อง หรือไม่ครบถ้วนสมบูรณ์ บริษัทมีสิทธิใช้ดุลยพินิจแต่เพียงฝ่ายเดียวที่จะยุติความสัมพันธ์ทางธุรกิจกับท่าน ไม่ว่าทั้งหมดหรือแต่บางส่วน
You acknowledge and agree that if you are U.S. Person but the information provided on this form or IRS Form W-9 is false, incorrect, inaccurate or incomplete, the company shall be entitled to terminate, at its sole discretion, the entire business relationship with you or part of such relationship as the company may determine in its sole discretion.

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

ภายใต้ขอบเขตของกฎหมายที่เกี่ยวข้อง และ/หรือ ข้อตกลงใดๆ ระหว่างบริษัทและหน่วยงานภาษีอากรในประเทศ และ/หรือ ต่างประเทศ ท่านตกลงให้ความยินยอม และตกลงที่จะไม่เพิกถอนการให้ความยินยอมดังกล่าวแก่บริษัท ในการดำเนินการดังต่อไปนี้

To the extent required by applicable laws and/or any agreements between company and domestic and/or foreign tax authorities, you hereby irrevocably authorize company to:

- เปิดเผยข้อมูลต่างๆ ของท่านเพื่อประโยชน์ในการปฏิบัติตาม FATCA หน่วยงานจัดเก็บภาษีอากรในประเทศ และ/หรือ ต่างประเทศ ซึ่งรวมถึง หน่วยงานจัดเก็บภาษีอากรของสหรัฐ (Internal Revenue Service: IRS) ข้อมูลดังกล่าว ได้แก่ ชื่อ ที่อยู่ เลขประจำตัวผู้เสียภาษี หมายเลขบัญชี จำนวนเงินหรือมูลค่าคงเหลือในบัญชี การฝากถอนเงินในบัญชีในระหว่างปีปฏิทินที่ท่านมา รายการเคลื่อนไหวทางบัญชี จำนวนเงิน ประเภทและมูลค่าของผลิตภัณฑ์ทางการเงิน และ/หรือ ทรัพย์สินอื่นๆ ที่มีอยู่กับบริษัท ตลอดจนจำนวนรายได้ และข้อมูลอื่นๆ ที่เกี่ยวข้องความสัมพันธ์ทางธุรกิจที่อาจถูกร้องขอโดยบริษัท หน่วยงานทางภาษีอากรในประเทศ และ/หรือ ต่างประเทศ ซึ่งรวมถึง IRS ด้วย
Disclose to the company (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, account balance or value, the deposit/withdraw money made with respect to the account during the calendar year, account statements, the amount of money, the type and value of financial products and/or other assets held by the company, as well as the amount of revenue and income and any other information regarding the business relationship which may be requested or required by the domestic and/or foreign tax authorities, including the IRS;
- หักเงินจากบัญชีของท่าน และ/หรือ เงินที่ท่านอาจมีหรือมีสิทธิได้รับจากบริษัท ในจำนวนที่กำหนดโดยหน่วยงานจัดเก็บภาษีอากรในประเทศ และ/หรือ ต่างประเทศ ซึ่งรวมถึง IRS ด้วย ภายใต้บังคับของกฎหมาย และ/หรือ กฎเกณฑ์ต่างๆ รวมถึงความตกลงใดๆ ระหว่างบริษัท และหน่วยงานจัดเก็บภาษีอากรดังกล่าว
Withhold from your account and/or the income you may have or may be entitled to get paid from the company in the amount as required by the domestic and/or foreign tax authorities, including the IRS, pursuant to the laws and/or regulations, including any agreements between the company and such tax authorities;

หากไม่มีการดำเนินการหักเงินจากบัญชีของท่าน และ/หรือ เงินได้ที่ท่านอาจมีหรือมีสิทธิได้รับจากบริษัท ตามข้อ 2 ข้างต้น บริษัทจำเป็นต้องยุติความสัมพันธ์ทางธุรกิจกับท่าน ไม่ว่าทั้งหมดหรือบางส่วน ตามที่บริษัทเห็นสมควร โดยเป็นดุลยพินิจแต่เพียงฝ่ายเดียวของบริษัท ในกรณีที่ท่านไม่กรอกข้อมูลและลงลายมือชื่อในแบบฟอร์มนี้ ไม่แจ้งเพื่อปรับปรุงข้อมูลตามที่ได้ให้ไว้ตามแบบฟอร์มนี้ หรือในกรณีที่ท่านให้ข้อมูลอันเป็นเท็จ ไม่ถูกต้อง หรือไม่ครบถ้วนสมบูรณ์ในแบบฟอร์มนี้

If no account or income withholding is made pursuant to clause 2 above, the company shall be entitled to terminate, at its sole discretion, the entire business relationship with you or part of such relationship as the company may determine in its sole discretion in the event of a failure to sign and complete this form, a failure to update information as provided in this form, or in the event that you provide information that is false, incorrect, incomplete or inaccurate on this form.

ลายมือชื่อของลูกค้าผู้เปิดบัญชี Signature of Applicant	วันที่ Date
สำหรับบริษัท ผู้มีอำนาจลงนาม For the company Authorized Person	วันที่ Date

Do NOT use this form if:

You are NOT an individual

You are a U.S. citizen or other U.S. person, including a resident alien individual

You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the U.S. (other than personal services)

You are a beneficial owner who is receiving compensation for personal services performed in the United States

A person acting as an intermediary

Instead, use Form:

W-8BEN-E

W-9

W-8ECI

8233 or W-4

W-8IMY

Part I Identification of Beneficial Owner (see instructions)

1 Name of individual who is the beneficial owner

2 Country of citizenship

3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address.

City or town, state or province. Include postal code where appropriate.

Country

4 Mailing address (if different from above)

City or town, state or province. Include postal code where appropriate.

Country

5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)

6 Foreign tax identifying number (see instructions)

7 Reference number(s) (see instructions)

8 Date of birth (MM-DD-YYYY) (see instructions)

Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)

9 I certify that the beneficial owner is a resident of within the meaning of the income tax treaty between the United States and that country.

10 Special rates and conditions (if applicable—see instructions): The beneficial owner is claiming the provisions of Article of the treaty identified on line 9 above to claim a % rate of withholding on (specify type of income):

Explain the reasons the beneficial owner meets the terms of the treaty article:

Part III Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself as an individual that is an owner or account holder of a foreign financial institution,

The person named on line 1 of this form is not a U.S. person,

The income to which this form relates is:

(a) not effectively connected with the conduct of a trade or business in the United States,

(b) effectively connected but is not subject to tax under an applicable income tax treaty, or

(c) the partner's share of a partnership's effectively connected income,

The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and

For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.

Sign Here

Signature of beneficial owner (or individual authorized to sign for beneficial owner)

Date (MM-DD-YYYY)

Print name of signer

Capacity in which acting (if form is not signed by beneficial owner)

Request for Taxpayer Identification Number and Certification

Give Form to the
requester. Do not
send to the IRS.

Print or type See Specific Instructions on page 2.	1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.	
	2 Business name/disregarded entity name, if different from above	
	3 Check appropriate box for federal tax classification; check only one of the following seven boxes: <input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) _____ Note. For a single-member LLC that is disregarded, do not check LLC; check the appropriate box in the line above for the tax classification of the single-member owner. <input type="checkbox"/> Other (see instructions)	4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____ (Applies to accounts maintained outside the U.S.)
	5 Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
	6 City, state, and ZIP code	
7 List account number(s) here (optional)		

Part I	Taxpayer Identification Number (TIN)																				
Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see How to get a TIN on page 3.																					
Note. If the account is in more than one name, see the instructions for line 1 and the chart on page 4 for guidelines on whose number to enter.																					
<table><tr><td colspan="2">Social security number</td></tr><tr><td><div></div></td><td><div></div></td></tr><tr><td><div></div></td><td><div></div></td></tr><tr><td><div></div></td><td><div></div></td></tr><tr><td colspan="2">or</td></tr><tr><td colspan="2">Employer identification number</td></tr><tr><td><div></div></td><td><div></div></td></tr><tr><td><div></div></td><td><div></div></td></tr><tr><td><div></div></td><td><div></div></td></tr><tr><td><div></div></td><td><div></div></td></tr></table>		Social security number		<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	or		Employer identification number		<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>
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Part II	Certification		
Under penalties of perjury, I certify that:			
1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and			
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and			
3. I am a U.S. citizen or other U.S. person (defined below); and			
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.			
Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 3.			
Sign Here	<table><tr><td>Signature of U.S. person</td><td>Date</td></tr></table>	Signature of U.S. person	Date
Signature of U.S. person	Date		

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.
Future developments . Information about developments affecting Form W-9 (such as legislation enacted after we release it) is at www.irs.gov/fw9 .

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following:

- Form 1099-INT (interest earned or paid)
- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)

- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)
Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.
If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding? on page 2.
By signing the filled-out form, you:
 1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
 2. Certify that you are not subject to backup withholding, or
 3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
 4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See What is FATCA reporting? on page 2 for further information.

Note. If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien;
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States;
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

In the cases below, the following person must give Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States:

- In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity and not the entity;
- In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust and not the trust; and
- In the case of a U.S. trust (other than a grantor trust), the U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

Foreign person. If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person, do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

Nonresident alien who becomes a resident alien. Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items:

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

Example. Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity, give the requester the appropriate completed Form W-8 or Form 8233.

Backup Withholding

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS 28% of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of payment card and third party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the Part II instructions on page 3 for details),

3. The IRS tells the requester that you furnished an incorrect TIN,

4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or

5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See Exempt payee code on page 3 and the separate Instructions for the Requester of Form W-9 for more information.

Also see Special rules for partnerships above.

What is FATCA reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See Exemption from FATCA reporting code on page 3 and the Instructions for the Requester of Form W-9 for more information.

Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account; for example, if the grantor of a grantor trust dies.

Penalties

Failure to furnish TIN. If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

Civil penalty for false information with respect to withholding. If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

Criminal penalty for falsifying information. Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

Misuse of TINs. If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

Specific Instructions

Line 1

You must enter one of the following on this line; do not leave this line blank. The name should match the name on your tax return.

If this Form W-9 is for a joint account, list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9.

a. Individual. Generally, enter the name shown on your tax return. If you have changed your last name without informing the Social Security Administration (SSA) of the name change, enter your first name, the last name as shown on your social security card, and your new last name.

Note. ITIN applicant: Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the same as the name you entered on the Form 1040/1040A/1040EZ you filed with your application.

b. Sole proprietor or single-member LLC. Enter your individual name as shown on your 1040/1040A/1040EZ on line 1. You may enter your business, trade, or "doing business as" (DBA) name on line 2.

c. Partnership, LLC that is not a single-member LLC, C Corporation, or S Corporation. Enter the entity's name as shown on the entity's tax return on line 1 and any business, trade, or DBA name on line 2.

d. Other entities. Enter your name as shown on required U.S. federal tax documents on line 1. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on line 2.

e. Disregarded entity. For U.S. federal tax purposes, an entity that is disregarded as an entity separate from its owner is treated as a "disregarded entity." See Regulations section 301.7701-2(c)(2)(iii). Enter the owner's name on line 1. The name of the entity entered on line 1 should never be a disregarded entity. The name on line 1 should be the name shown on the income tax return on which the income should be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner's name is required to be provided on line 1. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on line 2, "Business name/disregarded entity name." If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.

Line 2

If you have a business name, trade name, DBA name, or disregarded entity name, you may enter it on line 2.

Line 3

Check the appropriate box in line 3 for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box in line 3.

Limited Liability Company (LLC). If the name on line 1 is an LLC treated as a partnership for U.S. federal tax purposes, check the "Limited Liability Company" box and enter "P" in the space provided. If the LLC has filed Form 8832 or 2553 to be taxed as a corporation, check the "Limited Liability Company" box and in the space provided enter "C" for C corporation or "S" for S corporation. If it is a single-member LLC that is a disregarded entity, do not check the "Limited Liability Company" box; instead check the first box in line 3 "Individual/sole proprietor or single-member LLC."

Line 4, Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space in line 4 any code(s) that may apply to you.

Exempt payee code.

- Generally, individuals (including sole proprietors) are not exempt from backup withholding.
- Except as provided below, corporations are exempt from backup withholding for certain payments, including interest and dividends.
- Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions.
- Corporations are not exempt from backup withholding with respect to attorneys' fees or gross proceeds paid to attorneys, and corporations that provide medical or health care services are not exempt with respect to payments reportable on Form 1099-MISC.

The following codes identify payees that are exempt from backup withholding. Enter the appropriate code in the space in line 4.

- 1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)
- 2—The United States or any of its agencies or instrumentalities
- 3—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities
- 4—A foreign government or any of its political subdivisions, agencies, or instrumentalities
- 5—A corporation
- 6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or possession
- 7—A futures commission merchant registered with the Commodity Futures Trading Commission
- 8—A real estate investment trust
- 9—An entity registered at all times during the tax year under the Investment Company Act of 1940
- 10—A common trust fund operated by a bank under section 584(a)
- 11—A financial institution
- 12—A middleman known in the investment community as a nominee or custodian
- 13—A trust exempt from tax under section 664 or described in section 4947

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 7
Broker transactions	Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 4
Payments over \$600 required to be reported and direct sales over \$5,000	Generally, exempt payees 1 through 5 ²
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

¹ See Form 1099-MISC, Miscellaneous Income, and its instructions.

² However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney reportable under section 6045(f), and payments for services paid by a federal executive agency.

Exemption from FATCA reporting code. The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements. A requester may indicate that a code is not required by providing you with a Form W-9 with "Not Applicable" (or any similar indication) written or printed on the line for a FATCA exemption code.

A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)

B—The United States or any of its agencies or instrumentalities

C—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities

D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Regulations section 1.1472-1(c)(1)(i)

E—A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(c)(1)(i)

F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state

G—A real estate investment trust

H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940

I—A common trust fund as defined in section 584(a)

J—A bank as defined in section 581

K—A broker

L—A trust exempt from tax under section 664 or described in section 4947(a)(1)

M—A tax exempt trust under a section 403(b) plan or section 457(g) plan

Note. You may wish to consult with the financial institution requesting this form to determine whether the FATCA code and/or exempt payee code should be completed.

Line 5

Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information returns.

Line 6

Enter your city, state, and ZIP code.

Part I. Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see How to get a TIN below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see Limited Liability Company (LLC) on this page), enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

Note. See the chart on page 4 for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at www.ssa.gov. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/businesses and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting IRS.gov or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

Note. Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

Caution: A disregarded U.S. entity that has a foreign owner must use the appropriate Form W-8.

Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if items 1, 4, or 5 below indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on line 1 must sign. Exempt payees, see Exempt payee code earlier.

Signature requirements. Complete the certification as indicated in items 1 through 5 below.

1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983. You must give your correct TIN, but you do not have to sign the certification.
2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983. You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.
3. Real estate transactions. You must sign the certification. You may cross out item 2 of the certification.
4. Other payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).
5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions. You must give your correct TIN, but you do not have to sign the certification.

What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account)	The actual owner of the account or, if combined funds, the first individual on the account ¹
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor ²
4. a. The usual revocable savings trust (grantor is also trustee) b. So-called trust account that is not a legal or valid trust under state law	The grantor-trustee ¹ The actual owner ¹
5. Sole proprietorship or disregarded entity owned by an individual	The owner ³
6. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))	The grantor*
For this type of account:	Give name and EIN of:
7. Disregarded entity not owned by an individual	The owner
8. A valid trust, estate, or pension trust	Legal entity ⁴
9. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
10. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
11. Partnership or multi-member LLC	The partnership
12. A broker or registered nominee	The broker or nominee
13. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
14. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(i)(B))	The trust

¹ List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

² Circle the minor's name and furnish the minor's SSN.

³ You must show your individual name and you may also enter your business or DBA name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

⁴ List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see Special rules for partnerships on page 2.

*Note. Grantor also must provide a Form W-9 to trustee of trust.

Note. If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

Secure Your Tax Records from Identity Theft

Identity theft occurs when someone uses your personal information such as your name, SSN, or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

- To reduce your risk:
- Protect your SSN,
 - Ensure your employer is protecting your SSN, and
 - Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Publication 4535, Identity Theft Prevention and Victim Assistance.

Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

Protect yourself from suspicious emails or phishing schemes. Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to phishing@irs.gov. You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: spam@uce.gov or contact them at www.ftc.gov/idtheft or 1-877-IDTHEFT (1-877-438-4338).

Visit IRS.gov to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.

Suitability Test

For Juristic Person Customer

Company Name Account No.

**** Please answer all the questions. For the suitability assessment in accordance with your acceptable risk level****

1. How many years has the company been in business?

- | | | | |
|--|-----|---|-----|
| <input type="checkbox"/> Less than 2 years | (1) | <input type="checkbox"/> 2- 5 years | (2) |
| <input type="checkbox"/> 5 – 10 years | (3) | <input type="checkbox"/> More than 10 years | (4) |

2. Does the company have an experience in stocks exchange or futures and options trading in derivative exchange investment?

- | | | | |
|--------------------------------------|-----|--|-----|
| <input type="checkbox"/> None | (1) | <input type="checkbox"/> Less than 1 years | (2) |
| <input type="checkbox"/> 1 – 5 years | (3) | <input type="checkbox"/> More than 5 years | (4) |

3. What kinds of investment does the company have an experience or knowledge?

- | | | | |
|--|-----|---|-----|
| <input type="checkbox"/> Saving | (1) | <input type="checkbox"/> Government bonds or government bond mutual funds | (2) |
| <input type="checkbox"/> Debentures or fixed-income mutual funds | (3) | <input type="checkbox"/> Common stocks or equity mutual funds or other type of risky assets | (4) |

4. Does the authorized person or decision maker have knowledge of the investment?

- | | | | |
|---------------------------------|-----|---------------------------------|-----|
| <input type="checkbox"/> None | (1) | <input type="checkbox"/> Little | (2) |
| <input type="checkbox"/> Medium | (3) | <input type="checkbox"/> Expert | (4) |

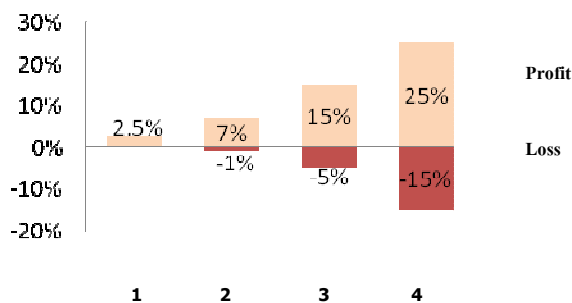
5. How long do you estimate that you do not need to use the proceeds of this investment?

- | | | | |
|---|-----|--|-----|
| <input type="checkbox"/> Less than 1 year | (1) | <input type="checkbox"/> 1 - 3 years | (2) |
| <input type="checkbox"/> 3 – 5 years | (3) | <input type="checkbox"/> More than 5 years | (4) |

6. What is your main investment objective?

- | | | | |
|---|-----|--|-----|
| <input type="checkbox"/> Principal protection with consistent return (lower rate of return is applicable) | (1) | <input type="checkbox"/> Consistent return whilst risk of small loss in applicable | (2) |
| <input type="checkbox"/> Higher return with higher risk of principal | (3) | <input type="checkbox"/> Maximize return whilst risk of large loss is applicable | (4) |

7. After considering the diagram of sample portfolio return below, which portfolio is the most preferable for you to invest?



- | | | | |
|--|-----|--|-----|
| <input type="checkbox"/> Portfolio 1, receiving 2.5% return without incurring any losses | (1) | <input type="checkbox"/> Portfolio 2, having a chance to receive a maximum return of 7% whilst the loss could be incurred at 1% | (2) |
| <input type="checkbox"/> Portfolio 3, having a chance to receive a maximum return of 15% whilst the loss could be incurred at 5% | (3) | <input type="checkbox"/> Portfolio 4, having a chance to receive a maximum return of 25% whilst the loss could be as high as 15% | (4) |



8. In case that you decide to invest in assets with potentially high return as well as high risk of loss, what would be your feelings?

- | | | | |
|---|-----|--|-----|
| <input type="checkbox"/> Anxiety and panic about incurring loss | (1) | <input type="checkbox"/> Unease but acceptable | (2) |
| <input type="checkbox"/> Understandable and tolerance-able | (3) | <input type="checkbox"/> Not concern about high risk of loss and expect to receive higher return | (4) |

9. You would feel concern/unacceptable when your investment value has dropped to any proportion level?

- | | | | |
|--|-----|---|-----|
| <input type="checkbox"/> 5% or less | (1) | <input type="checkbox"/> More than 5% - 10% | (2) |
| <input type="checkbox"/> More than 10%-20% | (3) | <input type="checkbox"/> Higher than 20% | (4) |

10. In case that you have invested Baht 100,000 since last year and later this year the investment value has dropped to Baht 85,000, what would you intend to do?

- | | | | |
|---|-----|--|-----|
| <input type="checkbox"/> Panic and prefer to liquidate the entire investment amount | (1) | <input type="checkbox"/> Concern and shall allocate some portion of investment to less risky assets | (2) |
| <input type="checkbox"/> Be patient to hold the investment and wait for the gain to cover the previous loss | (3) | <input type="checkbox"/> Be confident on long-term investment horizon and shall increase investment mount in order to average the cost | (4) |

Total Score (Question 1 – 10)

=

Score

Question 11-12 apply for additional information for investment recommendation

A) For derivatives Investment s

11. Investing in derivatives, if success, you could gain skyrocketing return; however, if fall, you could lose your entire investment principal and may need to compensate additional losses. Would this be acceptable for you?

- | | | |
|-----------------------------|---|------------------------------|
| <input type="checkbox"/> No | <input type="checkbox"/> Yes, Partially | <input type="checkbox"/> Yes |
|-----------------------------|---|------------------------------|

B) For foreign Investments

12. Asides form relevant investment risks, could you accept foreign exchange risks?

- | | | |
|-----------------------------|---|------------------------------|
| <input type="checkbox"/> No | <input type="checkbox"/> Yes, Partially | <input type="checkbox"/> Yes |
|-----------------------------|---|------------------------------|



Disclaimer

- Customer agrees to provide information to Securities Company's officer who will use to conduct Suitability Test Assessment Form. Customer also acknowledges that this questionnaire is used for the benefit of knowing their own acceptable investment risk level.
- Customer's investment risk level is assessed from information clarified by the customer. However, this does not represent that the company shall accept the accuracy, completeness or reliability of such information provided by customer and the assessment result.
- After company's officer has completed customer's investment risk level assessment (Suitability Assessment Form) and inform the assessment result to the customer, the company shall assume that customer has already acknowledged its investment risk assessment result (which is evaluated from information provided by customer) as well as its own investment risk level.
- Customer should study relevant investment information, investment and risk warning as well as seek for investment advice from an investment consultant who can provide investment advice to customer carefully. In addition, customer should study its investment risk assessment result in order to support its decision making to invest in securities, futures, financial instrument, or other types of investment suitable to customer. Information relevant to investment or other financial instruments received from securities company's representatives (if any) is only partial information to decide on investment by customer.
- Engaging in investment depends on customer's own decision regardless of what investment assessment result is, and may not in accordance with assessment specified hereunder. Customer agrees to bear all risk arising from investment. In case where customer decides to invest in higher risk level than the investment risk level assessment, the company hereby agrees to assume that customer agrees to bear all risk arising from such investment by itself. Besides, customer accepts that its investment may not be in accordance with the assessment results, not the same as his suitability test assessment and may differ from the assessment result.
- Securities Company, management, employee, and company's officer shall not be liable, obligate or be in charge of any damages arising from the investment made by customer.
- The company reserves its right to amend, edit or change suitability test form in order to assess client's investment risk level and any relevant information without prior notice.

*** (Customer) Acknowledge



The valuation result

(_____)

(Investment Consultant) Evaluator

(_____)

Criteria for Score Calculation

Answer Clause 1. = 1 Score

Answer Clause 2. = 2 Score

Answer Clause 3. = 3 Score

Answer Clause 4. = 4 Score

For Clause 4, if the answer is multiple, the highest score will apply.

Scores for Clauses 1-10 shall be counted.

And scores for Clauses 11 and 12 shall not be counted

Suitability Test for Investment

Total Score	Level	Type of investor
Less than 15	1	Low risk
15-21	2	Moderate to Low risk
22-29	3	Moderate to High risk
30-36	4	High risk
More than 37	5	Very high risk

Sample of Basic Asset Allocation

Type of investor	Investment Proportion				
	Deposit and Short Term Debt instrument	Government Bond having term more than 1 year	Corporate Debt Instrument	Equity instrument	Alternative Investment [*]
Low risk	>60%		<20%	<10%	<5%
Moderate to Low risk	<20%	<70%		<20%	<10%
Moderate to High risk	<10%	<60%		<30%	<10%
High risk	<10%	<40%		<40%	<20%
Very high risk	<5%	<30%		>60%	<30%

^{*} Including commodity and future contracts

Score	Type of Investor	Acceptable Investment Risk Level
If score is less than 8	You are considered as a low risk acceptable investor. This means you demand investment returns more than bank deposit interest. Furthermore, you cannot take any risk and has an objective to invest only in short term.	1 And able to invest in risk level 2-8 but not over than 20 % of all capital investment.
If score is equal to 8	You are considered as a low risk acceptable investor. This means you are acceptable to a slightly risk occurred. Furthermore, you focus on protecting your capital and expecting regularly investment return.	1 - 3 And able to invest in risk level 4-8 but not over than 20 % of all capital investment.
If score is from 9 - 10	You are considered as a low-medium risk acceptable investor. This means you are acceptable to slightly risk occurred. Furthermore, you focus on protecting your capital and expecting regularly investment return.	1 - 4 And able to invest in risk level 5-8 but not over than 20 % of all capital investment.
If the score is from 11 - 15	You are considered as a high-medium risk acceptable investor. This means you are acceptable to an occasional decrease in investment value.	1 - 5 And able to invest in risk level 6-8 but not over than 20 % of all capital investment.
If score is from 16 - 20	You are considered as a high risk acceptable investor. This means you are acceptable to high risk and volatile of market as well. Furthermore, loss can be acceptable, capital growth and high return over long term are expected.	1 - 7 And able to invest in risk level 8 but not over than 20 % of all capital investment.
If score is from or over 21	You are considered as a substantial high risk acceptable investor. This means you demand to obtain high return opportunity, even though, there is a high risk, and substantially loss can be acceptable as well.	1 - 8

Type of Risk	Risk Level	Type of Investor	Major Securities Invested
Low	1	Money Market Funds for Domestic Investment	- The policy is to invest in Thailand in or maintain deposit or debt instrument or securities or other assets or seek other benefits as specified by the SEC Office. The maturity is on call or the repayment term or term is not more than 1 year from the date of investment or enter into the agreement. The portfolio duration at any time is not more than 3 months.
Moderate to Low	2	Money Market Funds	- The policy is to partially invest abroad not more than 50% of NAV by investing in or maintain deposit or debt instrument or securities or other assets or seek other benefits as specified by the SEC Office. The maturity is on call or the repayment term or term is not more than 1 year from the date of investment or enter into the agreement. The portfolio duration at any time is not more than 3 months.
	3	Government Bond Funds	- The policy is focused on investment in government bonds at average in one fiscal year not less than 80% of NAV.
	4	Fixed Income Funds	- The policy is to invest in general fixed income instruments.
Moderate to High	5	Mixed funds	- The policy is to invest in both equities and fixed income instruments.
High	6	Equity Funds	- The policy is to invest majorly in equities at average in one fiscal year not less than 65% of NAV.
	7	Sector Funds	- The policy is to specifically invest in equity instruments in certain sector funds at average in one fiscal year not less than 80% of NAV
Very high	8*	Alternative Investment Funds	- The policy is to invest in alternative or complicated assets such as REITs/Infrastructure fund/property fund/commodity/gold fund/oil und/derivatives not for the purpose of hedging including structured note without principal protection



Letter of Consent for Direct Debit

Date

To: MANAGER BANK

○ BBI

○ KBRANK

☐ KTR

☐ TMB

☐ SCB

UOB

OTRANK

☐ BAY

○ CIMB THAI

○ LH

☐ OTHER

Branch

I, Owner of the ☐ Saving A/C ☐ Current A/C

[illegible]

Contact Address No. Trok/Soi Road

Sub-District District Province

Telephone No.

Request the Bank to debit my aforesaid account and credit the same amount to the bank account of UOB Kay Hian Securities (Thailand) Public Company Limited (hereinafter called “**the Company**”) and / or any other the Company’s account subject to change or addition in the future in accordance with the amount as shown in the **transaction** list and the amount shown on the statement or invoice or DISKETTE/TAPE or computer media or electronic data or order which the bank receives from the Company and / or its agents and / or any other person appointed or assigned by the Company to act on behalf of and / or on behalf of the Company via Internet System for the payment of the debt of securities trading or for collateral and/or any obligations due to the Company.

I agree to pay for services charges and / or fees and / or other expenses regard to the use of the service to the bank as prescribed by the Bank. I allow the bank to deduct the above mentioned deposit account and / or any other existing deposit account with the Bank to pay for such services charges and / or fees and / or expenses.

For the said debit to my account for payment of the debt and/or any obligations to the Company, should it appear later that the amount contained in **the transaction** which received by the Bank is incorrect and that the Bank has already debited the sum equivalent to the amount stated in the **transaction** from my account, 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 fund in my account is, at the time, available. I also waive notice of such debit because I will be able to receive all details from the passbook/statement of the bank or invoice/receipt of the Company.

In case of documents of evidence and the account number mentioned above has been changed for whatever reason, this letter of consent shall be valid and enforceable for such account. The debit to my account shall be immediately valid upon entering into this letter of consent and shall be in full force and effect until the cancellation of the service by the Bank or my written instruction to revoke this letter of consent is given to the Bank and the Company not less than 30 days in advance.

Sincerely yours,

Signed X Consenting party

(As that given to the Bank/Account Owner)

(.....)

UOB Kay Hian Securities (Thailand) Public Company Limited

Bank

*Certified correct account and true signature
of the consenting party*

Signed

Authorized Signature officer certified that the above consenting party is client of *UOB Kay Hian Securities (Thailand) Public Company Limited*

Signed

Authorized Signature of the Bank

In case of I, the consenting party signed not same that is given to UOB Kay Hian Securities (Thailand) Public Company Limited, I certified the above signature on Letter of Consent for Direct Debit is mine truly

Signed X _____ Consenting party

(As that given to The Company)

Letter of Consent for Direct Debit

Date _____

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I agree to pay for services charges and / or fees and / or other expenses regard to the use of the service to the bank as prescribed by the Bank. I allow the bank to deduct the above mentioned deposit account and / or any other existing deposit account with the Bank to pay for such services charges and / or fees and / or expenses.

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