

(Translation)

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**Notification of the Securities and Exchange Commission  
No. SorNor. 33/2547  
Re: Application Form for Approval of Private Fund Custodian  
and Supporting Documents**

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By virtue of Clause 8 and the second paragraph of Clause 11 of the Notification of the Securities and Exchange Commission No. KorNor. 15/2543 Re: Rules, Conditions and Procedures for Approval of Private Fund Custodian, dated 4 April 2000, the Office of the Securities and Exchange Commission hereby issues the following regulations:

**Clause 1.** The Notification of the Securities and Exchange Commission No. SorNor. 21/2543 Re: Application Form for Approval of Private Fund Custodian and Supporting Documents dated 5 June 2000 shall be repealed.

**Clause 2.** In applying for approval and renewal of private fund custodian, an applicant shall submit an application in accordance with Form 135-1 together with supporting documents as attached hereto.

**Clause 3.** This Notification shall come into force as from 1 August 2004.

Notified this 16<sup>th</sup> Day of July 2004.

Thirachai Phuvanatnaranubala  
(Mr. Thirachai Phuvanatnaranubala)  
Secretary-General  
The Office of the Securities and Exchange Commission

**The Office of the Securities and Exchange Commission**

**An Application for Approval of Private Fund Custodian**

Date .....

**Part 1: Name of an applicant for approval of private fund custodian.**

Name of applicant (Thai) .....

Name of applicant (English) .....

Location of head office .....

.....

Telephone number ..... Facsimile number .....

**Part 2: Category of an applicant**

- ☐ A commercial bank under the law on commercial bank business(CB);
- ☐ A finance company under the law on undertaking of finance business, securities business and credit foncier business(FC,FSC);
- ☐ A securities company under the law on securities and exchange(SC);
- ☐ A life insurance company under the law on life insurance business;
- ☐ A financial institution established under specific law according to the Notification of the Securities and Exchange Commission;
- ☐ A limited company or a public limited company whose main principles are in the business of securities or financial instruments custody and of other businesses as approved by the Office of the Securities and Exchange Commission (if any);
  - ☐ has operated its business for more than 3 years;
  - ☐ has operated its business for less than 3 years.

Shareholder of an applicant who holds shares more ten percent of the outstanding shares.

No.	Name	Number of shares (thousand unit)	Percentage of the outstanding shares (%)
1			
2			
3			
4			

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**Part 3: Purpose of submitting an application**

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- ☐ 3.1 For approval of private fund custodian;
- ☐ 3.2 For approval of private fund custodian and requesting for the permission to commence the business, which the commencement date will be.....
- ☐ 3.3 For renewal of the approval, which will be expired on date ..... month ..... B.E. ....

The application for renewal of the approval is submitted in 60 days or more prior to the expiration date.

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**Part 4: Certification of the applicant for approval**

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I hereby certify that I am qualified as prescribed under the Notification of the Securities and Exchange Commission Re: Rules, Conditions and Procedures for Approval of Private Fund Custodian and certify that the contents contained in the application for approval and supporting documents attached hereto this application are all true and correct.

Signature ..... Authorised person sign  
(.....) on behalf of the applicant.

Position .....

Date .....

Affix the company's seal (If any)

Note: The Application and supporting documents according to the Notification of the Office shall be submitted directly to the Office.

(Translation)

**Checklist for Supporting Documents of an Application for Approval  
of Private Fund Custodian  
In which an Applicant is CB/ FC/ FSC/ SC/ Life Insurance Company/  
Finance Institution Established Under Specific Law**

Particulars	For the SEC Officer
<p><input type="checkbox"/> 1. <u>Supporting documents for consideration under Clause 4 (1):</u></p> <p><input type="checkbox"/> (1) Certificate from the organization controlling its business by mean of maintaining capital adequacy and capital reserve as prescribed by related rules. Provided that, after submitting an application, if it appears that the applicant can not maintain the capital adequacy or capital reserve, the applicant shall notify the Office in writing immediately of such matters;</p> <p><input type="checkbox"/> (2) Audited financial statement with auditor's opinion for this fiscal year compared with the preceding year.</p> <p><input type="checkbox"/> 2. <u>Supporting documents for consideration under Clause 4 (2):</u></p> <p><input type="checkbox"/> (1) Violation record, under the law specified in the Notification, of an applicant, directors, managers and administer directors including deputy managers, assistant managers, department directors and other persons with different titles but hold similar positions, who are responsible for the asset custody function of an applicant within the period of 3 years preceding the year of application filing until the date of application filing. Provided that, after submitting the application, if it appears that the applicant has any violation record under the law specified in the Notification, the applicant shall notify the Office in writing immediately of such matters;</p> <p><input type="checkbox"/> (2) Copy of the memorandum summarizing the examination and the letter notifying the result of the examination or the letter notifying the order issued by an organization which regulates the undertaking of the applicant's business within the period of 3 years preceding the year of application filing until the date of application filing.</p> <p><input type="checkbox"/> 3. <u>Supporting documents for consideration under Clause 4 (3):</u></p> <p><input type="checkbox"/> (1) Organization structure of the applicant including the unit which responsible for custody of private fund assets, and compliance or the internal audit unit. and the organization structure of the unit responsible for custody of private fund assets shall have a clear scope of work and shall not combined with other units which will lead to conflict of interest;</p> <p><input type="checkbox"/> (2) Procedures in controlling person in and out of the unit responsible for custody the private fund assets;</p> <p><input type="checkbox"/> (3) Operation system that allows the custodian to operate efficiently shall include at least the following:</p> <p><input type="checkbox"/> (3.1) System to separate client's assets from custodian's assets, safe keeping system of such assets, and internal control system to prevent the misuse of client's assets;</p> <p><input type="checkbox"/> (3.2) System for preventing damages to client's assets, as well</p>	<p><input type="checkbox"/> 1.</p> <p><input type="checkbox"/> (1)</p> <p><input type="checkbox"/> (2)</p> <p><input type="checkbox"/> 2.</p> <p><input type="checkbox"/> (1)</p> <p><input type="checkbox"/> (2)</p> <p><input type="checkbox"/> 3.</p> <p><input type="checkbox"/> (1)</p> <p><input type="checkbox"/> (2)</p> <p><input type="checkbox"/> (3)</p> <p><input type="checkbox"/> (3.1)</p> <p><input type="checkbox"/> (3.2)</p>

(Translation)

Particulars	For the SEC Officer
<p>as related information and documents and controlling system for acquisition and disposition of client's assets;</p> <p><input type="checkbox"/> (3.3) System for verification and reconciliation of client's assets to ensure accuracy and completeness;</p> <p><input type="checkbox"/> (3.4) System for asset inventory demonstrating details and amount of client's assets and records of acquisition and disposition of assets of each client;</p> <p><input type="checkbox"/> (3.5) System to monitor and tracking benefits arisen from client's assets;</p> <p><input type="checkbox"/> (3.6) System to prevent conflict of interest and protect client's confidential information;</p> <p><input type="checkbox"/> (3.7) System for selection of a custodian agent to ensure that the custodian agent has a system ready for keeping assets into its custody;</p> <p><input type="checkbox"/> (3.8) System to coordinate with the custodian agent to ensure that the applicant is able to perform its duties accurately and completely as a custodian;</p> <p><input type="checkbox"/> (3.9) System to ensure that the custodian agent can perform duties as designated in accordance with the Notification of the Office;</p> <p><input type="checkbox"/> (3.10) Other systems showing the readiness to undertaking the business as specified by the Notification of the Office.</p>	<p><input type="checkbox"/> (3.3)</p> <p><input type="checkbox"/> (3.4)</p> <p><input type="checkbox"/> (3.5)</p> <p><input type="checkbox"/> (3.6)</p> <p><input type="checkbox"/> (3.7)</p> <p><input type="checkbox"/> (3.8)</p> <p><input type="checkbox"/> (3.9)</p> <p><input type="checkbox"/> (3.10)</p>
<p><input type="checkbox"/> 4. <u>Supporting documents for consideration under Clause 4 (4):</u> The information of personnel in the unit responsible for asset custody shall comprise at least of the following:</p> <p><input type="checkbox"/> (1) Number of employees;</p> <p><input type="checkbox"/> (2) The qualifications to prove that personnel is knowledgeable, competent and experienced suitable for the assigned task and such personnel has basic understanding of general laws related to the profession. The qualifications will be considered from the personnel's:</p> <p><input type="checkbox"/> (2.1) First name, last name, and education;</p> <p><input type="checkbox"/> (2.2) Work experiences, given with specific information regarding work place location, time period of work, position, scope of work and responsibility, and proportion of time working for asset custody function to the total time of working;</p> <p><input type="checkbox"/> (2.3) Personnel planning for business expansion (if any). In the case where no personnel has been hired, the applicant shall submit the criteria for qualifications of such position.</p>	<p><input type="checkbox"/> 4</p> <p><input type="checkbox"/> (1)</p> <p><input type="checkbox"/> (2)</p> <p><input type="checkbox"/> (2.1)</p> <p><input type="checkbox"/> (2.2)</p> <p><input type="checkbox"/> (2.3)</p>
<p><input type="checkbox"/> 5. Other supporting documents. <u>Please specify (If any).</u></p> <p>.....</p> <p>.....</p>	<p><input type="checkbox"/> 5.</p>
Name of contact person	

(Translation)

Particulars	For the SEC Officer
Position ..... Telephone No. .... Facsimile No. ....	
<u>For the finance officer of the SEC Office</u> Receive the application fee of 35,000 Bath + VAT <input type="checkbox"/> Cash <input type="checkbox"/> Cheque No. .... Bank .....  <div style="text-align: right;">(Sign) ..... Recipient</div> <div style="text-align: right;">Date .....</div>	
<u>For the officer of the SEC Office</u> <input type="checkbox"/> Supporting document items are completed. <input type="checkbox"/> Supporting documents items are not completed, and shall request for additional supplementary document as follows; 1. .... 2. .... 3. .... 4. .... 5. ....  <div style="text-align: right;">(Sign) ..... Consider person</div> <div style="text-align: right;">Date .....</div>	

**Checklist for Supporting Documents of an Application for Approval of  
Private Fund Custodian  
In Which an Applicant is a Limited Company or a Public Limited Company**

Particulars	For the SEC Officer
<p><input type="checkbox"/> 1. <u>Supporting documents company:</u></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> (1) Certificate of company registration;</li> <li><input type="checkbox"/> (2) The copy of memorandum of association of the company which certified by the company-partnership registrar of the Ministry of Commerce;</li> <li><input type="checkbox"/> (3) The copy of article of association which certified by the Ministry of Commerce;</li> <li><input type="checkbox"/> (4) The copy of shareholder list of company which certified by the company-partnership registrar of the Ministry of Commerce;</li> <li><input type="checkbox"/> (5) Map of company location.</li> </ul> <p><input type="checkbox"/> 2. <u>Supporting documents for consideration under Clause 5 (1):</u></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> (1) Organization structure of the applicant including the unit responsible for asset custody of private fund assets, and compliance or the internal audit unit, and the organization structure of for the unit responsible for custody of private fund assets shall have a clear scope and shall not combined with other unit which will lead to conflict of interest;</li> <li><input type="checkbox"/> (2) Procedures in controlling person in and out of the unit responsible for asset custody;</li> <li><input type="checkbox"/> (3) Operation system that allows the custodian to operate efficiently shall include at least the following: <ul style="list-style-type: none"> <li><input type="checkbox"/> (3.1) System to separate client's assets from custodian's assets and safekeeping system of such assets, and internal control system to prevent the misuse of client's assets;</li> <li><input type="checkbox"/> (3.2) System for preventing damages to client's assets, as well as related information and controlling system for acquisition and disposition of client's assets;</li> <li><input type="checkbox"/> (3.3) System for verification and reconciliation of client's assets to ensure accuracy and completeness;</li> <li><input type="checkbox"/> (3.4) System for asset inventory demonstrating details and amount of client's assets and records of acquisition and disposition of assets of each client;</li> <li><input type="checkbox"/> (3.5) System to monitor and tracking benefits arisen from client's assets;</li> <li><input type="checkbox"/> (3.6) System to prevent conflict of interest and client's confidential information;</li> <li><input type="checkbox"/> (3.7)** System for selection of a custodian agent to ensure</li> </ul> </li> </ul>	<p><input type="checkbox"/> 1.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> (1)</li> <li><input type="checkbox"/> (2)</li> <li><input type="checkbox"/> (3)</li> <li><input type="checkbox"/> (4)</li> <li><input type="checkbox"/> (5)</li> </ul> <p><input type="checkbox"/> 2.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> (1)</li> <li><input type="checkbox"/> (2)</li> <li><input type="checkbox"/> (3)</li> <li><input type="checkbox"/> (3.1)</li> <li><input type="checkbox"/> (3.2)</li> <li><input type="checkbox"/> (3.3)</li> <li><input type="checkbox"/> (3.4)</li> <li><input type="checkbox"/> (3.5)</li> <li><input type="checkbox"/> (3.6)</li> <li><input type="checkbox"/> (3.7)</li> </ul>

Particulars	For the SEC Officer
<p>that the custodian agent has system ready to keep assets into its custody;</p> <p><input type="checkbox"/> (3.8)** System to coordinate with the custodian agent to ensure that the applicant can perform its duties accurately as a custodian;</p> <p><input type="checkbox"/> (3.9)** System to ensure that the custodian agent can perform its duties as designated in accordance with the Notification;</p> <p><input type="checkbox"/> (3.10) Other systems showing the readiness to undertaking the business in accordance with the Notification of the Office.</p> <p><input type="checkbox"/> (4) The information of personnel in the unit responsible for asset custody shall comprise at least of the following:</p> <p><input type="checkbox"/> (4.1) Amount of the employees;</p> <p><input type="checkbox"/> (4.2) The qualifications to prove that its personnel is knowledgeable, competent and experienced, suitable for the task assigned and such personnel has basic understanding of general laws related to the profession. The qualification will be considered from the personnel's:</p> <p><input type="checkbox"/> (a) First name, last name, and education;</p> <p><input type="checkbox"/> (b) Work experiences, given with specific information regarding work place location, time period of work, position, scope of work and responsibilities, and proportion of time consumed for asset custody function to the total time of working;</p> <p><input type="checkbox"/> (c) Personal planning for business expansion (if any).</p> <p>In case where no personnel have been hired, the applicant shall submit the criteria for qualifications of such positions.</p>	<p><input type="checkbox"/> (3.8)</p> <p><input type="checkbox"/> (3.9)</p> <p><input type="checkbox"/> (3.10)</p> <p><input type="checkbox"/> (4)</p> <p><input type="checkbox"/> (4.1)</p> <p><input type="checkbox"/> (4.2)</p> <p><input type="checkbox"/> (a)</p> <p><input type="checkbox"/> (b)</p> <p><input type="checkbox"/> (c)</p>
<p><input type="checkbox"/> 3. <u>Supporting documents for consideration under Clause 5 (2):</u></p> <p><input type="checkbox"/> (1) In the case where the applicant has operated its business for more than 1 year. The applicant's audited financial statement with the auditor's opinion for this fiscal year compared with the year prior;</p> <p><input type="checkbox"/> (2) In the case where the applicant has operated its business for less than 1 year.</p> <p>Audited financial statement of the applicant's shareholders who holds more than ten percent of the outstanding shares with the auditor's opinion for this fiscal year compared with last year prior.</p>	<p><input type="checkbox"/> 3.</p> <p><input type="checkbox"/> (1)</p> <p><input type="checkbox"/> (2)</p>



Particulars	For the SEC Officer
<p><input type="checkbox"/> 4. <u>Supporting documents for consideration under Clause 5 (3):</u></p> <p><input type="checkbox"/> (1) In the case where the applicant has operated its business for more than 3 years. Violation record, under the law specified in the Notification, of the applicant, directors, managers and administer directors including deputy managers, assistant managers, department directors and persons with different titles but hold similar positions, who are responsible for the asset custody function of the applicant within the period of 3 years preceding the year of application filing toward the date of application filing. Provided that after the submitting the application, if it appears that the applicant has violation record under the law specified in the Notification, the applicant shall notify the Office in writing immediately of such matters;</p> <p><input type="checkbox"/> (2) In the case where the applicant has operated its business for less than 3 years.</p> <p><input type="checkbox"/> (2.1) An applicant for approval: Violation record, under the law specified in the Notification, of an applicant, directors, managers and administer directors including deputy managers, assistant directors, department directors and persons with different titles but hold similar positions, who are responsible for the asset custody function of an applicant for the period since the inception date to the date of application filing. Provided that after submitting an application, if it appears that the applicant has any violation record under the law specified in the Notification, the applicant shall notify the Office in writing immediately of such matters;</p> <p><input type="checkbox"/> (2.2) In the case where the shareholder who holds more than ten percent of the outstanding shares (“the shareholder”) is a financial institution:</p> <p><input type="checkbox"/> (a) Violation record, under the law specified in the Notification, of shareholders, directors and managers of the shareholder within the full period of 3 years preceding the year of application filing until the date of application filing;</p> <p><input type="checkbox"/> (b) Copy of the memorandum summarizing the examination and the letter notifying the result of the examination or the letter notifying the</p>	<p><input type="checkbox"/> 4.</p> <p><input type="checkbox"/> (1)</p> <p><input type="checkbox"/> (2)</p> <p><input type="checkbox"/> (2.1)</p> <p><input type="checkbox"/> (2.2)</p> <p><input type="checkbox"/> (a)</p> <p><input type="checkbox"/> (b)</p>

Particulars	For the SEC Officer
<p>order issued by an organization which regulates the undertaking of the shareholder's business within the full period of 3 years preceding the year of application filing until the date of application filing;</p> <p><input type="checkbox"/> (2.3) In the case where the shareholder is a juristic person other than a financial institution: Violation record, under the law specified in the Notification, of shareholders, directors and managers of the shareholder within the full period of 3 years preceding the year of application filing toward the date of application filing;</p> <p><input type="checkbox"/> (2.4) In the case where the shareholder is an individual person: Violation record under the law specified in the Notification within the full period 3 years preceding the year of application filing toward the date of application filing.</p> <p><input type="checkbox"/> 5. <u>Supporting documents for consideration under Clause 5 (4):</u> The estimation of the company's registered and paid up capital sufficiency which can prove that such registered and paid up capital comprises of sufficient amount of working capital reserves for business expenditures for the period of 12 months from the date of approval</p> <p><input type="checkbox"/> 6. <u>Supporting documents for consideration under Clause 5 (5):</u> In the case where the shareholder is a financial institution, a guarantee letter from the financial institution shareholder that it can maintain the capital adequacy and capital reserve as prescribed. Provided that, after submitting an application, if it appears that such shareholder can not maintain the capital adequacy or capital reserve, the applicant shall notify the Office in writing immediately of such matters.</p> <p><input type="checkbox"/> 7. Other supporting documents. <u>Please specify (If any):</u> ..... ..... ..... .....</p>	<p><input type="checkbox"/> (2.3)</p> <p><input type="checkbox"/> (2.4)</p> <p><input type="checkbox"/> 5.</p> <p><input type="checkbox"/> 6.</p> <p><input type="checkbox"/> 7.</p>

(Translation)

Particulars	For the SEC Officer
Name of contact person ..... Position ..... Telephone No. .... Facsimile No. ....	
<u>For the finance officer of the SEC Office</u> Receive the application fee of 35,000 Bath + VAT <input type="checkbox"/> Cash <input type="checkbox"/> Cheque No. .... Bank .....  (Sign) ..... Recipient Date .....	
<u>For the officer of the SEC Office</u> <input type="checkbox"/> Supporting document items are completed. <input type="checkbox"/> Supporting documents items are not completed, and shall request for additional supplementary as follows; 1. .... 2. .... 3. .... 4. .... 5. ....  (Sign) ..... Consider person Date .....	

\*\* In case where the applicant intends to appoint an agent to perform the duties of private fund custodian.

(Translation)

## **Checklist for Supporting Documents of an Application for Renewal of an Approval of Private Fund Custodian**

Particulars	For the SEC Officer
<input type="checkbox"/> 1. Summary report of practices which does not comply with the law governing the undertaking of the applicant's business for the period of past three years. <input type="checkbox"/> 2. The information regarding personnel of the unit responsible for custody of private fund assets at the date of submitting the application for renewal of an approval.	<input type="checkbox"/> 1.  <input type="checkbox"/> 2.
Name of contact person ..... Position ..... Telephone No. .... Facsimile No. ....	
<u>For the finance officer of the SEC Office</u> Receive the application fee of 15,000 Bath + VAT <input type="checkbox"/> Cash <input type="checkbox"/> Cheque No. .... Bank .....  <div style="text-align: right;">(Sign) ..... Recipient</div> <div style="text-align: right;">Date .....</div>	
<u>For the officer of the SEC Office</u> <input type="checkbox"/> Supporting document items are completed <input type="checkbox"/> Supporting document items are not completed and shall request for additional supplementary as follows; 1. .... 2. ....  <div style="text-align: right;">(Sign) ..... Consider person</div> <div style="text-align: right;">Date .....</div>	

(Translation)

**Clarification Statement of  
an Applicant for Approval of Private Fund Custodian**

**Company/Bank .....**

**1. General Information:**

**1.1 Individual person**

- (1) First name (Mr./Mrs./Miss) ..... Last name .....  
Former name (if any) .....
- (2) Date/month/year of birth ..... Age .....years / Nationality .....  
Identity card ..... No. ....  
Issued by ..... Expiry date.....  
Passport No. (for foreigner) .....  
Country of issuance ..... Expiry date .....
- (3) Address as appeared in the census registration:  
Address No. .... Moo No. .... Trok/Soi .....  
Road ..... Tambol/Subdistrict ..... Amphur/District .....  
Province ..... Postal code ..... Telephone number .....
- (4) Contact address (Blank if the same as in (3)):  
Address No. .... Moo No. .... Trok/Soi .....  
Road ..... Tambol/Subdistrict ..... Amphur/District .....  
Province ..... Postal code ..... Telephone number .....
- (5) Highest level of education:

<u>Degree</u>	<u>Major</u>	<u>Name of Institution</u>	<u>Year of graduation</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

- (6) Working experience (during the past five years):

<u>Name of Company</u>	<u>Position</u>	<u>From-To (month/year)</u>	<u>Reason for changing job/position</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

(Translation)

1.2 Juristic person

- (1) Name..... Category of juristic person.....
- (2) Established under the law.....
- (3) Under the supervision of.....  
..... (in case of a juristic person under supervision)
- (4) Type of Business.....
- (5) Date of incorporation/registration ..... Country .....
- (6) Registered capital/Paid-up capital.....
- (7) Address No. .... Moo No. .... Trok/Soi ..... Road .....  
Tambol/Subdistrict ..... Amphur/District.....Province .....  
Postal code ..... Country.....Telephone number .....
- (8) Name of directors or partners.....
- (9) Latest audited financial position.....
  - 1) Total assets in amount of.....Baht
  - 2) Shareholder equity in amount of.....Baht

2. Information of prohibited characteristics:

2.1 Up to present;

(1) Is a person whose name is on the black list or the list of persons whom the Stock Exchange of Thailand considered not appropriated to be executives under the regulations of the Stock Exchange of Thailand:

☐ Yes ☐ No

(2) Is under accusation or prosecution under the law governing the undertaking of the business, the law on anti-money laundering or other law relating to financial business relating to unfair securities trading or fraudulent or dishonest practice, regardless of whether such laws are domestic legislations or foreign legislations, :

☐ Yes (please specify)

For example, the date of accusation or prosecution .....  
Being accused or charged of.....  
Under law .....  
By (name of the organization).....(attachment)(if any)

☐ No

2.2 For the past 3 years prior to the application filing

(1) Was imprisoned by final judgement in offence against property committed with dishonest intent:

☐ Yes (please specify)

For example, the final judgement of the court .....,  
Lawsuit case, Black No. .... /25..  
and Lawsuit case, Red No. .... /25..  
Between ..... and.....  
In offence relating to.....  
Under the law.....  
Punishment .....  
Completion date of punishment..... (attachment) (if any)

☐ No

(2) Was convicted by the final judgement of the court for an offence under the law governing the undertaking of the business, the law on anti-money laundering, or the law relating to financial business concerning unfair securities trading or fraudulent and dishonest practice, regardless of whether such laws are domestic legislation or foreign legislation.:

☐ Yes (please specify)

For example, the final judgement of the court.....,  
Lawsuit case, Black No. .... /25.....  
and Lawsuit case, Red No. .... /25.....  
Between ..... and.....  
In offence relating to .....  
Under the law.....  
Punishment .....  
Completion date punishment ..... (attachment) (if any)

☐ No

(3) Was fined under the law on securities and exchange relating to unfair securities trading or under the foreign law in similar offence:

☐ Yes (please specify)

For example, date of being settled the case with a fine.....  
By office .....  
In offence relating to .....  
Under the law..... (attachment) (if any)

☐ No

(Translation)

(4) Was dismissed, discarded or ejected from work because of misconduct:

☐ Yes (please specify)

For example, date of being dismissed, discard or ejected from work .....

By company/office .....

Detail of such incident ..... (attachment) (if any)

☐ No

(5) Was removed from office of director, manager or person with managing power of other securities company under section 144 or section 145 of the Securities and Exchange Act B.E. 2535 (1992) or was removed under the provisions of other laws:

☐ Yes (please specify)

For example, date of removal.....

By company/office .....

In offence relating to .....

Under the law..... (attachment) (if any)

☐ No

(6) is or previously has been an executive who have participated in causing damage or must be jointly responsible for the damage occurring to the financial institution whose license has been revoked, or business has been controlled or operation has been ceased due to the rehabilitation plan was not approved by an agency supervising such financial institution or the Commission of the Organization for Reformation of Financial Institution System or has been ordered to rectify the damaged financial position by decreasing capital and subsequently increased its capital under the assistance of a State agency or financial institution:

☐ Yes (please specify)

I am or have been an executive of .....

which was considered by the concerned agency that he or she has participated in

causing damage or might be responsible for the damage occurring to the above mentioned company.

Date of the incident .....

Detail of such incident .....

..... (attachment) (if any)

☐ No



(Translation)

(7) Had the behavior which inclines to be dishonest:

☐ Yes (please specify)

For example, date of the incident..... Details of such incident .....

.....

Considered by ..... (attachment) (if any)

☐ No

(8) Intentionally made false statements of material facts or conceal material facts which should have been stated in any document to be disclosed for application for approval of major shareholders of the securities companies or other document submitted to the Office or the SEC:

☐ Yes (please specify)

For example, date of the incident..... Details of such incident .....

..... (attachment) (if any)

☐ No

(9) Was reasonably suspected of being lack of ethics or standard for conducting finance business or other financial related business:

☐ Yes (please specify)

For example, date of the incident..... Details of such incident .....

Considered by ..... (attachment) (if any)

☐ No

I hereby certify that all the information in this Statement of clarification and supporting documents are accurate, completed and true.

(Signature).....the applicant /

(.....) authorized person

For and on behalf of ..... (in case of juristic person)

Date.....

List of supporting documents.

(1) .....

(2) .....

(3) .....

(4) .....