

(Translation)

**Form 117-6**

[The SEC Logo]

1-inch  
Photograph

**Application for Approval of Mutual Fund Manager  
Of  
\_\_\_\_\_ Company Limited**

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**Part 1: General Information**

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- 1.1 Name (Mr./Mrs./Ms.):..... Surname:.....  
Former Name (if changed):..... Date of Change:.....  
Former Surname:..... Date of Change:.....
- 1.2 Date of Birth: Day..... Month..... Year (B.E.).....
- 1.3 Nationality: .....
- 1.4 Address as per house registration: .....
- Residence/Building:.....  
Lane:..... Road:..... Sub-district:.....  
District:..... Province:..... Postal Code:.....  
Tel:.....
- 1.5 Contact Address: .....
- Residence/Building:.....  
Lane:..... Road:..... Sub-district:.....  
District:..... Province:..... Postal Code:.....  
Tel:.....
- 1.6 Identification Card No.:.....
- 1.7 Passport No. (For non-Thai nationality):.....

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**Part 2: Qualifications**

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- |  | Yes                      | No                       |
|--|--------------------------|--------------------------|
| 2.1 Being a full-time, permanent staff member or a director of the management company;                                   | <input type="checkbox"/> | <input type="checkbox"/> |
| 2.2 Not holding more than one position in the management company;<br>If "No," please specify the other position(s):..... | <input type="checkbox"/> | <input type="checkbox"/> |

(Translation)

- |   | Yes                      | No                       |
|---|--------------------------|--------------------------|
| 2.3 Having attained the age of twenty;  | <input type="checkbox"/> | <input type="checkbox"/> |
| 2.4 Having passed the fundamental knowledge examination for professionals administered by a training institute or completed the Office-approved courses;  | <input type="checkbox"/> | <input type="checkbox"/> |
| 2.5 Being neither a permanent staff member nor an executive with power of management in other company(ies);<br>If "No," please specify the name(s) of the other company(ies);   | <input type="checkbox"/> | <input type="checkbox"/> |
| 1) .....Position/Job Description:.....  |                          |                          |
| 2) .....Position/Job Description:.....  |                          |                          |
| 3) .....Position/Job Description:.....  |                          |                          |
| 2.6 Not being an investment manager for other person(s) in any manners similar to or in competition with the management company's operation;<br>If "No," please specify the name(s) of the appointer(s) of the investment manager:  | <input type="checkbox"/> | <input type="checkbox"/> |
| 1) .....Position/Job Description:.....  |                          |                          |
| 2) .....Position/Job Description:.....  |                          |                          |
| 3) .....Position/Job Description:.....  |                          |                          |
| 2.7 Having passed the fundamental knowledge examination on the subjects of the securities and exchange laws, the relevant rules and regulations and professional ethics, as administered by an association or a training institute, for a period <b><u>not exceeding two years</u></b> on the date of submission of the application;<br>Please specify the examination passing date:..... | <input type="checkbox"/> | <input type="checkbox"/> |

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**Part 3: Prohibited Characteristics**

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- |   |                             |                              |
|---|-----------------------------|------------------------------|
| 3.1 Being a bankrupt;   | <input type="checkbox"/> No | <input type="checkbox"/> Yes |
| 3.2 Having been imprisoned by a final court judgment for a property-relating offense committed with dishonest intent; | <input type="checkbox"/> No | <input type="checkbox"/> Yes |
| 3.3 Having been an executive of a financial institution whose license is revoked;                                     | <input type="checkbox"/> No | <input type="checkbox"/> Yes |

(Translation)

- 3.4 Having been removed from a position of director or manager in accordance with Section 144 or Section 145 or the provisions of other laws;  No  Yes
- 3.5 Being subject to receivership by a court order;  No  Yes
- 3.6 Being an incompetent or quasi-incompetent person;  No  Yes
- 3.7 Being a person whose name appears on the list of persons considered to be unsuitable to act as an executive under the regulations of the Stock Exchange of Thailand;  No  Yes
- 3.8 Being accused or prosecuted under the securities and exchange laws, the laws governing the undertaking of finance, securities and credit foncier businesses, the commercial banking laws, the life insurance laws or any laws relating to financial businesses of similar natures, regardless of such laws being Thai or foreign, by any competent agencies under such laws, in respect of an offense relating to unfair activities on securities trading or management in a deceitful, fraudulent or dishonest manner, or the laws governing money laundering control;  No  Yes
- 3.9 Having been sentenced for commission of an offense under the securities and exchange laws, the laws governing the undertaking of finance, securities and credit foncier businesses, the commercial banking laws, the life insurance laws or any laws relating to financial businesses of similar natures, regardless of such laws being Thai or foreign, in respect of an offense relating to unfair activities on securities trading or management in a deceitful, fraudulent or dishonest manner, or the laws governing money laundering control;  No  Yes
- 3.10 Having been fined for an offense under the securities and exchange laws in respect of unfair activities on securities trading or any foreign laws of similar natures  No  Yes

(Translation)

- 3.11 Having had his or her approval to act as a mutual fund manager or private fund manager revoked;  No  Yes
- 3.12 Having been dismissed, discharged or terminated from employment as a result of any dishonest act;  No  Yes
- 3.13 Being or having been an executive involved in causing damage or held jointly responsible for such damage arising to a financial institution whose license has been revoked or business operation controlled or suspended because its business rehabilitation or operational plan has not been approved by the regulatory agency of such financial institution or the Board of the Financial Restructuring Authority (FRA), or which has been given an order to rectify its impaired financial condition by way of capital decrease and subsequent capital increase with an assistance from a government agency or a state-owned financial institution;  No  Yes
- 3.14 Performing work in a dishonest manner;  No  Yes
- 3.15 Intentionally concealing investments, financial condition, or the actual performance of mutual funds or private funds operated under the management company's responsibility, or intentionally making false statements in material aspects or concealing material facts which should be declared in the application for an approval of mutual fund manager;  No  Yes
- 3.16 Intentionally neglecting to take action in compliance with any order of the Office or the SEC under Section 141, Section 142 or Section 143 of the Securities and Exchange Act B.E.2535 (1992);  No  Yes
- 3.17 Performing work in any manner that indicates a lack of professional ethics or standards as stipulated by an association under the Office's approval;  No  Yes

(Translation)

- 3.18 Performing the management duty in any manner that  No  Yes indicates a negligence of reasonable performance of duty in supervising persons under the line of command to refrain from violating or failing to comply with the securities and exchange laws or the professional ethics or standards as stipulated by an association under the Office's approval, thereby having a possibility to cause a lack of confidence in the business of investment management as a whole or giving rise to damage to the reputation, the financial condition, the business operation or the customers in such business;

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**Part 4: Work Experience in the Management Company**

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Position	Commencement Date	Day/Month/Year of Duty Performance	
		Termination Date	Total (Years/Months)
1.....			
2.....			
3.....			

\* Begin with the most recent position.

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**Part 5: Certification of the Applicant**

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I hereby certify that the foregoing information is correct, and any changes in such information shall be notified to the Office within 14 days as from the date when such changes occur.

Applicant's Signature:.....  
(.....)

Date:.....

(Translation)

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**Part 6: Certification of the Company**

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.....Company Limited provides support for the said person to act as a mutual fund manager, and hereby certifies, on the basis of its knowledge, ability and due care as a practitioner of the profession, that the applicant is suitable for performing duties as a mutual fund manager on behalf of the Company.

Authorized Signature:.....  
(.....)

Position:.....

Date:.....

Affix the Company's seal (if any)

(Translation)

**Evidence in Support of the Application for an Approval to Act  
as a Mutual Fund Manager (Form 117-6)**

1. Two 1-inch current photographs;
2. A certified copy of the Identification Card  
(For non-Thai nationality, use a certified passport copy instead.)
3. A certified copy of the house registration;
4. Evidence of passing the fundamental knowledge examination for professions administered by a training institute or the Office-approved courses or evidence of possessing the required qualifications under the Office's approval;
5. Evidence of passing the fundamental knowledge examination of an association on the subjects of the securities and exchange laws, relevant rules and regulations and professional ethics;
6. If the applicant also holds other position(s) in a securities company or is a permanent staff member/executive with power of management in another company, the following evidence shall be required:
  - (1) Organizational chart of the securities company or the other company as the case may be;
  - (2) Scope, duties and responsibilities of the other position(s);
7. If the applicant is an investment manager for other person(s), the following evidence shall be required:
  - (1) Details of the person(s) appointing the applicant to act as an investment manager and the relationship between the applicant and such person(s);
  - (2) Scope, duties and responsibilities, and forms of remuneration received by the applicant;
8. If the applicant has any prohibited characteristics as per Part 3, detailed evidence relating to such prohibited characteristics shall be attached.