

Single Form for Capital Market (Individual)

Intermediary name

Date --/YYYY (A.D. or B.E.)

Account Type Own Account For Account By Account Joint Account (for Mutual Fund)

1. Personal Information – For Account Opening

1.1 Title Mr. Mrs. Miss Other

1.2 Name – Surname :

1.3 Nationality

1.4 Marital Status Single Married

Spouse Information Name - Surname:

1.5 Date of Birth --/YYYY (A.D. or B.E.)

1.6 ID Type

ID Card No. --------- Date of Expiry --/YYYY (A.D. or B.E.)

Passport No. ----- Issuing Country Date of Expiry --/YYYY (A.D. or B.E.)

Alien Registration Card No. -------- Date of Expiry --/YYYY (A.D. or B.E.)

1.7 Current Address

Same as ID Card Other (Please specify below)

No. Moo No. Building/Mooban Floor Soi

Road Sub-District/Tumbon District/Amphur Province

Postal Code Country

1.8 Mailing Address

As an email in 1.9 (Contact Information) (If you choose this option, your documents will be sent to your email address as a main contact channel)

Fax

ID Card address Current Address Workplace Address (in 1.11) Other (Please specify below)

No. Moo No. Building/Mooban Floor Soi

Road Sub-District/Tumbon District/Amphur

Province Postal Code Country

1.9 Contact Information

Mobile Phone

Home Telephone Fax Email

1.10 Occupation

Agriculturist

Investor

Housewife

Student

Monk/Priest

Retirement

If you choose the following occupations, please also specify workplace address in item 1.11

State Enterprise Employee

Corporate Employee

Family Business

Doctor/Nurse

Teacher

Politician

Government Employee

Business Owner

Self-Employee

Other (Please specify)

1.11 Workplace Address

Company name No. Moo No. Building/Mooban
Floor Soi Road Sub-District/Tumbon
District/Amphur Province Postal Code Country
Position

1.12 Business Type

- Antique Trading
- Foreign Currency Exchange
- Jewelry/Gold Trading
- Casino/Gambling
- Travel Industry/Travel Agency
- Armament
- Domestic or International Money Transfer
- Foreign Worker Employment Agency
- Hotel/Restaurant
- Property/Real Estate
- Insurance/ Assurance
- Entertainment Business
- University/School/Education Center
- Financial Service / Banking
- Foundation/Association/Club/Temp/Mosque/Shrine
- Other (Please specify)

1.13 Investment Objective

- For Investment
- For Tax Benefit
- Retirement Investment
- Other (Please specify)

1.14 Country's Source of income/Investment Fund

- Thailand
- Other countries (Please specify)

1.15 Source of income (You can select more than 1 item)

- Salary
- Inheritance
- Savings
- Investment
- Retirement Fund
- Own Business
- Other (Please specify)

1.16 Monthly Income (Baht)

- < 15,000
- 15,001 - 30,000
- 30,001 - 50,000
- 50,001 - 100,000
- 100,001 - 500,000
- 500,001 - 1,000,000
- 1,000,001 - 4,000,000
- 4,000,001 - 10,000,000
- > 10,000,000

1.17 Asset Value (Please specify) Baht
(Assets include deposits, direct investments in securities or derivatives, net assets (not including residential real estate))

1.18 Are you a politician or family members or close associates of political persons?

- Yes Please specify
- No

1.19 End Beneficiary owner

Relationship with the account's owner (1) Spouse, child or adopted child (2) relatives other than (1)
 Others (Please specify)

Name - Surname:

Date of Birth DD-MM-YYYY (A.D. or B.E.)

ID Card No. - - - - -

Passport No. Issuing Country Date of Expiry DD-MM-YYYY (A.D. or B.E.)

Alien Registration Card No. - - - - - Date of Expiry DD-MM-YYYY (A.D. or B.E.)

Residence Registration address

No. Moo No. Building/Mooban Floor Soi
Road Sub-District/Tumbon District/Amphur Province
Postal Code Country

2. Additional Information

2.1 Account type For Account By Account Joint Account (Mutual Fund)

2.2 Account name

2.3 Condition of Authorized signatories

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2.4 Automated Transfer System : ATS

Bank Account for Subscription

| No. | Account | Bank | Branch | Account No. | Account Name |
|-----|-------------------|------|--------|-------------|--------------|
| 1 | Primary account | | | | |
| 2 | Secondary account | | | | |
| 3 | Secondary account | | | | |

Bank Account for Redemption proceeds and Dividend

Same as Bank Account for Subscription

Other Account (Please specify)

| No. | Account | Bank | Branch | Account No. | Account Name |
|-----|-------------------|------|--------|-------------|--------------|
| 1 | Primary account | | | | |
| 2 | Secondary account | | | | |
| 3 | Secondary account | | | | |

Remark: For bank account for subscription and bank account for redemption proceeds and dividend, the securities holder and the account holder must be the same person.

Statement of confirmation

I confirm that the information provided in the account opening application form and relevant supporting documents are truthful, complete and up-to-date, and I am the account owner who make decisions to buy and sell securities by oneself unless the beneficiary is another person which I will inform the intermediary.

.....
(.....)

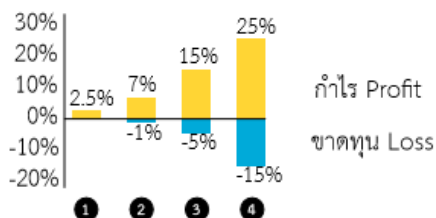
Applicant Signature

Required document for applicant: 1) ID card / Passport 2) Financial Statement (Optional)

Suitability test for Individual Investor

Questions 1-10 are used to assess the suitability of your investment

- Please indicate your age
 - 60 years old or older
 - 45 – 59 years
 - 35 – 44 years
 - Under 35 years
- What is the proportion of your total expenses at the present such as mortgage, cars, personal and family expenses?
 - More than 75% of total income
 - Between 50% and 75% of total income
 - 25% to less than 50% of total income
 - Less than 25% of total income
- What is your current financial status?
 - Less assets than liabilities
 - Assets equal liabilities
 - More assets than liabilities
 - Having financial freedom for retirement life
- Do you have any investment experience or knowledge in the following types of investment products?
(You can choose more than 1 item)
 - Bank Deposits
 - Government Bond or Government Bond Funds
 - Debentures or Mutual Funds
 - Common Stocks or Mutual Funds or other high-risk assets
- What is your investment period target?
 - Less than 1 year
 - 1 to less than 3 years
 - 3 to 5 years
 - More than 5 years
- What is your risk tolerance?
 - Focus on opportunity in preserving original investment safely and receiving small consistent return
 - Focus on opportunity in receiving consistent return but may take risk of losing some original investment
 - Focus on opportunity in receiving higher return but may take risk of losing more original investment
 - Focus on the highest long-term return but may take risk of losing most of the original investment
- When considering sample picture below showing the potential returns of different investment portfolio, which investment portfolio are you most willing to invest in?



- Investment portfolio 1 (has chance to receive 2.5% return without any loss)
- Investment portfolio 2 (has chance to receive 7% highest return but may lose up to 1%)
- Investment portfolio 3 (has chance to receive 15% highest return but may lose up to 5%)
- Investment portfolio 4 (has chance to receive 25% highest return but may lose up to 15%)

- If you invest in assets that have chances to receive high return but also have chances to receive high loss, how would you feel?
 - Worried and afraid of loss
 - Uneasy but somehow understand
 - Understand and accept the fluctuations
 - Not concerned about the large potential loss and expect that the return may increase
- In which proportion will you be anxious or unacceptable when the value of your investment has decreased?
 - 5% or less
 - More than 5%-10%
 - More than 10%-20%
 - More than 20%
- Last year, you invest 100,000 Baht. This year, the value of your investment decreased to 85,000 Baht. What will you do?
 - Panic and want to sell the remaining investment
 - Worried and will change some investment into less risky assets
 - Continue holding the investment and wait until the investment rebounds
 - Remain confident since it is long-term investment and will invest more to average cost

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

Apply only to investment in derivatives and structure note

11. Successful derivatives and structure notes investment has high return. On the other hand, investors can lose all of their investment and must increase more capital. Are you able to accept this?

- a. No
- b. Yes

Apply only to offshore investment

12. In addition to investment risk, are you able to accept foreign exchange rate risk?

- a. No
- b. Yes

For Staff

Part 1: Assessment Scores

Answer a = 1 point Answer b = 2 points

Answer c = 3 points Answer d = 4 points

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

Part 2: Assessment Result

| Total Scores | Level | Investor Type of Risk |
|--------------|-------|-----------------------|
| Below 15 | 1 | Low |
| 15-21 | 2 | Moderate to Low |
| 22-29 | 3 | Moderate to High |
| 30-36 | 4 | High |
| Above 37 | 5 | Very High |

Part 3: Basic Asset Allocation

| Investor Type of Risk | Asset Allocation | | | | |
|-----------------------|--|------------------------------|-----------|-------------|---------------|
| | Deposits and Short-Term Fixed Income Funds | Long-Term Fixed Income Funds | Debenture | Equity Fund | Other Options |
| Low | >60% | | <20% | <10% | <5% |
| Moderate to Low | <20% | <70% | | <20% | <10% |
| Moderate to High | <10% | <60% | | <30% | <10% |
| High | <10% | <40% | | <40% | <20% |
| Very High | <5% | <30% | | >60% | <30% |

* Including consumer products and derivatives products

Total Scores

Assessor Name (.....) Inspector Name (.....)

Date / /