

Single Form for Capital Market (Juristic Investor)

Intermediary name Date -- (A.D. or B.E.)

1. Juristic Investor Information – For Account Opening

1.1 Juristic Investor Name :

1.2 Commercial Registration No. :

1.3 Tax ID :

1.4 Registered Country

Thailand Other Countries (Please specify)

1.5 Juristic Type

Juristic (Thailand)

- Tax Exempt on Dividend
and Capital Gain
 Non-Tax Exempt

Juristic (Foreign)

- Operating in Thailand
 Non-operating in Thailand

Others

- Partnership (Thailand)
 Government Organization/
State Enterprise
 Co-operative/Foundation/Association
/Club/Temple/Mosque/Shrine
 Tax Exempt Company
 Other (Please specify)

1.6 Business Type

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

1.7 Commercial Registration Certificate Address

Address No. Moo No. Building/Mooban Floor

Soi Road Sub-district/Tambon

District/Amphur Province Postal Code

Country Telephone

1.8 Contact Information

1. Name - Surname..... Position/Division.....
Telephone Fax email

2. Name - Surname..... Position/Division.....
Telephone Fax email

1.9 Mailing Address

As an email in 1.8 (Contact Information) (If you choose this option, your documents will be sent to your email address as a main contact channel)

Same as Commercial Registration Certificate Address Fax Other (Please specify below)

Address No. Moo No. Building/Mooban Floor

Soi Road Sub-district/Tambon

District/Amphur Province Postal Code.....

Country

1.10 Total Income per Year (Latest financial statement) Baht

1.11 Country's Source of Income/Investment Fund

Thailand Other countries (Please specify)

1.12 Source of Income (You can select more than 1 item)

Revenue from Business Stock Donation
 Loan Revenue from selling property Other (Please specify)

1.13 **Asset Value** Baht (Asset includes deposits, direct investment in securities and derivatives)

or

Shareholder's equity Baht (Shareholder's equity as the latest financial statement that is reviewed by auditor)

1.14 Investment Objective

Liquidity Management Investment Cash management for investment
 Other (Please specify)

1.15 Juristic's Condition of Authorized Signatories as Commercial Registration Certificate/Letter of authority/ Minutes of meeting

.....

1.16 Condition of Authorized Signatories for Transaction

.....

1.17 End Beneficiary Information

Name - Surname :

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

ID Card No. ----

Passport No. Issuing country Date of Expiry (A.D. or B.E.)

Alien Registration Card No. ---- Date of expiry (A.D. or B.E.)

Address as specified in the identification document

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

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

Yes Please specify No

Remark: Multiple beneficiaries are acceptable

1.18 List of Shareholders holding from 25% of shares

Individuals who are shareholders of juristic's owner:

Name – Surname of Shareholders	Nationality	ID Card No./Passport No.	Date of Expiry (Only for Passport and Alien Registration Card)
1			
2			
3			
4			

Adding or removing table rows is acceptable if necessary

Juristics who are shareholders of juristic's owner :

1. Juristic Name.....

Commercial Registration No. Registered Country.....

Name - Surname or Juristic Name	Nationality	ID Card No./Passport No./ Tax ID/Commercial Registration No.	Date of Expiry (Only for Passport and Alien Registration Card)
1			
2			
3			
4			

Adding or removing table rows is acceptable if necessary

2. Juristic Name.....

Commercial Registration No. Registered Country.....

Name - Surname or Juristic Name	Nationality	ID Card No./Passport No./ Tax ID/Commercial Registration No.	Date of Expiry (Only for Passport and Alien Registration Card)
1			
2			
3			
4			

Adding or removing table rows is acceptable if necessary

2. Additional Information

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				
4	Secondary Account				
5	Secondary Account				

Bank Account for Redemption Proceeds and Dividend

Same as Bank Account for Subscription

Other (Please specify)

No.	Account	Bank	Branch	Account No.	Account Name
1	Primary Account				
2	Secondary Account				
3	Secondary Account				
4	Secondary Account				
5	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.

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

Applicant Signature

Required Documents for Juristic Investor (The list of required documents can be added or removed if necessary)

1. Juristic (Thailand) :
 - Certificate of registration as a legal entity (Issued within 6 months)
2. Juristic (Foreign) :
 - Certificate of registration as a legal entity (Issued within 6 months)
3. Government Organization/State Enterprise/Other Government Organization :
 - Letter of intent in transactions
 - Letter of appointment or Letter of authority
4. Co-operative/Foundation/Association/Club/Temple/Mosque/Shrine :
 - Letter of intent in transactions
 - Certificate of registration
 - Letter of appointment or Letter of authority
5. Sample of company stamp (if any)
6. Copy of ID of Authorized Person
7. VAT Registration (VAT20) (if any)
8. List of shareholders/List of partners
9. Minutes & Resolutions indicating details of account opening (if any)
10. Financial Statement (if any)
11. Letter of authority (if any)
12. Other documents such as Form regarding the transaction for registering the establishment, Memorandum and articles of association

Suitability test for Juristic Investor

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

1. Your prior investment experience in securities. (Securities: Treasury bills, bond, Bill of Exchange, Stocks, Debenture, Structure note, Mutual Fund Units)

- a. Less than 1 year b. 1-5 years c. 6-10 years d. More than 10 years

2. What is the proportion of your expenses compare to your revenue?

- a. More than 75% of the revenue b. Between 50% and 75% of the revenue
c. 25% to less than 50% of the revenue d. Less than 25% of the revenue

3. What is your current financial status?

- a. Less assets than liabilities b. Assets equal liabilities
c. More assets than liabilities d. Almost no liabilities or no liabilities

4. Do you have any investment experience or knowledge in the following types of investment products? (You can choose more than 1 item)

- a. Bank Deposits b. Government Bond or Government Bond Funds
c. Debentures or Mutual Funds d. Common Stocks or Mutual Funds or other high-risk assets

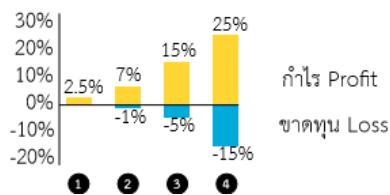
5. What is your investment period target?

- a. Less than 1 year b. 1 to less than 3 years c. 3 to 5 years d. More than 5 years

6. What is your risk tolerance?

- a. Focus on opportunity in preserving original investment safely and receiving small consistent return
b. Focus on opportunity in receiving consistent return but may take risk of losing some original investment
c. Focus on opportunity in receiving higher return but may take risk of losing more original investment
d. Focus on the highest long-term return but may take risk of losing most of the original investment

7. When considering sample picture below showing the potential returns of different investment portfolio, which investment portfolio are you most willing to invest in?



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

8. If you invest in assets that have chances to receive high return but also have chances to receive high loss, how would you feel?

- a. Worried and afraid of loss b. Uneasy but somehow understand
c. Understand and accept the fluctuations d. Not concerned about the large potential loss and expect that the return may increase

9. In which proportion will you be anxious or unacceptable when the value of your investment has decreased?

- a. 5% or less b. More than 5%-10% c. More than 10%-20% d. More than 20%

10. Last year, you invest 100,000 Baht. This year, the value of your investment decreased to 85,000 Baht. What will you do?
- a. Panic and want to sell the remaining investment
 - b. Worried and will change some investment into less risky assets
 - c. Continue holding the investment and wait until the investment rebounds
 - d. Remain confident since it is long-term investment and will invest more to average cost

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

Apply only to investment in derivatives and structure note

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

- a. No
- b. Yes

Apply only to offshore investment

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

- a. No
- b. Yes

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/...../.....