

## Customer Information for Capital Market Product Investment (Juristic Person)

Date -- (B.E.)

### 1. Investor Information – For Opening Account

Juristic Person Name : Thai .....  
: English .....

Juristic Person Registration No. ....

Tax Registration No. ....

#### Registered Country

Thai  Other Country (specify) .....

#### Juristic Person Type

##### Normal Juristic Person (Thailand)

- Exempt from Tax  
 Not exempted from Tax

##### Foreign Juristic Person

- Operating in Thailand  
 Not operating in Thailand

##### Other Types

- Partnership (Thailand)  
 Government Agency/State Enterprise  
 Cooperative/Foundation/Association/  
Club/Temple/Masjid/Shrine  
 Other (specify) .....

#### Business Type

- |   |   |   |
|---|---|---|
| <input type="checkbox"/> Informal Loan Business                 | <input type="checkbox"/> Electrical Equipment   | <input type="checkbox"/> Arms Manufacturer/Arms Dealer/Armaments                                  |
| <input type="checkbox"/> Property Development/Construction      | <input type="checkbox"/> Law Firm   | <input type="checkbox"/> Transferring and receiving money services<br>Not a Financial Institution |
| <input type="checkbox"/> Services/Hospital/Restaurant           | <input type="checkbox"/> Food/Drinks Manufacturer   | <input type="checkbox"/> Jewelry/Gold/Gem Trading   |
| <input type="checkbox"/> Transportation/Communication/Utilities | <input type="checkbox"/> Electronics  | <input type="checkbox"/> Internationally accepting and sending<br>human resources                 |
| <input type="checkbox"/> University/School/Education Center     | <input type="checkbox"/> Pharmaceuticals/Chemicals  | <input type="checkbox"/> Foreign Exchange   |
| <input type="checkbox"/> Publication/Paper                      | <input type="checkbox"/> Vehicles/Parts   | <input type="checkbox"/> Casino/Gambling  |
| <input type="checkbox"/> Securities/Banking/Insurance           | <input type="checkbox"/> Plastics/Petrochemicals  | <input type="checkbox"/> Antiques/Antiques Trading  |
| <input type="checkbox"/> Entertainment/Hotels                   | <input type="checkbox"/> Textiles/Leather   | <input type="checkbox"/> Tour Operators/Tour Company  |
| <input type="checkbox"/> Department Stores/Supermarkets/Retail  | <input type="checkbox"/> Cooperatives/Foundations/Associations/Clubs/Temple/Masjid/Shrine | <input type="checkbox"/> Service Business   |
| <input type="checkbox"/> Other (specify).....                   |   |   |

#### Juristic Person Registered Address

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

## 2. Financial Information

Annual Income (based on latest financial statements) ..... baht

Source of Income's/Investment Money's Country

Thailand  Other (specify) .....

Source of Income (Can be more than 1)

Business Operations  Shares  Donation  
 Loan  Proceeds from asset sale  Other (specify) .....

Information on shareholders' equity and investments in securities shown to categorize investor

	Retail Investor	High Net Worth Investor	Special High Net Worth Investor
Having shareholders' equity Must attach the latest year's financial statements audited by the auditor	<input type="checkbox"/> less than 100 million baht	<input type="checkbox"/> more than or equal to 100 million baht but less than 200 million baht	<input type="checkbox"/> more than or equal to 200 million baht
having investments in securities or derivatives Must attach the latest year's financial statements audited by the auditor	<input type="checkbox"/> less than 20 million baht	<input type="checkbox"/> more than or equal to 20 million baht but less than 40 million baht	<input type="checkbox"/> more than or equal to 40 million baht
Investments in securities or derivatives, including deposits Must attach the latest year's financial statements audited by the auditor	<input type="checkbox"/> less than 40 million baht	<input type="checkbox"/> more than or equal to 40 million baht but less than 80 million baht	<input type="checkbox"/> more than or equal to 80 million baht

Investment Objective

Liquidity Management  Investment  Manage money, waiting to invest  Profits  
 Other (specify) .....

Authorized signatory according to the registration document / power of attorney / meeting minutes

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Conditions for signatory

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## 3. List of shareholders holding more than 25% or more

In case of an Ordinary Person that is a shareholder of the account owner (Juristic Person) (First Step) :

	Shareholder Name – Surname	Nationality	Identification Card/Passport No.	Expiration Date	Holding(%)
1					
2					
3					
4					

In case of a Juristic Person that is a shareholder of the account owner (Juristic Person) (**First Layer**) :

1. Juristic Person Name .....  
 Juristic Person Registration No..... Registered Country .....

1					
2					
3					
4					

In case of a Juristic Person that is a shareholder of the First Layer Juristic Person holding more than 25% (**Second Layer**)

2. Juristic Person Name.....  
 Juristic Person Registration No..... Registered Country.....

	Name – Surname or Juristic Person name holding shares in the account owner	Nationality	Identification Card No./Passport No./Tax Registration No./Juristic Person Registration No.	Expiration Date	Holding(%)
1					
2					
3					
4					

In case of a Juristic Person that is a shareholder of the Second Layer Juristic Person holding more than 25% (**Third Layer**)

3. Juristic Person Name.....  
 Juristic Person Registration No..... Registered Country.....

	Name – Surname or Juristic Person name holding shares in the account owner	Nationality	Identification Card No./Passport No./Tax Registration No./Juristic Person Registration No.	Expiration Date	Holding(%)
1					
2					
3					
4					

#### 4. Ultimate Beneficiary

1) Title  Mr.  Mrs.  Miss  Other .....

Name – Surname : Thai .....

: English .....

Nationality (specify all nationalities) ...../...../.....

Date of Birth -- (B.E.)

Evidence Type

Identification Card No. ---- Expiration Date -- (B.E.)  Lifelong

Passport No.  Issuing Country ..... Expiration Date -- (B.E.)

Alien Registration Card No. ---- Expiration Date -- (B.E.)

Identification Card Address

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

Current Address

Address No. .... Moo No. .... Building/Mooban ..... Floor ..... Soi .....  
Road ..... Subdistrict/Tambon ..... District/Amphur ..... Province .....  
Postal Code ..... Country .....  
Mobile .....Telephone .....Email.....  
Occupation .....

Relevance to the ultimate beneficiary

- Authorized Director
- Is a Shareholder of more than 20% (First Layer, Second Layer, or Third Layer)
- Other (specify) .....

I have a status in politics  No  Yes Position .....

My family members are politicians  No  Yes Position .....

I am close to a politician  No  Yes Position .....

2) Title  Mr.  Mrs.  Miss  Other .....

Name – Surname : Thai .....

: English .....

Nationality (specify all nationalities) ...../...../.....

Date of Birth -- (B.E.)

Evidence Type

- Identification Card No. ---- Expiration Date -- (B.E.)  Lifelong
- Passport No.  Issuing Country .....Expiration Date -- (B.E.)
- Alien Registration Card No. ---- Expiration Date -- (B.E.)

Identification Card Address

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

Current Address

Address No. .... Moo No. .... Building/Mooban ..... Floor ..... Soi .....  
Road ..... Subdistrict/Tambon ..... District/Amphur ..... Province .....  
Postal Code ..... Country .....  
Mobile .....Telephone .....Email.....  
Occupation .....

Relevance to the ultimate beneficiary

- Authorized Director
- Is a Shareholder of more than 20% (First Step, Second Step, or Third Step)
- Other (specify) .....

I have a status in politics  No  Yes Position .....

My family members are politicians  No  Yes Position .....

I am close to a politician  No  Yes Position .....

## 5. Contact Information

### Address for Document Delivery

Same as Juristic Person registered documents  Other addresses (specify below)

Address No. .... Moo No. .... Building/Mooban .... Floor ..... Soi .....

Road ..... Subdistrict/Tambon ..... District/Amphur ..... Province .....

Postal Code ..... Country .....

Email .....

Mobile ..... Telephone ..... Fax .....

## 6. Attorney's Information (Power of Attorney)

authorize another person to conduct Capital Market Transactions on my behalf  No  Yes (specify)

1) Title  Mr.  Mrs.  Miss  Other

Name - Surname : Thai .....

Identification Card No. □-□□□□-□□□□□-□□-□

Expiration Date □□-□□-□□□□ (B.E.)  Lifelong

Passport No. □□□□□□□□□□□□□□ Issuing Country ..... Expiration Date □□-□□-□□□□ (B.E.)

Nationality..... Relationship.....

**Address(Current)** Building.....

Address No. .... Moo No. .... Building/Mooban .... Floor ..... Soi .....

Road ..... Subdistrict/Tambon ..... District/Amphur ..... Province .....

Postal Code ..... Country ..... Telephone..... Mobile.....

Email.....

2) Title  Mr.  Mrs.  Miss  Other

Name - Surname : Thai .....

Identification Card No. □-□□□□-□□□□□-□□-□

Expiration Date □□-□□-□□□□ (B.E.)  Lifelong

Passport No. □□□□□□□□□□□□□□ Issuing Country ..... Expiration Date □□-□□-□□□□ (B.E.)

Nationality..... Relationship.....

**Address(Current)** Building.....

Address No. .... Moo No. .... Building/Mooban .... Floor ..... Soi .....

Road ..... Subdistrict/Tambon ..... District/Amphur ..... Province .....

Postal Code ..... Country ..... Telephone..... Mobile.....

Email.....

I hereby certify and confirm that the information provided above is true, complete and current.

Sign.....Authorized of the juristic person  
(.....)

Sing.....Investment consultant  
(.....)