

แบบฟอร์มการเปิดบัญชี (บุคคลธรรมดา)

Customer's Application Form (Individual)

ชื่อ - สกุล / _____

Name- Last Name

เลขที่บัญชี - -

A/C No.

สาขา _____

Branch



เอกสารประกอบการเปิดบัญชีเพื่อซื้อขาย / Required Documents for Opening a Trading Account

บุคคลธรรมดา / Individual

- 1. สำเนาบัตรประจำตัวประชาชน หรือ สำเนาหนังสือเดินทางของลูกค้า ผู้รับประโยชน์และหรือผู้เกี่ยวข้อง (ถ้ามี) และ ผู้รับมอบอำนาจ (กรณีมอบอำนาจ)
Certified copies of ID card or passport from the person opening the account and, where applicable, from beneficiaries, related persons, and grantee as well.
- 2. สำเนาทะเบียนบ้านของลูกค้า และผู้รับมอบอำนาจ (กรณีมอบอำนาจ)
Certified copies of house registration from the person opening the account and, where applicable, from grantee as well.
- 3. สำเนาบัตรประจำตัวผู้เสียภาษีอากรของลูกค้า / A certified copy of Customer's Tax ID
- 4. สำเนาเดินรายการบัญชีธนาคาร ช้อนหลัง 3 เดือน นับจากวันขอเปิดบัญชี พร้อมหน้าแรกที่แสดงเลขที่บัญชี
A certified copy of most recent 3 months' bank statements and the first page of the statement book which shows customer's name and account number.
- 5. หนังสือขอให้หักบัญชีเงินฝาก / Letter of consent to debit the bank account.
- 6. อกรแสตมป์ สำหรับสัญญาและหนังสือแต่งตั้งตัวแทนเพื่อซื้อขาย จำนวน 30 บาท / 30 Baht Duty stamp for Agreement and Trading Agent Appointment Contract
- 7. ค่าอกรแสตมป์ สำหรับหนังสือมอบอำนาจ จำนวน 30 บาท ต่อหนึ่งผู้รับมอบอำนาจ (กรณีมอบอำนาจ) / 30 Baht Duty stamp for each Grantee in Power of Attorney (In case customer has a power of attorney)





บริษัทหลักทรัพย์ เคจีไอ (ประเทศไทย) จำกัด (มหาชน)
 173 อาคารเอเชีย เซ็นเตอร์ ชั้น 8-10
 ถนนสาทรใต้ แขวงทุ่งมหาเมฆ เขตสาทร
 กรุงเทพมหานคร 10120
 ทะเบียนเลขที่ 0107536000293
 โทร. (662) 658-8888
 แฟกซ์ (662) 658-8000

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 173 Asia Centre Building, 8th-10th Floor,
 South Sathorn Road, Thungmahamek,
 Sathorn, Bangkok 10120, Thailand
 Tel (662) 658-8888
 Fax (662) 658-8000
 Website <http://www.kgiworld.co.th>

วันที่ _____
 Date

แบบฟอร์มการเปิดบัญชี Customer's Application Form

ข้าพเจ้ามีความประสงค์จะเปิดบัญชีกับบริษัทหลักทรัพย์ เคจีไอ (ประเทศไทย) จำกัด (มหาชน) (“บริษัทฯ”) โดยมอบหมายให้บริษัทฯ เป็นตัวแทนซื้อขายตามเงื่อนไข และข้อกำหนดของสัญญาแต่งตั้งต่างๆระหว่างข้าพเจ้ากับบริษัทฯ

I would like to open a trading account with KGI Securities (Thailand) Public Company Limited (the “Company”) and entrust the Company to be my agent where all terms and conditions of trading will be in accordance with the Agreement Appointment of Agent contract(s) entered into by myself and the Company.

ประวัติลูกค้า / Customer Information

บุคคลธรรมดา / Individual

นาย / Mr. นาง / Mrs. นางสาว / Miss อื่นๆ / Others _____

ชื่อ-สกุลภาษาไทย / Name - Last Name in Thai _____

ชื่อ-สกุลภาษาอังกฤษ / Name - Last Name in English _____

บัตรประจำตัวประชาชน / ID Card No. หนังสือเดินทาง / Passport No. _____

อื่นๆ / Others _____

วันที่ออก / Issued Date _____ วันหมดอายุ / Expired Date _____

เลขประจำตัวผู้เสียภาษี / Tax ID No. _____ สัญชาติ / Nationality _____

ศาสนา / Religion _____ (ถิ่น) ที่อยู่ประเทศ / Country _____

วัน เดือน ปี เกิด / Date of Birth _____ อายุ / Age _____ ปี / Years

ระดับการศึกษาสูงสุด / Highest Education ต่ำกว่าปริญญาตรี / Lower than Bachelor Degree ปริญญาตรี / Bachelor Degree

ปริญญาโท / Master Degree สูงกว่าปริญญาโท Higher than Master Degree

สถาบันการศึกษาสูงสุด / Highest Education Institution _____ สาขา / Major _____

อาชีพ / Occupation พนักงานบริษัท / Employee ธุรกิจส่วนตัว / Business Entrepreneur

ข้าราชการ / Government official อื่น ๆ / Others _____

ชื่อบริษัท / Company _____ ประเภทธุรกิจ / Type of Business _____

ตำแหน่งงาน / Position _____ อายุการทำงาน / Year of Service _____

ที่อยู่ทำงาน / Work Address _____

รหัสไปรษณีย์ / Post Code _____ โทรศัพท์ / Tel No. _____ มือถือ / Mobile Phone _____

โทรสาร / Fax No. _____ Email Address _____

1. ที่อยู่ตามทะเบียนบ้าน / Home Address _____

รหัสไปรษณีย์ / Post Code _____ โทรศัพท์ / Tel No. _____ มือถือ / Mobile Phone _____

โทรสาร / Fax No. _____ Email Address _____



2. ที่อยู่ปัจจุบันที่ติดต่อได้ / Contact Address (กรอกเฉพาะกรณีที่ไม่เหมือนที่อยู่ตามทะเบียนบ้าน / Fill this part if it is not the same as Home Address) _____

รหัสไปรษณีย์ / Post Code _____ โทรศัพท์ / Tel No. _____ มือถือ / Mobile Phone _____

โทรสาร / Fax No. _____ Email Address _____

ระบุที่อยู่ที่จะจัดส่งเอกสาร / Mailing Address

ที่อยู่ตามทะเบียนบ้าน / Home Address ที่อยู่ปัจจุบันที่ติดต่อได้ / Contact Address ที่อยู่ทำงาน / Work Address

สถานภาพ / Status โสด / Single สมรส / Married อื่นๆ / Others _____

ชื่อนามสกุลคู่สมรส / Name of spouse _____ มุตรในอุปการะ / No. of Children _____

อาชีพ / Occupation _____ ตำแหน่ง / Position _____

ที่ทำงาน / Company Address _____

ประเภทธุรกิจ / Type of Business _____

โทรศัพท์ / Tel No. _____ มือถือ / Mobile Phone _____

สถานที่และบุคคลที่สามารถติดต่อได้ (กรณีเร่งด่วนและไม่สามารถติดต่อลูกค้านี้ได้) / Contact person in case of emergency

ชื่อและนามสกุล / Name - Last name _____ โทรศัพท์ / Tel No. _____

สถานที่ทำงาน / Work Address _____

ตำแหน่ง / Position _____ ความสัมพันธ์ / Relationship _____

ข้อมูลสถานะการเงิน / Financial Information

| | มูลค่า / Value | ภาระผูกพัน (ถ้ามี) / Encumbrances (If any) |
|---|----------------|---|
| <input type="checkbox"/> ที่ดิน/Land _____ | | <input type="checkbox"/> จำนอง / Mortgage <input type="checkbox"/> Others _____ |
| <input type="checkbox"/> บ้านพร้อมที่ดิน/House with Land _____ | | <input type="checkbox"/> จำนอง / Mortgage <input type="checkbox"/> Others _____ |
| <input type="checkbox"/> รถยนต์/Car _____ | | <input type="checkbox"/> จำนำ / Pledge <input type="checkbox"/> Others _____ |
| <input type="checkbox"/> ค้ำสัญญาใช้เงิน/P/N _____ | | <input type="checkbox"/> จำนำ / Pledge <input type="checkbox"/> Others _____ |
| <input type="checkbox"/> เงินฝากธนาคาร/Deposit _____ | | <input type="checkbox"/> จำนำ / Pledge <input type="checkbox"/> Others _____ |
| <input type="checkbox"/> ทรัพย์สินอื่น /Other Assets _____ | | <input type="checkbox"/> จำนอง / Mortgage <input type="checkbox"/> Others _____ |
| <input type="checkbox"/> เงินเดือน/Salary (per month) _____ | | |
| <input type="checkbox"/> รายได้อื่น /Other Income _____ | | โปรดระบุแหล่งที่มาของรายได้อื่น / Please specify source of other income _____ |
| <input type="checkbox"/> เงินเดือนของคู่สมรส/ The spouse's Salary (per month) _____ | | |
| <input type="checkbox"/> รายได้อื่นของคู่สมรส / The spouse's Other Income _____ | | โปรดระบุแหล่งที่มาของรายได้อื่น / Please specify source of other income _____ |

ประเภทบัญชีและวงเงิน / A/C and Credit Line

ประสงค์ที่จะซื้อขาย / Which market(s) do you intend to invest in

ตลาดหลักทรัพย์ / SET ตลาดตราสารหนี้ / Fixed Income Market ตลาดอนุพันธ์ / Derivatives Market
 อื่น ๆ / Others _____

ประเภทบัญชีที่ขอเปิด A/C Type

Cash วงเงินที่ขอเปิดบัญชี / Requested Credit Line _____ บาท/ Baht
 Cash Balance วงเงินที่ขอเปิดบัญชี / Requested Credit Line _____ บาท/ Baht
 Internet Trading วงเงินที่ขอเปิดบัญชี / Requested Credit Line _____ บาท/ Baht
 Deposit / ฝากเงิน Non-Deposit / ไม่ฝากเงิน



- Credit Balance วงเงินที่ขอเปิดบัญชี / Requested Credit Line _____ บาท/ Baht
- TFEX วงเงินที่ขอเปิดบัญชี / Requested Credit Line _____ บาท/ Baht
- SBL- Lender วงเงินที่ขอเปิดบัญชี / Requested Credit Line _____ บาท/ Baht
- SBL-Borrow วงเงินที่ขอเปิดบัญชี / Requested Credit Line _____ บาท/ Baht
- Others _____ วงเงินที่ขอเปิดบัญชี / Requested Credit Line _____ บาท/ Baht

จุดมุ่งหมายที่มาลงทุนในหลักทรัพย์ / Investment Purpose

- ทำกำไรระยะสั้น / Trading เพื่อการลงทุน / Investment ทดแทนเงินฝาก / Savings Equivalence

เงื่อนไขการรับจ่ายเงินกับบริษัท / Method of Payment and Receipt

การจ่ายชำระเงิน / Payment Method

- หัก/ ฝาก บัญชีเงินของข้าพเจ้าที่วางไว้กับบริษัท / Debit or credit my deposit account (Cash Balance Account)
- หัก/ ฝาก บัญชีเงินฝากของข้าพเจ้า โดยบริการโอนเงินอัตโนมัติ / Debit or credit my bank account by Account Automatic Transfer Service (ATS)
โปรดระบุรายละเอียดบัญชีเงินฝากของท่าน โดยชื่อบัญชีจะต้องเป็นชื่อเดียวกันกับที่ใช้เปิดบัญชีกับบริษัท / Please specify details of bank account whereas name of account shall be the same as opened with the Company
ธนาคาร /Bank _____ สาขา /Branch _____
ประเภทบัญชี /Type of Account ออมทรัพย์ / Savings กระแสรายวัน / Current
เลขที่บัญชี / Account No. □□□-□-□□□□□□-□
กรุณากรอกรายละเอียดในหนังสือขอให้หักบัญชีเงินฝากตามแบบฟอร์มที่แนบ / Please fill out the enclosed ATS instruction form กรณีลูกค้าปัจจุบัน ให้ใช้บัญชี ATS เดิม / In case of existing customer will use the same bank account for ATS
- เช็ค /Cheque
- โอนเงินเข้าบัญชีเงินฝากของข้าพเจ้า Transfer funds to my bank account (pay-in)
ธนาคาร /Bank _____ สาขา /Branch _____
ประเภทบัญชี /Type of Account ออมทรัพย์ / Savings กระแสรายวัน / Current
เลขที่บัญชี / Account No. □□□-□-□□□□□□-□

การใช้บริการ โอนเงินปันผล/ ดอกเบี้ย / สิทธิอื่นๆที่เป็นตัวเงิน เข้าบัญชีเงินฝากธนาคาร (e-Dividend) /
Cash Benefits Transferred into Bank

- ข้าพเจ้า _____
บัตรประจำตัวประชาชน / ทะเบียนนิติบุคคล เลขที่ □ - □□□□ □□□□□□-□□-□
หมายเลขโทรศัพท์ _____ e-mail: _____
ขอแจ้งความประสงค์ที่จะรับเงินปันผล / ดอกเบี้ย รวมถึงสิทธิอื่นๆ ที่เป็นตัวเงินเข้าบัญชีเงินฝากธนาคาร :
ชื่อบัญชีของผู้ถือหลักทรัพย์ _____
ชื่อธนาคาร (เฉพาะที่มีสาขาในประเทศไทยเท่านั้น) _____
ประเภทบัญชี ออมทรัพย์ กระแสรายวัน เลขที่บัญชี □□□□□□□□□□

รายละเอียดอื่นๆ/Other Information

โปรดระบุประสบการณ์เป็นจำนวนปีโดยประมาณ ในการทำธุรกรรมในตลาดประเภทต่างๆ / Please specify approximate years of trading experience in various markets

- | | ประเภทบัญชี (Type of account) | ลงทุนมาแล้ว (Year of investment) |
|---|-------------------------------|----------------------------------|
| <input type="checkbox"/> ตลาดหลักทรัพย์ฯ / SET | | |
| <input type="checkbox"/> ตลาดตราสารหนี้ / Fixed Income Market | | |
| <input type="checkbox"/> ตลาดอนุพันธ์ / Derivatives Market | | |
| <input type="checkbox"/> อื่น ๆ / Others..... | | |



บริษัทหลักทรัพย์อื่นที่ติดต่อ / Customer accounts at other brokers:

1. ชื่อ / Broker Name _____

ประเภทบัญชี / Type of Account _____ วงเงิน / Credit Line _____ บาท / Baht

2. ชื่อ / Broker Name _____

ประเภทบัญชี / Type of Account _____ วงเงิน / Credit Line _____ บาท / Baht

ผู้แนะนำ / Suggesting person:

- ติดต่อที่บริษัทเอง / In person at the Company เจ้าหน้าที่การตลาดติดต่อ / Through marketing officer
- ถูก公司推荐แนะนำ / Suggested by the Customer of the Company เว็บไซต์ / Website _____
- อื่น ๆ (โปรดระบุ) / Others (please specify) _____

กรณีเปิดบัญชีซื้อขายตราสารอนุพันธ์ กรุณากรอกชื่อผู้เกี่ยวข้องในสัญญา / If open a derivatives account, please specify related person

- ไม่มี / No
- มี / Yes โปรดระบุ / Please specify

บัตรประชาชนเลขที่ โปรดแนบสำเนาบัตรประชาชน / Please provide a copy(s) of ID card

นิยาม ผู้เกี่ยวข้อง หมายถึงบุคคลที่มีความสัมพันธ์กับลูกค้า เช่น คู่สมรส บุตรที่ยังไม่บรรลุนิติภาวะ บริษัทหรือห้างหุ้นส่วนที่ลูกค้าถือหุ้นเกินร้อยละ 30 ของจำนวนหุ้นที่ได้จำหน่ายแล้ว หรือนิติบุคคลที่ลูกค้ามีอำนาจในการจัดการในฐานะเป็นตัวแทนของนิติบุคคล

Related person is defined as a person who has a relationship with the client. Examples of related person are spouse, client's children, a company whereby the client owns more than 30 percent of the outstanding shares, a company in which the client is an authorized person, etc.

ความรู้ในการลงทุนในสัญญาซื้อขายล่วงหน้า

Knowledge on training in derivatives investment

- ได้รับการอบรมความรู้เพื่อการลงทุนในตลาดอนุพันธ์ ที่จัดโดย / Attend the training on investment in Futures Exchange arranged _____
- อื่น ๆ (โปรดระบุ) Others (Please specify) _____

การเปิดเผยข้อมูล / Self-Declaration

เพื่อประโยชน์ในการเปิดบัญชีของท่าน โปรดตอบคำถามเหล่านี้ / Please answer the questions below

1. ผู้รับประโยชน์จากการทำธุรกรรมในทอดสุดท้าย คือ

The final beneficiary(s) of the account is

- เจ้าของบัญชี / The person opening the account
- บุคคลอื่น (โปรดระบุ) / Others. Please specify the person(s)

1. ชื่อ-สกุล เลขบัตรประจำตัวประชาชน

Name-Last Name ID Card No.

2. ชื่อ-สกุล เลขบัตรประจำตัวประชาชน

Name-Last Name ID Card No.

โปรดแนบสำเนาบัตรประชาชนผู้รับประโยชน์จากการทำธุรกรรมในทอดสุดท้าย /

Please provide a copy(s) of ID Card of final beneficiaries

นิยาม ผู้รับประโยชน์จากการทำธุรกรรมในทอดสุดท้าย (Ultimate beneficial owner) หมายถึง บุคคลธรรมดา (natural person) ที่เป็นเจ้าของบัญชีที่แท้จริง ซึ่งพิจารณาจากข้อเท็จจริงในทางพฤตินัย เช่น ในการซื้อขายหลักทรัพย์จะพิจารณาจากผู้ที่ได้รับประโยชน์ในรูปของเงินปันผล ส่วนต่างราคา หรือการใช้สิทธิต่าง ๆ เป็นต้น

Ultimate beneficial owner is defined as natural persons who, in practice, are the actual beneficiaries of the profits and the rights associated with the account and the activities conducted through the account

2. ผู้มีอำนาจในการควบคุมบัญชีในทอดสุดท้าย คือ

The ultimate controlling person(s) of the account is

- เจ้าของบัญชี / The person opening the account
- ผู้รับประโยชน์จากการทำธุรกรรมในทอดสุดท้ายที่ระบุในข้อ 1 / The real final beneficial owner mentioned in 1



KGI Securities (Thailand) Public Company Limited

Updated 1 Jan 2009 (KYC & CDD) English Version

- บุคคลอื่น (โปรดระบุ) / Others. Please specify the person(s)
1. ชื่อ-สกุลเลขบัตรประจำตัวประชาชน
- Name-Last Name ID Card No.
2. ชื่อ-สกุลเลขบัตรประจำตัวประชาชน
- Name-Last Name ID Card No.

โปรดแนบสำเนาบัตรประชาชนผู้มีอำนาจในการควบคุมบัญชีในทอดสุดท้าย /

Please provide copies of ID Cards of the ultimate controlling persons

นิยาม ผู้มีอำนาจในการควบคุมบัญชีในทอดสุดท้าย (Ultimate controlling person) หมายถึง บุคคลธรรมดา (natural person)

ที่มีอำนาจควบคุมหรือตัดสินใจในทอดสุดท้ายเกี่ยวกับการทำธุรกรรม เช่น ในการซื้อขายหลักทรัพย์จะพิจารณาจากผู้ที่ตัดสินใจอยู่เบื้องหลังในการกำหนดทิศทางการซื้อขาย โดยไม่จำเป็นต้องเป็นบุคคลที่ส่งคำสั่งซื้อขายกับบริษัทหลักทรัพย์ เป็นต้น

Ultimate controlling person is defined as natural persons who, in practice, are the actual persons making the final decisions in exercising the rights of the account, such as making the ultimate trading and transaction decisions, etc.

3. บุคคลต่อไปนี้ มีตำแหน่งทางการเมืองหรือไม่
Do any of the following persons have a position in politics?
- 3.1 เจ้าของบัญชี / The person opening the account
- ไม่มี / No มี / Yes (โปรดระบุ) / (Please specify)
- 3.2 คู่สมรสของเจ้าของบัญชี / The spouse of the person opening the account
- ไม่มี / No มี / Yes (โปรดระบุ) / (Please specify)
- 3.3 ผู้รับมอบอำนาจ / The grantee in the power of attorney
- ไม่มี / No มี / Yes (โปรดระบุ) / (Please specify)
- 3.4 ผู้รับประโยชน์จากการทำธุรกรรมในทอดสุดท้ายที่ระบุในข้อ 1 / The real final beneficial owner mentioned in 1 of the account mentioned in 1
- ไม่มี / No มี / Yes (โปรดระบุ) / (Please specify)
- 3.5 ผู้มีอำนาจในการควบคุมบัญชีในทอดสุดท้ายที่ระบุในข้อ 2 / The controlling person(s) of the account mentioned in 2 of the account mentioned in 2
- ไม่มี / No มี / Yes (โปรดระบุ) / (Please specify)
4. บุคคลต่อไปนี้ มีประวัติการกระทำความผิดตามกฎหมายฟอกเงินในช่วง 3 ปีที่ผ่านมาหรือไม่ / Has any of the following persons been convicted for money laundering related crimes within the past 3 years?
- 4.1 เจ้าของบัญชี / The person opening the account
- ไม่มี / No
- มี / Yes (โปรดระบุ) / (Please specify)เมื่อ พ.ศ./ in year (s)
- 4.2 คู่สมรสของเจ้าของบัญชี / The spouse of the person opening the account
- ไม่มี / No
- มี / Yes (โปรดระบุ) / (Please specify)เมื่อ พ.ศ./ in year (s)
- 4.3 ผู้รับมอบอำนาจ / The grantee in the power of attorney
- ไม่มี / No
- มี / Yes (โปรดระบุ) / (Please specify)เมื่อ พ.ศ./ in year (s)
- 4.4 ผู้รับประโยชน์จากการทำธุรกรรมในทอดสุดท้ายที่ระบุในข้อ 1 / The real final beneficial owner mentioned in 1
- ไม่มี / No
- มี / Yes (โปรดระบุ) / (Please specify)เมื่อ พ.ศ./ in year (s)
- 4.5 ผู้มีอำนาจในการควบคุมบัญชีในทอดสุดท้าย ที่ระบุในข้อ 2 / The ultimate controlling person mentioned in 2
- ไม่มี / No
- มี / Yes (โปรดระบุ) / (Please specify)เมื่อ พ.ศ./ in year (s)
5. บุคคลต่อไปนี้ มีอาชีพอยู่ในกลุ่มที่ระบุด้านล่างหรือไม่
Are any of the following persons involved in any of the occupations listed below?
- (1) เจ้าของสำนักกฎหมาย / Owner of law firm
- (2) ธุรกิจการซื้อขายเพชร วัตถุโบราณ หรือทองคำ / In the business of trading jewelry, gold or antiques
- (3) ธุรกิจรับแลกเปลี่ยนเงินตราต่างประเทศ / Non-institutional foreign currency exchange business
- (4) ธุรกิจบริการโอนเงิน / Non-institutional fund transfer business
- (5) เจ้าของสถานกาสิโนและการพนัน / Owner of casinos or other gambling facilities
- (6) โรงงานผลิตอาวุธ / Weapon manufacturing business
- (7) ตัวแทนค้าอาวุธ / Weapon distribution business
- (8) ตัวแทนหรือบุคคลผู้ประกอบธุรกิจให้ผู้ยืมเงินนอกระบบ / Non-institutional loan business



- 5.1 เจ้าของบัญชี / The person opening the account
 ไม่ใช่ / No ใช่ / Yes (ระบุหมายเลข) / (Please specify number)
ชื่อธุรกิจ / Name of Business ที่ตั้ง / Location
- 5.2 คู่สมรสของเจ้าของบัญชี / The spouse of the person opening the account
 ไม่ใช่ / No ใช่ / Yes (ระบุหมายเลข) / (Please specify number)
ชื่อธุรกิจ / Name of Business ที่ตั้ง / Location
- 5.3 ผู้รับมอบอำนาจ / The grantee in the power of attorney
 ไม่ใช่ / No ใช่ / Yes (ระบุหมายเลข) / (Please specify number)
ชื่อธุรกิจ / Name of Business ที่ตั้ง / Location
- 5.4 ผู้รับประโยชน์จากการทำธุรกรรมในทอดสุดท้ายที่ระบุในข้อ 1 / The real final beneficial owner mentioned in 1
 ไม่ใช่ / No ใช่ / Yes (ระบุหมายเลข) / (Please specify number)
ชื่อธุรกิจ / Name of Business ที่ตั้ง / Location
- 5.5 ผู้มีอำนาจในการควบคุมบัญชีในทอดสุดท้าย ที่ระบุในข้อ 2 / The ultimate controlling person mention in 2
 ไม่ใช่ / No ใช่ / Yes (ระบุหมายเลข) / (Please specify number)
ชื่อธุรกิจ / Name of Business ที่ตั้ง / Location

6. เจ้าของบัญชีเป็นผู้บริหาร หรือมีความเกี่ยวข้องกับผู้บริหารบริษัทจดทะเบียน ในตลาดหลักทรัพย์ หรือไม่ Is the person opening the account an executive or a relative of a listed company's executive?

ไม่ใช่ / No

ใช่ / Yes โปรดระบุ / Please specify

ผู้เปิดบัญชีเป็นผู้บริหารบริษัทจดทะเบียน / ชื่อบริษัท.....
Account owner is an executive in a listed company / name of company

ผู้เปิดบัญชีมีความเกี่ยวข้องกับผู้บริหารบริษัทจดทะเบียน / ชื่อบริษัท.....
Account owner is a relative of an executive in a listed company/name of company

ชื่อผู้เกี่ยวข้อง / Name of Relative

โดยการลงนามในเอกสารนี้ ข้าพเจ้าขอรับรองและยืนยันว่า ข้อมูลรายละเอียดข้างต้นเป็นความจริงทุกประการ และหากมีการเปลี่ยนแปลงข้อมูลใด ๆ ข้าพเจ้าจะแจ้งเป็นลายลักษณ์อักษรทันที และข้าพเจ้าเข้าใจและรับทราบถึงกฎหมาย กฎระเบียบที่เกี่ยวข้อง หรือข้อบังคับของคณะกรรมการ ก.ล.ด. สำนักงานคณะกรรมการ ก.ล.ด. ตลาดหลักทรัพย์แห่งประเทศไทย บริษัท ตลาดอนุพันธ์ (ประเทศไทย) จำกัด (มหาชน) หน่วยราชการ หรือบริษัทที่เกี่ยวข้องกับการทำธุรกรรมต่างๆที่ข้าพเจ้าประสงค์จะทำอย่างดีแล้ว ทั้งนี้ ข้าพเจ้ายินดีปฏิบัติตามกฎระเบียบข้อบังคับในการทำธุรกรรมต่างๆที่ข้าพเจ้าประสงค์จะทำอย่างเคร่งครัด และในการนี้ ข้าพเจ้าตกลงยินยอมให้บริษัทฯ ดำเนินการตรวจสอบและเปิดเผยข้อมูลของข้าพเจ้ากับคณะกรรมการ ก.ล.ด. ตลาดหลักทรัพย์แห่งประเทศไทย หน่วยงานราชการ ตลาดอนุพันธ์ (ประเทศไทย) จำกัด (มหาชน) บริษัท สำนักหักบัญชี (ประเทศไทย) จำกัด หน่วยงานราชการ และ/หรือ หน่วยงานที่มีอำนาจหรือคำสั่งอื่นชอบด้วยกฎหมาย

In signing this application, I accept and acknowledge that the above information is true in all respect and if there are any changes, I will immediately notify in writing. I understand and know all relevant laws, rules, regulations, and notification of the SEC, the Office of the SEC, The Stock Exchange of Thailand, Thailand Futures Exchange, Thailand Clearing House, relevant government authorities, and company in regards to trading activities. I agree to strictly comply with all aforementioned laws and regulations applicable to all trading activities and I agree that the Company may inspect and disclose my information to the SEC, The Stock Exchange of Thailand, Thailand Futures Exchange, Clearing House, government authorities, and / or competent authorities.

ลงชื่อ / Signature _____

ผู้สมัคร / Applicant

(_____)

____/____/____

ลงชื่อ / Signature _____

เจ้าหน้าที่การตลาด / Marketing Officer

(_____)

____/____/____

ลงชื่อ / Signature _____

พยาน / คู่สมรส Witness / Spouse

(_____)

____/____/____

ลงชื่อ / Signature _____

พยาน / Witness

(_____)

____/____/____



แผนที่ตั้งของลูกค้าที่สามารถติดต่อได้ / Map Showing the Contact Location of Customer





บริษัทหลักทรัพย์ เคจีไอ (ประเทศไทย) จำกัด (มหาชน)
 173 อาคารเอเชีย เซ็นเตอร์ ชั้น 8-10
 ถนนสาทรใต้ แขวงทุ่งมหาเมฆ เขตสาทร
 กรุงเทพมหานคร 10120
 ทะเบียนเลขที่ 0107536000293
 โทร. (662) 658-8888
 แฟกซ์ (662) 658-8000

KGI Securities (Thailand) Public Company Limited
 173 Asia Centre Building, 8th-10th Floor,
 South Sathorn Road, Thungmahamek,
 Sathorn, Bangkok 10120, Thailand
 Tel (662) 658-8888
 Fax (662) 658-8000
 Website <http://www.kgieworld.co.th>

Agreement Appointment of Agent and/or Broker for Securities Trading

Date _____

This Agreement is made between _____ Nationality: _____
 Age _____ Years holding Identity Card No. _____ issued by _____ dated _____
 spouse's name _____ residing at _____ Trok/Soi _____ Road _____
 Sub-District, _____ District _____ Province, _____
 Telephone Number _____ Office's name _____
 located at _____
 Telephone Number _____ hereinafter referred to as the "Customer" on the one part;
 and

KGI Securities (Thailand) Public Company Limited, head office located at 173 Asia Centre Building , Floor 8th ,9th,10th,11th South Sathorn Road, Tungmahamek sub-district, Sathorn district, Bangkok 10120, hereinafter referred to as the "Company" on the other part.

WHEREAS: the Company has registered as a juristic person under the law and obtained the approval from the Ministry of Finance to operate the business of trading and/or agent/broker for securities trading either within and outside the Securities Exchange of Thailand and elsewhere; and

WHEREAS: the Customer has executed the application for opening securities trading account with the Company and agreed to appoint the Company to act as its agent and/or broker for securities trading and the Company has accepted such appointment.

The Company and the Customer hereby agree as follows:

Definitions

Clause 1. In this Agreement, unless the context otherwise requires, the following terms shall have the following meanings:

"SEC" means the Office of the Securities and Exchange Commission and shall include the Securities Exchange Commission;

"Securities Exchange" means the Securities Exchange of Thailand or any other securities trading centers supervised and controlled by the Securities Exchange of Thailand or regulatory bodies;

"Depository Center" means the Thailand Securities Depository Co., Ltd. or any other centers dealing with the deposit and withdrawal of Securities pursuant to the law of Securities and Securities Exchange;

"Securities" means (1) shares, debentures, investment units, treasury bills, bonds, bills, certificate representing the rights to purchase shares, certificate representing the rights to purchase debentures, certificate representing the rights to purchase investment units and any other instruments as specified by the Office of the Securities and Exchange Commission (in case of trading through Cash Account); or (2) listed securities or any other securities as specified by SEC and/or Securities Exchange and/or any other regulatory bodies which are available for trading through the internet system (in case of trading through Internet Trading Account);

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In this regard, the Securities under (1) and (2) shall include benefit, dividend, rights to subscribe for Securities and any other rights attached thereto;

“**Property**” means (1) cash; (2) Securities; (3) other properties; (4) any interests arising from the Property in (1)-(3) such as rights in the dividend or interest, rights to purchase new shares due to capital increase and rights to attend and vote in the Securities holders meeting, etc.;

“**Trading**” means purchase and/or sale of Securities either within and/or outside the Securities Exchange whether the purchase upon the orders of the Customer or the Company has purchased for or in the name of the Customer as the agent and/or broker or in accordance with the agreement prescribed herein, and shall include the subscription therefor;

“**User Name and Password**” means a personal code of the Customer determined by the Company for the purpose of Securities Trading through the internet system and/or other transactions hereunder;

“**Advance**” means the money payable by the Company or paid for the remuneration or the prices of Securities purchased for the Customer upon the orders of the Customer or in accordance with the agreement prescribed herein including fees, brokerage fees, commission, fines, taxes and any other expenses in relation to the purchase of such Securities; and

“**Business Day**” means a day on which any securities company in Thailand is open for business.

Securities Trading

Clause 2. The Customer agrees to appoint and authorize the Company to act as its agent and/or broker for Securities Trading either within and outside the Securities Exchange whereby the Customer agrees to be liable to pay the Company the fees, brokerage fees, commission, taxes, stamp duties including any other expenses in relation to the purchase of Securities hereunder at the rate prescribed by the Securities Exchange or at the rate to be agreed upon by both parties.

Clause 3. In making orders for Securities Trading hereunder, the Customer or persons authorized by the Customer only shall contact with marketing officers of the Company personally as well as make Trading orders in the form prescribed by the Company. However, in making Securities Trading orders, the Customer may make orders in writing or in verbal or submit orders personally through the internet system or other communication device such as telephone, telex, facsimile, mail or other means to be available in the future and such orders shall be deemed as duly orders of the Customer and the Customer shall be binding thereupon as if the Customer has made such orders personally in all respects.

In this regard, the Customer acknowledges and understands that in making orders for Securities Trading on each transaction, the Customer uses its own discretion in making such orders. All news, information or any advice relating to the Securities Trading whether disseminated by any person, through any media or whether by the Company itself or any of its officers shall not be binding nor establish any liability to the Company in any respect.

Clause 4. The Customer acknowledges that orders for Securities Trading on each day shall be effective from the time of submitting orders until the closing time of the Securities Exchange for Securities Trading on the particular Business Day only. Therefore, the Customer shall be obliged to accept, confirm and check the results of such orders for Securities Trading including the names, amount and prices of the Securities at every time whether in verbal, in writing, internet system, any media or by the means to be prescribed by the Company in the future. In case the Company can transact the Securities Trading upon the orders of the Customer whether in whole or in part, the Company shall prepare documents in the form prescribed by the Company to inform or confirm with the Customer of the orders for Securities Trading. In case of any mistake or error, the Customer shall make an objection in writing to the results of such Securities Trading as appeared in such documents within the due date. If the Customer fails to do so, the Customer agrees to accept that the transactions appeared in the documents prepared by the Company are correct. In case the Company fails to prepare and submit the Customer the documents confirming the results of Securities Trading or the Customer has not received such documents by any reason whatsoever, the Customer agrees to accept the results of such Securities Trading and be bound to comply with the agreement hereunder without any objection.

Clause 5. In making orders for Securities Trading hereunder, the Customer accepts that they are the orders for Securities Trading according to the names, categories, types, amount and prices as the Customer wished to purchase or sell only. They will not be specified or described in particular that the Securities Trading is made for any person or under what name such purchased or sold Securities is held for ownership. When the Company shall accept or deliver the Securities to the purchaser, seller or the Customer, the Company shall have the right to accept or deliver the Securities having the same type and amount in place. In making orders for Securities Trading by the Company upon the orders of the Customer, the Company shall be empowered to transact the Securities Trading that the Company holds and/or the Company acts as the agent and/or broker of other persons at the same time.

In addition, the Customer acknowledges that the Company does not give any promise or undertaking to it that the Company shall purchase or sell the Securities for the Customer according to the names, types or categories at the prices

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appeared in the orders of the Customer within the day the Customer has made the orders for Securities Trading whether in whole or in part. Also, the Company shall not be liable for any damage incurred to the Customer by reason of the Company cannot transact, in whole or in part, the Securities Trading in accordance with the orders of the Customer.

Clause 6. In Securities Trading, the Customer agrees not to make orders for Securities Trading in excess of the Trading limit for each account as approved by the Company. In this regard, the Company, at its sole discretion, may increase or decrease the Trading limit at any time without obtaining prior consent of the Customer and the Customer thereby, without notice given by the Company, accepts such increase or decrease of Trading limit.

Clause 7. The Customer agrees and acknowledges that the Company has the duly right and power to refuse the orders for Securities Trading made by the Customer without giving any reason thereof and the Company shall not be liable to the Customer for any damage arising from the refusal of such orders.

Clause 8. The Customer may change or cancel the orders for Securities Trading by notifying the Company thereof during the Trading hours of the Securities Exchange and prior to the Trading upon orders of the Customer would have been completed in whole or in part. Such change or cancellation orders shall be effective only when the confirmation of the Company to change or cancel is given. In any case, it shall not affect any transaction performed by the Company prior to the confirmation of the Company to change or cancel such orders is given.

Debts and Payment

Clause 9. When the Customer has made the orders to purchase Securities and the Company can purchase the Securities upon such orders whether in the whole amount or not, the Customer shall pay the purchasing price including fees, commission, brokerage fees, taxes and any other expenses in relation to the purchase of such Securities to the Company no later than the third Business Day commencing from the date that the Company has purchased such Securities or any other days as prescribed by the Securities Exchange or the Company whether the Customer has made the orders to sell and/or sold the Securities purchased by the Company upon the orders of the Customer in advance or not.

Thus, the customer agrees to pay the purchasing price payment according to the method that prescribed by the Securities Exchange and/or the Company. Therefore, if the Company can find that the Customer could not settle the said purchasing price payment as specific method with/without any reasons, the Company has authorized to change the type of Customer's Securities trading account to be "Cash Balance Account" immediately (automatically) without giving prior notice or consent from the Customer and the Customer agrees to comply with the rule of Cash Balance Account without any objection. In case of the payment method that stipulated by the Securities Exchange and/or the Company mentioned that the Customer can settle the purchasing price or any encumbered charges by cheque, it deems as the Customer has paid the said purchasing price and any encumbered charges as on the date that the cheque has been honored and collected by the Company.

Beside, "Cash balance account" means an account in which the Customer agrees to places the full purchasing price of Securities with the Company before trading Securities, or having the terms which allows the Company to debit the Customer's bank account for the total purchasing price before trading Securities, or to which the Customer transfers payment for purchase of Securities. The Customer shall not makes order to sell Securities if the Customer has no such Securities deposited in this account, and the Trading limit is equal to cash in this account (in case the Customer places the purchasing price of Securities by cheque, the Company will calculate the amount on such cheque as Trading limit on the date that such cheque has been honored and collected by the Company). For the terms of rate and payment of interest of cash, the method of deposit or withdrawal of cash and/or Securities and/or any Property in this account etc, the Customer agrees to comply with the provision of "Custody of Customer Property" or any provisions as stipulated in this agreement.

Clause 10. When the Customer has paid the purchasing price within the time stipulated in Clause 9, the Company shall deliver the Securities to the Customer within the day as prescribed by the Securities Exchange or the Company except in the case that the Company is unable to deliver such Securities to the Customer without the fault of the Company, the Company shall produce other evidences to the Customer in place and shall arrange for delivery of such Securities to the Customer accordingly. In case the Company has transferred the Securities through the deposit account at the Depository Center arranging for deposit, withdrawal or transfer of Securities for the Customer or the Company has held in the custody the Securities upon the purchase orders of the Customer, it shall be deemed that the Company has delivered such Securities to the Customer.

Clause 11. In case the Customer fails to pay the purchasing price as stipulated in Clause 9, the Customer agrees to deem that such money shall be the Advance borrowed from the Company by the Customer and allows the Company to charge interest on such loan at the rate prescribed in Clause 12 commencing from the day the Customer has defaulted until the payment is made in full. In addition, the Customer agrees to allow the Company to force sale of Securities of the Customer in every account which are in the custody of the Company and apply the proceeds to pay the debts including fines at the rate prescribed by the Securities Exchange completely without giving prior notice to the Customer. In this regards, it shall be irrespective of whether or not

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such Securities forced sale are the Securities defaulted or deposited or delivered to the custody of the Company by the Customer for any purpose. In case the proceeds deriving from the force sale is insufficient to pay such debts, the Customer agrees to be fully liable to the Company for the difference and allows the Company to exercise its right in court to enforce the Customer to pay the debts immediately. In case of any balance after deduction of the debts to the satisfaction of the Company, the Company shall deliver to the Customer.

In force sale of such Securities, although it is found that the Company has sold at the price lower than the market price at that time, or the market price of such Securities has increased after such sale, the Customer agrees absolutely not to claim for any compensation or damage from the Company.

Clause 12. The Customer agrees to pay interest on the outstanding debts hereunder to the Company at the maximum rate in accordance with the notification of the Company which is the interest rate of percent per annum, the maximum rate as permitted by law allowing any securities company to charge from default customers. In case the Company prescribes and announces the change of such interest rate thereafter whether to increase or decrease, the Customer agrees to pay interest at the new rate as prescribed and announced by the Company commencing from the date on which such notification becomes effective without any notice given.

Clause 13. In case the Customer has made the orders to sell Securities and the Company can sell the Securities upon such orders whether in whole or in part and the Customer has delivered the Securities to the Company as prescribed in Clause 14, the Company shall pay the money deriving from such sale of Securities after deducting fees, commission, brokerage fees, taxes and any other expenses in relation to the sale of such Securities to the Customer within the third Business Day commencing from the date that the Company has sold such Securities or any other days as prescribed by the Securities Exchange or the Company. However, the Customer agrees to allow the Company to have the right, at any time, to settle the debts or take hold of the proceeds deriving from the sale of Securities after deducting such expenses for the benefit of payment of all debts that the Customer owes to the Company.

Clause 14. The Customer promises to deliver the Securities sold by the Company upon the orders of the Customer to the Company in accordance with the schedule as follows:

- 14.1 deliver the Securities to the Company before 12.00 a.m. on any Business Day following the day on which the Securities have been sold or in accordance with the regulations and procedures of the Securities Exchange relating thereto;
- 14.2 in case the Customer has transferred the Securities through the deposit account at the Depository Center arranging for deposit, withdrawal or transfer of Securities to the Company or the Customer has ordered the Company to deliver the Securities from the account of the Customer kept in custody before 12.00 a.m., it shall be deemed that the Customer has delivered the Securities to the Company in accordance with the foregoing paragraph;
- 14.3 in case the Customer has the Securities which are designated to be held in the custody of the Company which shall include the Securities of the Customer deposited with the Depository Center by the Company, the Customer agrees to allow the Company to be able to deliver such Securities held in the custody.

Clause 15. In case the Customer fails to deliver the Securities sold by the Company upon the orders of the Customer to the Company as prescribed in Clause 14 or as prescribed by the Securities Exchange, as the case may be, the Customer agrees to allow the Company to force purchase such Securities back in order to deliver in place immediately including allow the Company to proceed any action as the Company deems appropriate to solve such arising problem without giving prior notice to the Customer. The Customer agrees to be liable for the Advance including fines at the rate prescribed by the Securities Exchange as well as other damages incurred to the Company as a result of failure to deliver the Securities of the Customer. The Customer agrees to allow the Company to charge interest at the rate prescribed in Clause 12 commencing from the date the Customer has defaulted until the payment is made in full. Such force purchase shall not prejudice the Company in claiming the outstanding debts from the Customer. In this regard, if there is any profit arising from the force purchase of Securities back, the Customer agrees to give all interests to the Securities Exchange.

Clause 16. The Customer agrees to allow the Company to take hold of Securities purchased by the Company upon the orders of the Customer and/or the Securities purchased by the Company for the benefit of the Customer in accordance with the agreement contained herein or any other agreements to be executed between the Customer and the Company in the future and/or the Property and/or any other interests deposited with the Company or delivered, designated the Company to hold in custody for the purpose of custody or by any reason whatsoever, as the collateral for payment of all debts that the Customer owes to the Company without limiting that the Securities, Property or any other rights in each transaction will be the collateral only for the debts arising from the Securities Trading for that particular transaction. The Customer agrees to allow the Company

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to take hold of such Property until the Customer has paid the debts to the Company in full including allow the Company to apply cash or sell the Securities, Property or apply any other interests derived from the Securities of the Customer such as interest, dividend, etc. to settle the debts owed to the Company completely without giving notice to the Customer.

Clause 17. In case the Customer still has the outstanding debts with the Company, the Customer agrees to allow the Company to subscribe for the Securities or accept the transfer of any interests in the case that such Securities is subject to capital increase, dividend payment and offer of any other interests by using the name of the Company or the person assigned by the Company to be a subscriber for Securities and/or to hold the Securities for the Customer. The Customer shall pay the subscription price for Securities, fees and/or commission and/or remuneration and/or brokerage fees, fines including taxes and all any other expenses to the Company within the time stipulated by the Company. In case the Customer fails to pay such subscription price within the stipulated time, the Customer agrees to allow the Company to have the right, at its option, to proceed any action as the Company deems appropriate as follows:

- 17.1 the Company pays money in advance whereby such money shall be deemed as the Advance borrowed from the Company by the Customer which the Customer shall repay to the Company immediately. The Customer agrees to allow the Company to charge interest at the rate prescribed in Clause 12 commencing from the date the Customer has defaulted until the payment is made in full without obtaining prior consent of the Customer. In this regard, the Customer agrees to allow the Company to hold the Securities derived from the subscription as the collateral for payment of debts that the Customer owes to the Company including allow the Company to apply the dividend, benefit and/or any interests arising from the Securities to settle the debts that the Customer owes to the Company without giving prior notice to the Customer; or
- 17.2 the Company deems that the Customer has waived its rights to subscribe or accept the transfer of such Securities and the Customer agrees to allow the Company to subscribe or accept the transfer of such Securities in the name of the Company and/or other persons whereby the Customer has no right of objection or claim for such Securities or any money against the Company in any respect without obtaining prior written consent of the Customer.

Clause 18. In case the Customer is dead or becomes an incompetent or quasi-incompetent or being filed the lawsuit or any other cases as the Company deems appropriate to protect its own interests, the Customer agrees to allow the Company to proceed any action for payment of debts of the Customer to the Company as follows:

- 18.1 to sell, in whole or in part, the Securities or Property or any other rights of the Customer which are in the possession of the Company;
- 18.2 to purchase, in whole or in part, Securities to compensate the Company in lieu of the Securities that the Customer has ordered the Company to sell but not yet delivered to the Company;
- 18.3 to cancel the orders to purchase or sell the Securities which the Customer has made but the Company has not yet transacted.

In this regard, the above process shall not preclude the right of the Company to claim for the outstanding debts owed to the Company by the Customer.

Securities Trading through Internet System

Clause 19. In case the Customer wishes to transact the Securities Trading through the internet system, the Customer shall inform the Company of its intention to use such service in the form as prescribed by the Company. When the Company has approved the opening of an account of Securities Trading through the internet system ("Internet Account") for the Customer, the Company shall inform the Customer of the User Name and Password. The Customer shall change its User Name and Password immediately in order to prevent other persons to have access thereto. The Customer shall also keep its User Name and Password confidential including procure any measure to prevent other persons to have access to or use its User Name and Password. The Customer agrees and acknowledges that in case any person uses its User Name and Password to make orders for Securities Trading or search for information in the internet system or the Securities Trading system and/or perform any other acts due to the use of its User Name and Password, the Customer agrees to be bound and be liable for all consequences and damages incurred as if the Customer has performed by itself in all respects.

Clause 20. In Securities Trading through the internet system, the Customer shall deposit or arrange for the deposit of money with the Company for the purpose of payment for purchasing price in the amount not less than the purchasing price or at the rate as the Company may prescribe from time to time unless otherwise agreed by the Company. In this regard, the Customer agrees to appoint and authorize the Company to withdraw the balance in the Internet Account of the Customer to pay the purchasing price and/or other debts owed to the Company by the Customer under the Internet Account without any condition. The Company, at its sole discretion, may prescribe the interest on the

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balance in the Internet Account of the Customer at the rate and conditions to be prescribed by the Company from time to time.

Clause 21. In making orders to sell the Securities through the internet system, the Customer shall arrange for the deposit and delivery of the Securities to the Internet Account prior to the sale of such Securities or prior to the Company transacts such orders to sell the Securities for the Customer.

Clause 22. The Customer understands and acknowledges of risks which may arise from the Securities Trading through the internet system such as any loss of information during transmission process, any delay of information transmission or inability of information transmission including any interruption of network and any error of information received due to the restriction of the internet system usage. In case of any damage arising therefrom, the Customer agrees not to claim for any damage against the Company and agrees to be liable for such risks by itself.

Clause 23. The Customer well understands and acknowledges of the laws, rules, conditions and regulations relating to the Securities Trading through the internet system and agrees to be bound by the laws, rules, regulations and notifications either at present or to be amended in the future from time to time.

Clause 24. In addition to the provisions specifically contained in this Chapter, all other agreements pertaining to payment of purchasing price, deposit of money, refund, deduction of money deposited, fees, commission, acknowledgement of risks in Securities Trading, any other rights and obligations between the Company and the Customer, etc., the Customer agrees to comply with and be bound by the conditions contained in other Chapters under this Agreement or under conditions or notifications prescribed by the Securities Exchange and/or the SEC in all respects.

Custody of Customer Property

Clause 25. The Customer agrees to allow the Company to maintain the Property of the Customer for the purpose of custody or for purchase or sale or borrowing or lending the Securities or for collateral for Trading or borrowing or lending the Securities or for any other purposes under the laws. The Customer agrees to pay fees to the Company at the rate and method of payment as the Company may prescribe or announce to the Customer from time to time.

Clause 26. The Customer acknowledges and understands that the withdrawal of Property shall be made in writing in accordance with the form prescribed by the Company and the Customer shall proceed with the followings for the deposit and withdrawal of Property:

- 26.1 in case of deposit of Securities, the Customer agrees to allow the Company to maintain in accordance with the regulations and procedures of the Depository Center;
- 26.2 in case of withdrawal of Securities, the Customer shall inform the Company in advance of its intention in accordance with the Securities deposit and withdrawal system of the Depository Center whereby the Customer can withdraw the Property not exceeding the actual amount after deduction of the debts burden of the Customer.

Clause 27. The Customer has well acknowledged that its Property deposited with the Company shall not be subject to the protection of the Financial Institutions Development Fund (FIDF). In case the Company deposits the money of the Customer with any commercial bank or other banks established by the specific law including the investment in the promissory notes issued by such finance company and financial institutions, the money of the Customer shall be subject to the protection measure of FIDF. In this regard, the benefit that the Customer would receive shall not be in excess of the benefit that the Company would receive from such investment and the Company shall announce the payment of benefit from time to time.

Clause 28. The Company shall not appoint any person to act as its agent to maintain the Property of the Customer except in the case of deposit of Securities with the Depository Center or the Bank of Thailand or other institutions as the Office of the Securities and Exchange Commission may approve.

Clause 29. The Company shall not be able to take the Property of any customer to make use for the benefit of another customer or for the benefit of other persons or the Company itself unless a written consent of the particular customer is obtained.

Clause 30. The Company shall submit a Property report to the Customer once a month except the month that the Customer has no transaction which shall make a movement or change of the Property deposited with the Company for custody hereunder. In case the Customer has no transaction for more than 6 months, the Company shall submit a Property report in every 6 months.

Clause 31. The Company shall record the list of Property, separate the Property and maintain the Property of the Customer in accordance with the procedures as prescribed by the Office of the Securities Exchange in the notifications of the Securities and Exchange Commission No. Gor. Thor. 4/2543 Re: Maintenance of Customer Property of the Securities Company dated January 4, 2000 including the laws, notifications, rules and regulations of regulatory bodies either at present or to be amended in the future.

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Effect of Agreement and Termination

Clause 32. In operating Securities business of the Company, the Company shall be obliged to comply with the regulations or orders of the regulatory bodies. Therefore, in case the orders to purchase or sell the Securities or any act or omission of the Customer causes the Company and/or directors or staff of the Company to be fined or penalized or causes any liability and/or damage to any person whether with intention or not, the Customer agrees to pay compensation for such damage to the Company and/or such person in full as soon as the Company informs the Customer thereof without any objection. .

In case of legal disputes between the Company and the Customer arising from or relating to the Securities Trading under this Agreement, the Customer is entitled to solve the legal disputes by submitting a complaint to the SEC in order for such legal dispute to settled by the Arbitration accordance with the criteria and procedures as prescribed by the SEC.

Clause 33. The Securities Trading, Advance, debts burden and/or the Securities of the Customer transacted or having with Company or in the possession of the Company prior to the execution of this Agreement shall be deemed that the evidences thereof are the evidences and shall be form as part of this Agreement. In case the Customer has made any commitment or agreement in the same matter with the Company prior to the execution of this Agreement, it shall be deemed that such commitment or agreement shall remain in full force and effect except in case of any conflict, this Agreement shall prevail. The Customer has the right to suspend the use of service of Securities Trading with the Company hereunder at any time and this Agreement shall remain in full force and effect unless the Company exercises its right to terminate the Agreement as prescribed in Clause 37.

Clause 34. The Customer agrees and acknowledges that the Company has the right to record any message or conversation between the Customer and the Company through the telephone, internet system or other means and use such recording whether in whole or in part only for the purpose of verifying the correctness of the Securities Trading and disclose to the SEC, the Securities Exchange, the legal advisor or the financial advisor of the Company including to use such recording as the evidence in the court or arbitration proceedings or the dispute adjudication between the parties.

Clause 35. Failure to exercise any right by the Company whether to demand, claim for payment or perform any other acts that the Company has the right hereunder shall be deemed as an indulgence or omission for that time only and it shall not be deemed as a waiver of the right of the Company in exercising such right. The Company has the right to demand the Customer to perform any act or pay the debts to the Company in full at any time.

Clause 36. In case the Company, at its option, perform any act resulting to the benefit to the Customer, it shall not be binding the Company to perform such act continuously.

Clause 37. The Customer understands and acknowledges that the Securities Trading in the Securities Exchange has risks due to the value and return from such Securities Trading may fluctuate by varying upon the level of Securities prices invested, liquidity of the Securities Exchange or general investment climate which may have the volatility from the unforeseeable circumstance. Therefore, the Customer may not receive the investment money and benefit equal to the amount of money invested.

Notwithstanding, the Customer understands and acknowledges that this provision may not cover all risks which may arise from Securities Trading. Therefore, the Customer may have other risks that not specified in this provision. The Company acting as the broker for Securities Trading is not the guarantee that the Company will be able to protect all risks which may arise. Thus, the Customer shall use its own prudential discretion in making decision to transact the Securities Trading to be consistent with the level of return and risks that acceptable to it. In this regard, the Customer understands and acknowledges of risks of certificates representing derivative rights as the Company informed the Customer in the leaflet information with regard to the knowledge of trading the certificates representing derivative rights and it shall be deemed that the Customer has acknowledged and understood the risks of investment in other Securities that the relevant authorities may announce in the future.

Clause 38. Any notice or correspondence to be given to the Customer hereunder, if not specifically prescribed to be made in writing, the Company has the right, at its option, to inform or give notice by telephone or letter which may be sent by any practicable means such as by mail, telegraph, telex, facsimile, etc. or through the internet system (in case the Customer transacts the Securities Trading through the internet system).

In this regard, when the Company has sent or informed such notice or correspondence to the address or telephone number of the Customer specified above in this Agreement or at the address, telephone number, place or contact number by any other means as the Customer may inform or agree with the Company in writing hereafter whether the Customer has received by itself or by other persons, it shall be deemed to have been duly served to the Customer. However, in case such number or address has been changed or removed or closed or no recipient or the officer informed that the address could not be found, it shall be deemed that the Customer has duly received such notice or correspondence.

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Clause 39. In case the Customer or the person authorized by the Customer is the staff of other securities companies, the Customer agrees to allow the Company to inform such securities companies in writing of the account of the Customer opened with the Company including to send the information regarding the monthly report of Securities Trading of the Customer or the person authorized by the Customer to such securities companies.

Clause 40. The Customer agrees to allow the Company to have the right to transfer the debts or any claim of the Company against the Customer whether in whole or in part to other persons as the Company deems appropriate. The Customer agrees to be bound to pay its debts until the Company or the transferee shall receive the payment from the Customer in full. However, all claims of the Customer hereunder shall be deemed as personal right only. The Customer shall not transfer its debts or any claim hereunder to other persons unless a prior written consent of the Company is obtained.

Clause 41. The Customer agrees not to claim, sue or take legal action or other actions against the Company for any damage sustained by the Customer as a result of the act, omission or liability of the Securities Exchange or any other persons beyond the control of the Company such as the damage arising from the delay of receiving the Securities certificates by the Customer, etc. For the purpose of this Agreement, the Securities of the Customer deposited in the Securities deposit account opened with the Depository Center shall be deemed as if the Company has held and taken possession by its own.

Clause 42. This Agreement shall be governed by and construed in accordance with the laws of Thailand. In case any provision becomes contrary to the laws or unenforceable, if it becomes null and void, both parties agree that only such provision or such case that becomes contrary, unenforceable or null and void and both parties shall be bound by the remaining valid and enforceable provisions. In case of any dispute arising from the interpretation of meaning of any provision hereof, such provision shall be interpreted in the sense which would give enforceable effect rather than that would have no effect.

Clause 43. In case the laws, rules, regulations and notifications have been changed or amended which have the effect to the conditions of any provision hereunder or the notifications that the Company has to comply therewith, both parties agree that such laws, rules, regulations and relevant notifications that have been changed or amended shall apply unless otherwise agreed by the Company. In this regard, the Customer agrees that the Company has the right to change or amend this Agreement as the Company deems appropriate without obtaining a prior consent of the Customer and the Customer agrees to strictly comply therewith.

Clause 44. This Agreement shall be in full force and effect for an indefinite period. The Company shall be able to terminate this Agreement at any time immediately without giving prior notice to the Customer. In case the Customer wishes to terminate this Agreement, the Customer shall give the Company an advance written notice at least 7 (seven) days prior to the termination. Such termination shall not affect the rights and obligations of both parties arising prior to the termination becomes effective.

In case the Customer commits any “Predicate offense” under Anti-Money Laundering Act of B.E.2542 and/or Royal Decree , Ministerial Regulation, Rule and Notifications in accordance with this Act (hereinafter referred to as “Anti-Money Laundering Law”), the Customer agrees that the Company is entitled to freeze the relationship with the Customer by without giving any prior written notice. In this regard, the Company is entitled to proceeds any action under Clause 18. of this Agreement and/or to perform any action as stipulated in the Anti-Money Laundering Law and/or applicable laws and regulations.

Clause 45. In appointment and authorization hereunder, this Agreement shall be deemed as an power of attorney executed by the Customer authorizing the Company to perform any act on behalf of the Customer as follows:

- 45.1 to purchase, sell, transfer, accept the transfer and subscribe for the Securities trading in the Securities Exchange of Thailand and elsewhere in the amount and at the price upon the orders of the Customer including to accept, deliver and take possession of such Securities;
- 45.2 to pay the purchasing price, fees, stamp duties and any other expenses in relation to the Trading or dispose of Securities, demand and receive payment for selling value including the dividend, interest and any other rights arising from the Securities as well as the deduction of tax and/or income tax and deliver the same to the Revenue Department;

For the purpose of first paragraph, the Company has the authority to deposit and/or withdraw cash from the Securities Trading account or Cash balance account. Moreover, the Company has the authority to instruct the Bank to debit the Customer's bank account for any payment in whole or in part of debt and/or obligations in relation to the Securities Trading of the Customer or any transactions regarding to derivative product, equity product, fixed income product and/or unit trust product owe to the Company on the signing of this Agreement or which will be arise in the future. In the regard, the Company has its sole discretion as the Company deem appropriate for such bank account debit instruction by without any prior consent from the Customer.

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The above authority is including but not limited to the debit of bank account for any payment of fees, taxes, duty, interest, fine, purchase price / subscription, expenses, to submit the property as the collateral in the account or to create / add up purchasing power and/or other debt and obligations in which due or shall become due. In case of any change to such bank account number, the Customer hereby agree that this authority shall be in full forced and effect in accordance with such change also.

- 45.3 to deposit-withdraw cash or other Property placed as collateral in the account for Securities Trading of the Customer in order to pay the purchasing price, the subscription price and/or any other expenses arising from the Securities Trading or taking rights in the Securities upon an order of the Customer to be given from time to time;
- 45.4 to accept the transfer of Securities or rights in the Securities that the Customer has made the orders to purchase hereunder to the name of the Company as the agent of the Customer and exercise the right of such Securities to attend the shareholders meeting and vote in the meeting on behalf of the Customer in all cases;
- 45.5 to apply the selling value and/or the benefits of the Securities under Clause 45.2 above to pay the debts of the Customer and/or to pledge the Securities that the Company has purchased for the Customer as the collateral for payment of debts of the Customer as the Company deems appropriate;
- 45.6 to allow the Company to deliver or place as collateral the Securities purchased or taken possession for the Customer including to pledge and/or register the pledge as collateral for payment of all debts of the Customer owed to the Company by the Customer or the debts of the Customer owed to other persons in case the Company has given the Advance in Securities Trading for the Customer hereunder;
- 45.7 to appoint sub-agent to perform any act on behalf of the Company whereby the sub-agent has the same power as the Company pursuant to the power authorized herein;
- 45.8 to dispose of the Securities taken possession or acquired from acting as the authorized person and/or enforce the pledge of promissory notes pledged as collateral and receive money from such act to pay the debts of the Customer;
- 45.9 to execute and/or sign in any relevant and necessary letter, document or instrument to achieve the purpose of this Agreement.

In this regard, the Customer shall be responsible for any act duly performed hereunder by the Company, the sub-attorney appointed by the Company by virtue of this Agreement and shall be binding upon the Customer as if such act has been performed by the Customer itself in all respects.

Clause 46. The Customer confirms that at the time of execution of this Agreement the Customer has a totally sound mind and has read and understood the contents of the Agreement thoroughly and has no any objection. In this regard, the Customer agrees absolutely not to raise the ignorance or unintelligible contents of any page hereof against the Company hereafter.

This Agreement Appointment of Agent and/or Broker for Securities Trading have nine pages. Both parties have read and understood the contents of every page hereof thoroughly and found that they are consistent with their intentions in all respects and thereby signed their names hereunder having legal binding upon the agreement in every page in the presence of witnesses on the day and year first above written.

Signed _____ Customer Signed _____ Company
(_____) KGI Securities (Thailand) Public Company Limited

Signed _____ Witness/Spouse Signed _____ Witness
(_____) (_____)



Duty Stamp
30 Baht

หนังสือมอบอำนาจ
Power of Attorney

ทำที่ / Place _____

วันที่ / Date _____

ข้าพเจ้า / I, We _____ อยู่บ้านเลขที่ / residing at _____

ตรอก/ซอย / Trok/Soi _____ ถนน / Road _____ แขวง/ตำบล / Sub-district _____

เขต/อำเภอ / District _____ จังหวัด / Province _____ รหัสไปรษณีย์ / Post code _____

ซึ่งต่อไปนี้จะเรียกว่า “ผู้มอบอำนาจ” ได้ทำหนังสือฉบับนี้เพื่อแสดงว่าได้มอบอำนาจให้ _____

(ความสัมพันธ์ระหว่างผู้มอบอำนาจและผู้รับมอบอำนาจ _____)

ซึ่งต่อไปนี้จะเรียกว่า “ผู้รับมอบอำนาจ” เป็นผู้รับมอบอำนาจทั่วไป เพื่อทำการซื้อขายหลักทรัพย์ในตลาดหลักทรัพย์แห่งประเทศไทยและที่อื่นแทนผู้มอบอำนาจ โดยให้ผู้รับมอบอำนาจมีอำนาจกระทำการใด ๆ และทั้งปวงแทนผู้มอบอำนาจได้ดังต่อไปนี้

hereinafter referred to as “the Grantor” given this document an authority to _____

(the relationship between the Grantor and the Grantee _____)

hereinafter referred to as “the Grantee” to act as a general grantee for Securities Trading in the Stock Exchange of Thailand and other place instead of the Grantor and the Grantee shall act on behalf of the Grantor as follows:

ข้อ 1. ซื้อ ขาย โอน รับโอน และจองซื้อหลักทรัพย์ทุกชนิดทุกประเภทที่ซื้อขายกันในตลาดหลักทรัพย์แห่งประเทศไทย และที่อื่น แทนผู้มอบอำนาจ ตลอดจนทั้งรับมอบ ส่งมอบ ถือครอบครองหลักทรัพย์ดังกล่าว

Clause 1. To buy, sell, transfer, accept transfer and subscribe in securities trading on and off the Stock Exchange of Thailand and thereby on behalf of the Grantor including hand over, delivery, and retaining such securities

ข้อ 2. ชำระเงินค่าซื้อหลักทรัพย์ ค่าธรรมเนียม อากรแสตมป์ และค่าใช้จ่ายใดๆ ทั้งปวงที่เกี่ยวกับการซื้อขาย หรือจำหน่ายโอนหลักทรัพย์ ทางถาวร และรับชำระเงินค่าขายหลักทรัพย์ รวมทั้งเงินปันผล ดอกเบี้ย หรือสิทธิอื่นใดที่เกิดจากหลักทรัพย์ รวมทั้งการหักภาษีการค้า และ/หรือ ภาษีเงินได้ และนำส่งกรมสรรพากร

Clause 2. To repay for the purchase of securities, fee, stamp duty and any other expenses related to the securities trading or and transfer the securities demand for receipt of the proceeds from selling of securities including dividend, interest, or any rights arising from such securities and deduction of business income tax and /or income tax and submit to the Revenue Department

ข้อ 3. รับโอนหลักทรัพย์ หรือสิทธิในหลักทรัพย์ เข้าชื่อผู้รับมอบอำนาจในฐานะตัวแทนของผู้มอบอำนาจ และใช้สิทธิจากหลักทรัพย์นั้นเข้าประชุมผู้ถือหุ้น และออกเสียงแทนผู้มอบอำนาจในทุกกรณี

Clause 3. To accept transfer of securities or right in such securities into the Grantee’s name on behalf of the Grantor and use the rights from securities to attend the shareholders meeting and voting on behalf of the Grantor

ข้อ 4. ทำ และ/หรือ ลงนามในหนังสือ เอกสาร หรือตราสารใด ๆ ที่เกี่ยวข้องและจำเป็นเพื่อให้บรรลุวัตถุประสงค์แห่งหนังสือมอบอำนาจนี้

Clause 4. To exercise and/or sign in any letter, document or instrument related to and necessary to achieve the purpose of this Power of Attorney.

การใด ๆ ที่ผู้รับมอบอำนาจ ได้กระทำไปโดยชอบด้วยอำนาจตามหนังสือนี้ ผู้มอบอำนาจขอรับผิดชอบ และให้มีผลผูกพันเสมือนหนึ่งได้กระทำด้วยตนเองทั้งสิ้น / Any act performed by the Grantee in the extent hereof or the Agreement mentioned above shall be deemed as if done by myself/ourselves and I/We shall be responsible absolutely therefore.

เพื่อเป็นหลักฐาน จึงได้ลงลายมือชื่อไว้ต่อหน้าพยาน / IN WITNESS WHEREOF this Agreement has been executed on behalf of the parties hereto.

ลายมือชื่อ _____ ผู้มอบอำนาจ
Signature (_____) the Grantor

ลายมือชื่อ _____ ผู้รับมอบอำนาจ
Signature (_____) the Grantee

ลายมือชื่อ _____ พยาน
Signature (_____) Witness

ลายมือชื่อ _____ พยาน / คู่สมรส
Signature (_____) Witness/Spouse





บริษัทหลักทรัพย์ เคจีไอ (ประเทศไทย) จำกัด (มหาชน)

KGI Securities (Thailand) Public Company Limited

บัตรตัวอย่างลายเซ็น
Specimen Signature Card

วันที่ _____

ชื่อผู้ติดต่อ Contact Person _____ โทรศัพท์ _____

สถานที่ _____

ข้าพเจ้า/ผู้ใดผู้หนึ่ง/สองบุคคล ผู้มีนามและตัวอย่างลายเซ็นต่อท้ายหนังสือนี้ เป็นผู้มีอำนาจลงนามในการทำนิติกรรมสัญญา และ เอกสารทุกประเภท กับ บริษัท หลักทรัพย์ เคจีไอ (ประเทศไทย) จำกัด (มหาชน)

All legal documents shall be completed by me/any one/two person (s) being authorized signatory (ies) whose name (s) and specimen signature (s) appeared below.

| ชื่อ Name | ตัวอย่างลายเซ็น Specimen signature | |
|----------------------------|---------------------------------------|--|
| | | |
| | x | |
| | | |
| | x | |
| ชื่อบัญชี Account Title | | จำนวนลายเซ็น _____ ตรวจรับโดย _____ |



บริษัทหลักทรัพย์ เคจีไอ (ประเทศไทย) จำกัด (มหาชน)

KGI Securities (Thailand) Public Company Limited

บัตรตัวอย่างลายเซ็น
Specimen Signature Card

วันที่ _____

ชื่อผู้ติดต่อ Contact Person _____ โทรศัพท์ _____

สถานที่ _____

ข้าพเจ้า/ผู้ใดผู้หนึ่ง/สองบุคคล ผู้มีนามและตัวอย่างลายเซ็นต่อท้ายหนังสือนี้ เป็นผู้มีอำนาจลงนามในการทำนิติกรรมสัญญา และ เอกสารทุกประเภท กับ บริษัท หลักทรัพย์ เคจีไอ (ประเทศไทย) จำกัด (มหาชน)

All legal documents shall be completed by me/any one/two person (s) being authorized signatory (ies) whose name (s) and specimen signature (s) appeared below.

| ชื่อ Name | ตัวอย่างลายเซ็น Specimen signature | |
|----------------------------|---------------------------------------|--|
| | | |
| | x | |
| | | |
| | x | |
| ชื่อบัญชี Account Title | | จำนวนลายเซ็น _____ ตรวจรับโดย _____ |

