



APPLICATION

Date/...../.....

Account No.....

I / We wish to open an account with Kasikorn Securities PCL. The following data is for your consideration.

Type of Account

Equity Derivatives SBL Bond
Cash Cash Balance Credit Balance
Cash Credit Balance

Trading Channel

via Equity Wealth Manager
via Internet (Internet Trading)
Username..... E-Mail.....

1. Personal Data Fill in (A) for Individual client Fill in (B) for Corporate/ Institutional client

(A) Individual Client

Mr. Mrs. Miss Other
Name and Surname (English)..... (Thai).....
Nationality Date of Birth Age
Personal ID Card Passport Other
Card No. Expiry Date
Current Address No Building / Village Soi.....
Road..... Sub District
District Province Postal Code
Tel (Home) Mobile Phone
Fax E-Mail
Occupation / Nature of Business
Employee State Enterprise Officer Government Officer
Entrepreneur Doctor / Nurse Lecturer / Professor
Policeman / Soilder Student Other
Office Name Position
Address
Type of Business.....
Tel Fax
Education Lower than Bachelor Degree Bachelor Degree Master Degree or higher
Spouse Name (if any) No. of Children (If any)
Office Name Position
Type of Business Mobile Phone
Authorized Person No Yes Relationship
Contact Person in case of Emergency Relationship
Address Tel

(B) Corporate / Institutional Client

Company Name (English).....
(Thai).....

Type of Business Company No.
Country of Incorporation Date of Incorporation/...../.....
Registered Capital Paid Registered Capital Tax ID Card No.....

Company Address No..... Building Soi
Road..... Sub District
District Province Postal Code

Tel Fax

Custodian Name (If any)

Authorized person for Account Opening

Authorized person for securities trading

Name / Surname	Posiiton in Company	Tel. No	Signature
1
2
3

2. Investment Information

Purpose Long Term Short Term / Speculation Risk Protection

Investment Experience

Equity	<input type="checkbox"/>	Years	<input type="checkbox"/> Never invest
Derivatives	<input type="checkbox"/>	Years	<input type="checkbox"/> Never invest
Mutual Funds	<input type="checkbox"/>	Years	<input type="checkbox"/> Never invest

Investment Knowledge

Equity	<input type="checkbox"/> Excellent	<input type="checkbox"/> Good	<input type="checkbox"/> Fair	<input type="checkbox"/> Little / No
Derivatives	<input type="checkbox"/> Excellent	<input type="checkbox"/> Good	<input type="checkbox"/> Fair	<input type="checkbox"/> Little / No

Account Type Cash Credit Balance Internet Trading

Current Broker 1..... Credit LineTHB
2..... Credit LineTHB

3. Financial Information

Monthly Salary THB
Other Income THB Source of Income

Spouse's Monthly Salary THB
Spouse's Other Income THB Source of Income

(For Corporate Client)

Yearly IncomeTHB Net Profitfor (latest year)

Source of other income (if any)

Asset (Deposit / Mutual Fund / Equity) < 500,000 THB 500,000 - 5,000,000 THB > 5 MTHB
% Expense to Monthly Income < 25 % 25 - 50 % > 50 %

KASIKORNBANKGROUP's Products or Services

Deposit Credit Card Mutual Fund Loan Others.....

4. Bank Account Detail for Settlement

ATS Bank Account for Settlement

Kasikornbank Other bank

Branch Type of Account Account No

Bank Account for Interest / Dividend

same as ATS Bank Account

Other account

Bank Branch

Type of Account Account No

5. K-Stock 2 Fund Service (Automatic Stock Settlement via K-Treasury (Money Market Fund))

wish to apply for service

already have K-Treasury account

No K-Treasury account

6. Mailing Address

Current address (as mentioned above)

Other address No..... Building Soi

Road..... Sub District

District Province Postal Code

7. Additional Service : Settlement and News Update

7.1 Settlement Alert Service

via SMS no

do not wish to use the service

via Fax no

via E-Mail

7.2 Market Update via SMS (in accordance with KS conditions)

via SMS no

do not wish to use the service

8. Self-Identification Data

Ultimate beneficial owner of the transaction No Yes

Ultimate controlling person of the transaction No Yes

Engagement in Politics / Political Title No Yes

Spouse's Engagement in Politics / Political Title No Yes

List of Shareholder with 30 % holding 1..... holds % of registered capital

(For Corporate Client Only) 2..... holds % of registered capital

3..... holds % of registered capital

If shareholder with 30 % holder is corporate client, please identify the ultimate person (50 % onwards)

.....

Within past 3 years, have you and your spouse ever violated Money Laundering Acts Never Yes

If you ever violate Money Laundering Acts, please specify Year

I have clearly read all contexts and details and been contacted by the Kasikorn Securities officer.

I certify that the information stated herein is true and correct. I fully understand and know all laws, ordinances, rules, notifications, and regulations of the Securities and Exchange Commission, the Stock Exchange of Thailand, the Thailand Futures Exchange pcl, the Thailand Clearing House Co., Ltd, the Thailand Securities Depository Co., Ltd, the relevant agencies, and the Company in relation to the Securities and the Stock Exchange

I shall strictly comply with the foregoing, and I agree to allow the Company to audit and reveal my relevant information to the committee of the Securities and Exchange Commission, the Stock Exchange of Thailand, the Thailand Futures Exchange pcl, the Thailand Clearing House Co., Ltd and relevant agencies.

Signature

..... Applicant



APPOINTING BROKER FOR SECURITIES TRADING AGREEMENT

APPOINTING BROKER FOR SECURITIES TRADING AGREEMENT

THIS AGREEMENT is executed at KASIKORN SECURITIES PUBLIC COMPANY LIMITED on _____ between KASIKORN SECURITIES PUBLIC COMPANY LIMITED, with head office situated at 400/22, KASIKORNBANK Building, 19th Floor, Phaholyothin Road, Samsen-nai Sub-district, Phayathai District, Bangkok (hereinafter referred to as the “Company”) on the one part; and _____ residing at _____ (hereinafter referred to as the “Customer”) on the other part.

Whereas the Customer is desirous of appointing the Company as a broker for securities trading. Now, therefore, both parties agree as follows:

CLAUSE 1. DEFINITIONS

In this Agreement and any other relevant documents, unless otherwise specified, each of the following terms shall have the meaning as follows:

- “Securities” shall include shares, debentures, investment units e.g. instruments of evidence representing rights in assets of mutual funds, warrants to purchase shares, warrants to purchase debentures, warrants to purchase investment units, bills, treasury bills, bonds or any other instruments as to be prescribed by the Office of the Securities and Exchange Commission (SEC), including contracts, other instruments and proceeds thereof;
- “Stock Exchange” or “SET” shall include the Stock Exchange of Thailand, Over-the- Counter Center, Futures and Options Center and other exchange centers for securities trading in secondary market;
- “Securities Depository” shall mean a place acting as a center for depositing and withdrawing securities as well as other services in relation thereto for the purpose of settlement;
- “Affiliated Companies” shall mean parent company, subsidiaries companies and associated companies as defined by the notification of the Securities and Exchange Commission on criteria, conditions and methods on disclosure of financial status and operation by companies issuing securities;
- “Customer” shall include person(s) appointed or allowed to trade securities for or on behalf of the Customer;
- “Purchase” shall include subscription for Securities;
- “Advance” shall mean money paid by the Company for purchase or subscription of securities and fees or other expenses incurred from Securities trading on behalf of the Customer, and include any other expenses incurred from collection of the Customer’s debt.

CLAUSE 2. APPOINTMENT AND AUTHORIZATION AS BROKER FOR SECURITIES TRADING

Sign

The Customer hereby appoints and authorizes the Company as broker for Securities trading, both in and out of SET, for the Customer for all securities accounts opened by the Customer with the Company, via any trading system currently arranged by the Company or SET or subsequently created whereupon this Agreement shall constitute a power of attorney to act hereunder. The Customer also agrees to pay a commission fee to the Company at a rate prescribed by the Company including Value Added Tax, tax, fees and other related expenses (hereinafter referred to as "Commission") and agrees further that such Commission may be amended pursuant to rules and regulations as prescribed by SET or other relevant agencies.

The authorization under the preceding paragraph shall include authorization to arrange, hold, possess, maintain, transfer, receive transfer, deliver, make or receive payment, withdraw and deposit any Securities or the benefits in relation thereto to the Customer, notify Securities Registrar to identify the Company or persons identified by the Company to hold Securities on the Customer's behalf, exercise discretion in subscribing or exercising right of Securities vested in the Customer, pledge Securities, bills or other assets of the Customer, or enter into any agreement granting right to withdraw the Customer's deposit to secure performance hereunder, to redeem pledge or any collaterals as well as to sign in any juristic acts and do other acts as deemed relevant and necessary to fulfill any actions hereunder whereupon the Company shall be authorized to appoint sub-attorney(s) to do acts and things hereunder and allow the Company to enter into any juristic acts with the Customer in the Company name, including to act as agent for other party.

CLAUSE 3. PURCHASE OR SALE ORDER

3.1 The Customer may order, either purchase or sale of Securities, amounts or prices, verbally or in writing, by telephone, facsimile or any other means customarily accepted in orders of purchase or sale of Securities in SET so that the Company may purchase or sell Securities from time to time. However, all orders by any means shall constitute validity upon due and explicit acknowledgement without any doubt by the Company whereby the Customer agrees to the consequences of such orders as if they were issued by the Customer.

In the event of revocation of orders, the Customer shall notify the Company forthwith and such revocation shall take effect upon confirmation by the Company of such revocation provided however it shall not prejudice actions already taken by the Company.

3.2 The parties agree and acknowledge that purchasing or selling orders shall contain only names, types, amounts and prices so required without specifying as to whom Securities shall be purchased or sold, or Securities shall contain no specific particulars. In receiving or delivering Securities to purchaser, seller or the Customer, Securities of the same types and amounts shall be substitutes. The Customer also agrees in purchasing or selling Securities as per the Customer's orders, Securities may be purchased or sold with the Company.

The Customer further agrees that the Company shall have no obligations to receive or proceed with the Customer's orders at all time without the need to notify the Customer and liability towards the Customer of whatsoever nature in the event the Company may not proceed with the Customer's orders either in whole or in part.

- 3.3 In Securities trading, the Company allows the Customer to trade Securities within a credit limit as prescribed by the Company, whereby the Customer agrees that such credit limit may be prescribed or amended by discretion of the Company and notified to the Customer from time to time.
- 3.4 Where the Company deems appropriate, or there is law, notification or regulation by the SEC, SET, or other relevant state agencies requiring the Customer to place collateral against Securities trading, the Customer hereby agrees to place such collateral upon demand by the Company in an amount not less than a rate and conditions as prescribed by the Company.
- Collateral as referred to in the preceding paragraph shall be cash, fully paid Securities or other assets as prescribed by SET or other relevant agencies.
- 3.5 The Company shall, upon occurrence of any of the following conditions, have right to refuse to proceed with any authorization or instruction of the Customer whereby the Customer shall not demand for any damages or expenses from the Company:
- (1) any orders which the Company deems inappropriate, illegitimate or against the articles of association of the Company or relevant agencies;
 - (2) any purchase orders which exceed credit limit, or sale orders which exceed Securities of the Customer;
 - (3) any arrangement which may be contrary to laws or regulations of relevant agencies;
 - (4) the Company has no operating system or personnel capable of well supporting arrangement, or such arrangement may incur unreasonable burden;
 - (5) the Customer fails to comply with this Agreement or any other agreements made with the Company or there is any other cause as the Company deems appropriate.

CLAUSE 4. PAYMENT OF PURCHASE PRICE AND DELIVERY OF SECURITIES

- 4.1 When the Customer authorizes the Company to purchase Securities, the Customer hereby agrees to pay for Securities at one or more orders including the Commission within three business days following the day Securities were purchased or any other day and method as prescribed by the Company or SET. Computation shall be based on particulars of purchase as per form prescribed by the Company and payment thereof made by means prescribed by SET and the Company. In case of payment by cheque, the Customer shall be deemed to have made payment on the day such cheque has been honoured for collection.
- In case the Customer is in default of payment, the Customer hereby agrees that the Company may charge interest as per rate prescribed under CLAUSE 8.4 computed as from the maturity date until payment is made in full. The Customer further agrees that the Company may force to sell Securities including right and assets in possession or custody of the Company on the day as the Company deems appropriate. The Company shall notify the Customer in doing so in advance whereupon the Customer shall pay for damages, interest and expenses incurred from trading, default and forced sale of Securities or assets to the Company in full. Where proceeds from such sale does not cover the outstanding, the Customer also agrees to pay for the remaining difference.

- 4.2 In case the Customer is in default of payment, the Customer shall, in addition to forced sale as specifically prescribed herein, agree that the Company may at its discretion force to sell collateral deposited by the Customer with the Company and/or in custody of the Company and/or deposited with Thai Securities Depository Company Limited ("TSD") for the Customer, either in whole or in part, so that proceeds shall be applied for outstanding. Collateral shall include shares, debentures, investment units, derivatives contracts and other collaterals against which notice for forced sale shall be given in advance.
- 4.3 The Company shall arrange for delivery of Securities to the Customer within four business days following the day Securities were purchased or any other day as prescribed by SET or the Company. In case the Company transfers Securities via securities deposit account as arranged by TSD for the purpose of depositing, withdrawing or transferring to the Customer, or the Securities as ordered by the Customer are under the Company's custody, the Company shall be deemed to have delivered Securities to the Customer under the preceding paragraph.

CLAUSE 5. PAYMENT OF SALE PRICE AND DELIVERY OF SECURITIES

- 5.1 In case the Customer authorizes the Company to sell Securities:
- (1) Subject to paragraphs two and three below, the Customer shall have duty to deliver Securities to the Company within 12.00 hours of next business day following the day Securities were sold or any other day as prescribed by SET or the Company.
- In case the Customer transfers Securities via securities deposit account as arranged by TSD for the purpose of depositing, withdrawing or transferring to the Company, or the Customer orders that the Company deliver Securities for which he/she has right to sell and are in custody of the Company, the Customer shall be deemed to have delivered Securities to the Company under the preceding paragraph.
- In case the Customer has Securities which are in custody of the Company (which shall include Securities as deposited with TSD), the Customer consents that the Company may deliver such deposited Securities.
- If the Customer fails to deliver Securities within the period as prescribed in the first paragraph, the Company may purchase Securities of the same type for delivery at price the Company deems appropriate and the Customer consents to be responsible for Advance, Commission and damages the Company may incur from non-delivery by the Customer in all respects.
- (2) The Company shall pay for sale price of Securities to the Customer within three business days following the day Securities were sold provided however if the Customer trades Securities within the same day, the Company may offset with purchase and sale prices (Net Settlement) and accordingly make payment to the Customer within three business days following the day Securities were sold or any other day as prescribed by SET or the Company.
- (3) The Company shall make payment for sale of Securities via automatic transfer system (ATS), or deposit into account of the Customer (Cash Balance), or pay by A/C payee cheque to the Customer's account, or

account opened by the Company for the Customer or account in which the Customer is granted a loan to purchase Securities (margin account) or any other means as prescribed by SET or the Company.

- 5.2 In case the Customer orders the Company to sell Securities and if the Customer fails to make payment for purchase of Securities, Advance, Commission or other sums due to the Company, the Customer shall have duty to make payment for purchase of Securities, Advance, Commission or other sums due to the Company in full prior to the Company paying for sale of Securities. The discretion by the Company is conclusive and final. However, the Company may offset the outstanding due to the Company against sale of Securities due to the Customer in first paragraph.

CLAUSE 6. SECURITIES TRADING VIA INTERNET OR ELECTRONIC SYSTEM

In case the Customer wishes to trade Securities via internet or electronic system, the Customer hereby agrees:

- 6.1 The Customer represents that the Customer has good knowledge and understanding on the use of services of Securities trading via internet or electronic system, as well as laws, rules, regulations criteria, conditions and customs of securities trading as prescribed by SET and SEC, clearing house and other state agencies.
- 6.2 The Customer has knowledge and understanding in relation to risk that might incur from securities trading and securities trading via internet; including the risks resulting from computer system of the Customer, the Company, SET or any other agencies, loss of data during communication or transmission, sending or receiving data in delay, or failure in receiving or sending data, technical interruption, data hacking, virus entry into the Customer's system including any other damage which might incur from force majeure or any other incidents. The Customer acknowledges that while the Company agrees to act as broker for securities trading via internet, the Company neither represents nor warrants that the Company shall prevent all risks whereupon the Company shall not be held liable for any damage and the Customer agrees not to demand for any compensation from the Company unless such damage shall derive from willful or negligent acts or omission of the Company or its employees, The Customer also agrees if there is any damage to the Company are as a result of the Customer's willful or negligent acts or omission, the Customer agrees to pay compensation to the Company.
- 6.3 The Customer acknowledges that the Company may specify series of instruction and type of computer system utilized in Securities trading via internet via the Company and the Customer further consents the Company to change or revise such series of instruction or type of computer as the Company deems appropriate. The Customer warrants not to apply series of instruction otherwise than that of the Company which has been connected with the Customer's computer equipment used in making orders of Securities trading. The Customer shall further prevent any other persons to connect the Company's system computer system with the Customer's which results in that person being able to record orders into the Company's and thereby the Company shall not be held liable for any damage which might incur as a result thereof for any cause whatsoever.
- 6.4 The Customer has right to request data or conduct any transactions in relation to Securities by using services of Securities trading via internet system of the Company when the Customer has been allowed by the Company as

per day and time prescribed by the Company. The Customer shall access through Username, Password and Pin as prescribed by the Company and may be changed by the Customer, provided that the Customer shall be bound by such change to terms and conditions of services under this Agreement in all respects.

- 6.5 The Customer hereby agrees to keep confidential the Username, Password and Pin as well as all transactions conducted through the Company's Securities trading system. The Customer shall be responsible in case where the Customer's Username, Password and Pin are used to access data, or sent any purchase or sale orders for any case whatsoever. Should such Username, Password or Pin is lost, destroyed or forgotten, the Customer shall notify the Company in writing so that the Company shall suspend Securities trading services via internet forthwith. If the Customer fails to so notify, the Company shall not be responsible for any damage incurred to the Customer whereby the Customer shall be solely responsible. In addition, if there is any damage incurred to the Company from such failure, the Customer agrees to be responsible for any compensation.
- 6.6 The Customer fully acknowledges that Securities trading service via internet is supplementary and provided for the Customer's convenience only. As a result, should the Company's computer, electricity or communication systems fail for any cause whatsoever including force majeure whereby the Customer can't use the service, the Customer then may send orders and request data in relation to Securities, or conduct any transactions through the Company's officers or any other means under this Agreement.
- 6.7 The Customer is aware of rules and regulations of SET in relation to recording of purchase or sale orders which carry inappropriate nature such as non-queue orders, concealing others' orders, entered and subsequently cancelled orders, wash-sale orders or orders of price directing nature etc. The Customer hereby warrants not to record such inappropriate orders and if such inappropriate orders are found in the Customer's account, the Customer shall allow the Company to suspend or cancel such orders including Securities trading via internet or any other methods as the Company deems appropriate without any objection or claim whatsoever.
- 6.8 The Company shall have right to confirm orders placed by the Customer via internet or electronic system or any other means as the Company deems appropriate.
- 6.9 Where the Customer fails to act or comply with any terms of this Agreement (including the case where the Customer refuses to accept any amendment to any terms as proposed by the Company) or be in breach of any laws, rules, regulations criteria, conditions or customs of Securities trading including Securities trading as prescribed by SET, SEC, agencies, regulators, other stock exchanges, clearing house, other state agencies, or the Company, the Company shall have right to temporarily suspend or cancel Securities trading via internet or other electronic system at any time without any prior notice.
- 6.10 The Customer is well aware that all data or information in the internet or electronic system of the Company is obtained on an "as is" basis thereby, the Company makes no warranties of accuracy, completeness, sequence, time, trading prices, ability to trade, appropriateness for a particular purpose and assumes no liability for any loss or damage as a result of the use of such data and information.

- 6.11 If the Customer wishes to cancel the services of Securities trading via internet, the Customer shall notify the Company in writing so that the Company can proceed with the cancellation provided however that the cancellation shall be proceeded when there is no outstanding due to the Company and that a notice in writing shall be made to the Company not less than 15 days in advance.

CLAUSE 7. CUSTODY OF THE CUSTOMER'S ASSETS

- 7.1 The Customer hereby agrees that the Company shall take assets of the Customer in custody for the purpose of safekeeping, Securities trading or lending, as collateral against Securities trading or lending or for other purposes under permissible scope of laws.
- 7.2 The Customer is well aware and understands that when the Company has deposited cash assets of the Customer with commercial banks or other banks established under specific law or invested in promissory notes issued by such finance company, such deposit or investment shall be protected by deposit protection fund or other agencies having duty to protect deposits.
- 7.3 The Customer acknowledges and agrees that withdrawal of assets shall be made in a form prescribed by the Company and notified to the Company in advance.
- 7.4 The Company may charge a fee for depositing, withdrawing cash or Securities as well as fees for safekeeping and custody of the Customer's assets as per rates displayed visibly at the Company's office provided further that the Company may change such fees as the Company deems appropriate and displays such rates under the same methods.
- 7.5 The Company shall prepare and deliver reports stating the Customer's assets within a period as prescribed by SEC.
- 7.6 The Customer hereby authorizes the Company to retain safely Securities, cash and assets of the Customer in relation to this Agreement ("Assets") where the Assets shall be separated in the Company book to clearly indicate that they are Assets of the Customer. The following arrangement shall constitute the separation of the Assets:
- (1) For cash Assets:

The Company shall separately keep at commercial banks, or other banks established under specific law or invest in promissory notes issued by finance companies or securities companies for securities business or investment of other nature as prescribed by SEC, by indication clearly in deposit accounts, promissory notes or investments that these have been proceeded by securities companies for the Customer's benefit.
 - (2) For Securities Assets:
 - (a) The Company may retain separately at TSD or the Bank of Thailand by indicating clearly that the Company deposits for the Customer's benefit; or
 - (b) The Company may separately retain under custody of the Company and proceed in a way without doubt to indicate that such certificates of Securities are Assets of the Customer.

- (3) For other Assets: The Company shall separately retain so that they can be clearly indicated without doubt that they are Assets of the Customer.
- 7.7 In case the Customer is entitled to any proceeds from any Assets, the Customer agrees that the Company may, without notice to the Customer, offset such proceeds against fee for custody of the Assets hereunder or other debts due to the Company until that fee or debt shall be settled in full. However, if there remains any difference from offset of proceeds against fee and debt, the Customer remains responsible for the difference.
- 7.8 The Customer expressly agrees that the Company may bring cash segregated as the Customer's Assets to be deposited with any financial institutions having either direct or indirect relationship with the Company's Affiliated Companies.

CLAUSE 8. EFFECT OF THE AGREEMENT

- 8.1 The Customer hereby agrees to be bound by forced sale of the Assets under CLAUSE 4.1 as if they were sold by order of the Customer.
In case the Company exercises right under law or this Agreement to force to sell the Customer's Assets and it appears they were sold lower than the market price or market value has increased after such sale, the Customer shall demand no compensation or damages from the Company.
- 8.2 If the Customer makes no argument or objection in writing in relation to any reports within 7 days as from the date specified therein, the Customer shall be deemed to have waived any right and agreed to the accuracy of such reports.
- 8.3 If the Customer is in default of any payment hereunder; or in breach of any terms and conditions; or is dead; or becomes incompetent or quasi-incompetent; or adjudged bankrupt; or is under receivership; or there is any other cause the Company deems appropriate to protect the Company's interest, the Customer agrees and consents that the Company may forthwith dispose of the Securities or Assets or other rights belonging to the Customer but in the Company's custody, either in whole or in part; or purchase all or part of the Securities to compensate the Company in lieu of the Securities ordered by the Customer to be sold but not delivered to the Company, all of which shall not prejudice the Company's right to close the Customer's account.
- 8.4 The Customer hereby agrees to pay penalty and interest on outstanding accrued hereunder at the maximum rate announced by the Company which may be changed from time to time computed as from default date until payment is made in full.
- 8.5 If the Customer fails to comply with any terms and conditions hereunder, the Company shall be entitled to take any action as the Company deems appropriate via SET, or through public auction, or by trading with any persons or even with the Company without prior notice, advertisement or any action of similar nature. Further, the Customer consents the Company to apply all proceeds from disposal of the Securities, Assets or other rights belonging to the Customer to settle outstanding and all expenses incurred by the Customer to the Company whether existing at present or in the future no matter whether such outstanding shall become due, and to offset

against all kinds of debts as the Company deems appropriate whereupon the Customer agrees to settle all debts still owing to the Company in full.

- 8.6 The Customer consents the Company to become a member of TSD under the law on securities and exchange or other applicable laws, and to use such services of TSD with respect to the Customer's Securities such as deposit, withdrawal, transfer, receipt of transfer, entry and revocation of pledge of Securities, issue and withdrawal of certificates of Securities etc whereby the Customer consents the Company to comply with criteria, conditions, methods and practices of such agencies in all respects e.g. consent the Company to disclose names, addresses and other details in relation to the Customer to TSD etc.

In case the Company deems appropriate, the Customer consents the Company to withdraw the Securities of the Customer deposited at TSD or Securities registrar either by means of physical certificates or scriptless system; or in the Customer's or the Company's name and accordingly retained for the Customer whereupon this Agreement shall constitute a power of attorney to authorize the Company to proceed with and sign on any relevant documents until completion.

- 8.7 The Customer agrees not to demand, claim or take any other actions against the Company for any damage suffered by the Customer as a result of action, omission or failure by SET or other persons beyond control of the Company such as damage for receipt of certificate of securities in delay.

- 8.8 This Agreement shall be valid for an indefinite period unless otherwise terminated by either party. Either party may terminate this Agreement by a notice in writing delivered to the other not less than 15 days in advance. The termination shall not prejudice the rights and obligations accrued prior to the termination.

- 8.9 Any failure or delay in exercising any right hereunder, or a single or partial exercise shall not be deemed as a waiver or preclusion of the Company to exercise any other rights hereunder. In case the Company grants leniency for the Customer to comply with any terms and conditions hereunder, or does not exercise the right of termination at a certain time, such leniency or omission shall constitute leniency or omission for that occasion only.

- 8.10 In addition to any other rights the Company may have towards the Customer hereunder, the Company has right to demand the Customer to be responsible for damage and expenses the Company might suffer as a result of or in connection with this Agreement or in relation to the action or omission of the Customer or his/her agent, as well as any damage and expenses the Company might suffer as a result of demand or claim by other persons to assume responsibilities hereunder which are not action, omission, or failure of the Company.

CLAUSE 9. ACCEPTANCE OF RISK

- 9.1 The Customer understands and acknowledges that Securities trading in SET or other Over-the-Counter Centers carries risk as value and return may fluctuate and vary to price level of Securities so invested, liquidity and general investment climate which could not be forecasted or predicated in advance. As a result, the Customer might not receive investment and other benefits equivalent to the sum invested.

The Customer is well aware that certificates of warrant of derivatives or other rights carrying maturity shall not be traded thereafter. The Customer further understands that this Agreement shall not cover all risks in Securities trading; as a result, the Customer may bear additional risk which may not be covered herein. The Company's agreement to act as broker for Securities trading shall not in any way warrant that the Company could prevent all risks; the Customer shall then exercise discretion deliberately in making decisions on Securities trading to be in line with acceptable rate of returns and risks and shall be responsible for any damage incurred from any risk.

- 9.2 The Company shall not be responsible for loss and damage suffered by the Customer as a result of fire, storm, force majeure, strike, riot, protest, war, government control, malfunction of communications network, delay of communications by third party or by the Company, local and international restriction and prohibition, electricity interruption, black-out or other technical failures which result or likely result in such incidents, closure of local or international market (including SET) or other Over-the-Counter Centers, as well as other causes which affect the Company's operation.
- 9.3 In the event that the Customer proposes to pay or deliver the money in foreign currency according to this Agreement, the Customer agrees that the Company shall use the foreign exchange rate quoted by KASIKORNBANK Public Company Limited to its customers to be the rate for calculation in this matter. The Customer hereby agrees to accept any risk to loss, damage or expenses incurred to the Customer's account by exchanging money from one currency to another currency.

CLAUSE 10. OTHER AGREEMENTS

- 10.1 All letters, communications, notices, demands, documents or other letters to be served upon the Customer, either by registered or non-registered mail, telegraph, or delivery by the Company's messenger, if sent to address given in writing by the Customer to the Company, or address of house registration, or the Customer's office, or by facsimile or electronic mail to number or E-mail address given by the Customer shall be deemed to have been duly delivered to the Customer regardless whether there is person to receive such communication; and even if such communication could not be served due to change or removal of address without notice in writing to the Company; and even if such communication could not be served due to unknown whereabouts, the Customer shall be deemed in all cases to have duly received all letters, communications, notices, demands, documents or other letters on the day of delivery by post officer or the Company's messenger at such address, or the day of transmission by facsimile or electronic mail. Further, where this Agreement does not require any communication or notice in writing, and the Company has notified the Customer verbally, by telephone or other means, then such communication or notice shall be duly delivered to and served on the Customer.
- 10.2 The Customer acknowledges, and understands that laws, regulations, or notifications of the office of SEC, SET and other relevant agencies in charge of Securities business and the Company's business with which the Customer shall strictly comply including any and all subsequent amendment in relation thereto after execution of this Agreement.

- 10.3 The Customer shall not assign nor transfer his/her rights or obligations hereunder to a third person.
- 10.4 The Customer hereby authorizes the Company, any of KASIKORNBANKGROUP and any of the Company's assignee to use the Customer's information for the purpose of offering to the Customer its new / special products/ services and/or for any other purpose(s).
- 10.5 The Company may assign or transfer its rights or obligations hereunder to a third person without prior consent from the Customer.
- 10.6 The parties hereby agree all particulars and details on documents/application for opening Securities trading account and other relevant documents or agreements as well as attachments shall form an integral part hereof unless otherwise specified herein. If there is any discrepancy with any terms and conditions hereunder, the terms and conditions under this Agreement shall prevail. In the event of discrepancies among documents in the attachments, the Customer shall comply with decisions of the Company. Further, the Customer hereby agrees that the Company may exercise discretion to amend the terms and conditions of this Agreement and the Company shall deliver a notice in writing of the purpose to the Customer at least 14 days before the amendments shall become effective whereby the Customer shall be deemed to have agreed with the amendments if the Customer delivers no objection before the amendment shall become effective.
- 10.7 If any terms and conditions under this Agreement shall be contrary to laws or become unenforceable, void by virtue of laws, rules, regulations and notifications of SET or any laws, then the parties agree that the remaining provisions which are not contrary to laws shall be in full force and effect.
- 10.8 This Agreement shall be governed by and interpreted in accordance with the laws of Thailand.
The parties agree that in case of any dispute hereunder, a court to try cases is a court having jurisdiction in Thailand whereby the Company may conduct trial against the Customer in any other courts having jurisdiction over the Customer and the Customer's assets.
However, any dispute between Securities agent/broker may be referred to the office of SEC for consideration of arbitration process which is considered a measure to protect the Customer's rights in capital market.

The Customer, having thoroughly read and understood the terms and conditions of this Agreement, has therefore signed in the presence of the witnesses hereof.

KASIKORN SECURITIES PUBLIC COMPANY LIMITED

CUSTOMER

Witness

Witness

หนังสือขอให้ธนาคารหักบัญชีเงินฝาก

วันที่ เดือน พ.ศ.

เรียน ผู้จัดการธนาคาร

สาขา.....

ข้าพเจ้า เจ้าของบัญชีเงินฝากประเภท ออมทรัพย์ กระแสรายวัน

ชื่อบัญชี บัญชีเลขที่

สถานที่ติดต่อ เลขที่ ตรอก/ซอย ถนน..... ตำบล/แขวง.....

อำเภอ/เขต..... จังหวัด..... รหัสไปรษณีย์..... โทร.....

มีความประสงค์ให้ธนาคารหักเงินจากบัญชีเงินฝากดังกล่าวของข้าพเจ้า เพื่อชำระหนี้ และ/หรือบรรดาภาระผูกพันต่างๆ ให้แก่บริษัท หลักทรัพย์ กสิกรไทย จำกัด(มหาชน) (ต่อไปนี้จะเรียกว่า "บริษัท") ตามจำนวนที่ปรากฏในใบแจ้งหนี้และสื่อบันทึกข้อมูล (MEDIA) หรือข้อมูลอิเล็กทรอนิกส์ที่ธนาคารได้รับจากบริษัท และนำเงินดังกล่าวโอนเข้าบัญชีบริษัท

ในการหักเงินจากบัญชีเงินฝากของข้าพเจ้า เพื่อชำระหนี้ และ/หรือบรรดาภาระผูกพันต่างๆ ให้แก่บริษัทดังกล่าว หากปรากฏในภายหลังว่า จำนวนเงินที่บริษัทแจ้งแก่ทางธนาคารนั้นไม่ถูกต้อง และธนาคารได้ทำการหักบัญชีเงินฝากของข้าพเจ้าตามจำนวนที่ปรากฏในใบแจ้งหนี้ และสื่อบันทึกข้อมูล (MEDIA) หรือข้อมูลอิเล็กทรอนิกส์เรียบร้อยแล้ว ข้าพเจ้าตกลงที่จะดำเนินการเรียกร้องเงินจำนวนดังกล่าวจากบริษัทโดยตรง โดยทั้งนี้ข้าพเจ้าขอสงวนสิทธิ์ในการเรียกร้องหรือฟ้องร้องให้ธนาคารชดเชยเงินที่ธนาคารได้หักเงินจากบัญชีเงินฝากของข้าพเจ้า เพื่อชำระหนี้แก่บริษัทตามใบแจ้งหนี้ และสื่อบันทึกข้อมูล (MEDIA) หรือข้อมูลอิเล็กทรอนิกส์ที่ธนาคารได้รับจากบริษัท และข้าพเจ้ายอมรับว่าธนาคารจะหักเงินจากบัญชีเงินฝากของข้าพเจ้าได้ต่อเมื่อเงินในบัญชีมีเพียงพอในการหักบัญชีในขณะนั้นเท่านั้น และในการหักบัญชีเงินฝากดังกล่าว ข้าพเจ้าไม่ประสงค์จะให้ธนาคารแจ้งการหักบัญชีแต่อย่างใด เนื่องจากข้าพเจ้าสามารถทราบรายการดังกล่าวได้จากสมุดคู่ฝากและ/หรือ STATEMENT ของธนาคารหรือจากใบรับเงิน/ใบเสร็จรับเงินของบริษัทอยู่แล้ว

ในกรณีที่เอกสารหลักฐานเลขที่บัญชีเงินฝากที่กล่าวในวรรคข้างต้นได้เปลี่ยนแปลงไป ไม่ว่าจะโดยเหตุใดก็ตาม ข้าพเจ้าตกลงให้หนังสือขอให้ธนาคารหักบัญชีเงินฝากฉบับนี้ คงมีผลใช้บังคับสำหรับบัญชีเงินฝากหมายเลขที่ได้เปลี่ยนแปลงไปนั้นได้ทุกประการ

การหักบัญชีเงินฝากดังกล่าวข้างต้นให้มีผลบังคับทันทีนับแต่วันที่ทำหนังสือนี้ และให้มีผลบังคับต่อไปจนกว่าจะได้เพิกถอน (แจ้งยกเลิก) โดยทำเป็นลายลักษณ์อักษรให้ธนาคารและบริษัททราบอย่างน้อยล่วงหน้า 1 เดือน

ขอแสดงความนับถือ

ลงชื่อ.....ผู้ให้ความยินยอม

(.....)ตามที่ให้ไว้กับธนาคาร

สำหรับบริษัท	สำหรับธนาคาร
COMPANY CODE <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> รับรองว่าผู้ให้ความยินยอมเป็นลูกค้ำของบริษัท ลงชื่อ (.....) บริษัทหลักทรัพย์ กสิกรไทย จำกัด(มหาชน) วันที่	<input type="checkbox"/> ธนาคารตกลงดำเนินการตามความประสงค์ของเจ้าของบัญชี <input type="checkbox"/> ธนาคารไม่สามารถดำเนินการได้เนื่องจาก <input type="checkbox"/> บัญชีปิดแล้ว <input type="checkbox"/> ลายมือชื่อไม่ถูกต้อง <input type="checkbox"/> เลขที่บัญชีไม่ถูกต้อง <input type="checkbox"/> อื่นๆ ลงชื่อ (.....) ลายมือชื่อผู้รับมอบอำนาจสาขา วันที่

สำหรับธนาคารสาขาเจ้าของบัญชี

หนังสือขอให้ธนาคารหักบัญชีเงินฝาก

วันที่ เดือน พ.ศ.

เรียน ผู้จัดการธนาคาร

สาขา.....

ข้าพเจ้า เจ้าของบัญชีเงินฝากประเภท ออมทรัพย์ กระแสรายวัน

ชื่อบัญชี บัญชีเลขที่

สถานที่ติดต่อ เลขที่ ตรอก/ซอย ถนน..... ตำบล/แขวง.....

อำเภอ/เขต..... จังหวัด..... รหัสไปรษณีย์..... โทร.....

มีความประสงค์ให้ธนาคารหักเงินจากบัญชีเงินฝากดังกล่าวของข้าพเจ้า เพื่อชำระหนี้ และ/หรือบรรดาภาระผูกพันต่างๆ ให้แก่บริษัท หลักทรัพย์ กสิกรไทย จำกัด(มหาชน) (ต่อไปเรียกว่า "บริษัท") ตามจำนวนที่ปรากฏในใบแจ้งหนี้และสื่อบันทึกข้อมูล (MEDIA) หรือข้อมูลอิเล็กทรอนิกส์ที่ธนาคารได้รับจากบริษัท และนำเงินดังกล่าวโอนเข้าบัญชีบริษัท

ในการหักเงินจากบัญชีเงินฝากของข้าพเจ้า เพื่อชำระหนี้ และ/หรือบรรดาภาระผูกพันต่างๆ ให้แก่บริษัทดังกล่าว หากปรากฏในภายหลังว่า จำนวนเงินที่บริษัทแจ้งแก่ทางธนาคารนั้นไม่ถูกต้อง และธนาคารได้ทำการหักบัญชีเงินฝากของข้าพเจ้าตามจำนวนที่ปรากฏในใบแจ้งหนี้ และสื่อบันทึกข้อมูล (MEDIA) หรือข้อมูลอิเล็กทรอนิกส์เรียบร้อยแล้ว ข้าพเจ้าตกลงที่จะดำเนินการเรียกร้องเงินจำนวนดังกล่าวจากบริษัทโดยตรง โดยทั้งนี้ข้าพเจ้าขอสงวนสิทธิ์ในการเรียกร้องหรือฟ้องร้องให้ธนาคารชดเชยเงินที่ธนาคารได้หักเงินจากบัญชีเงินฝากของข้าพเจ้า เพื่อชำระหนี้แก่บริษัทตามใบแจ้งหนี้ และสื่อบันทึกข้อมูล (MEDIA) หรือข้อมูลอิเล็กทรอนิกส์ที่ธนาคารได้รับจากบริษัท และข้าพเจ้ายอมรับว่าธนาคารจะหักเงินจากบัญชีเงินฝากของข้าพเจ้าได้ต่อเมื่อเงินในบัญชีมีเพียงพอในการหักบัญชีในขณะนั้นเท่านั้น และในการหักบัญชีเงินฝากดังกล่าว ข้าพเจ้าไม่ประสงค์จะให้ธนาคารแจ้งการหักบัญชีแต่อย่างใด เนื่องจากข้าพเจ้าสามารถทราบรายการดังกล่าวได้จากสมุดคู่ฝากและ/หรือ STATEMENT ของธนาคารหรือจากใบรับเงิน/ใบเสร็จรับเงินของบริษัทอยู่แล้ว

ในกรณีที่เอกสารหลักฐานเลขที่บัญชีเงินฝากที่กล่าวในวรรคข้างต้นได้เปลี่ยนแปลงไป ไม่ว่าโดยเหตุใดก็ตาม ข้าพเจ้าตกลงให้หนังสือขอให้ธนาคารหักบัญชีเงินฝากฉบับนี้ คงมีผลใช้บังคับสำหรับบัญชีเงินฝากหมายเลขที่ได้เปลี่ยนแปลงไปนั้นได้ทุกประการ

การหักบัญชีเงินฝากดังกล่าวข้างต้นให้มีผลบังคับทันทีนับแต่วันที่ทำหนังสือนี้ และให้มีผลบังคับต่อไปจนกว่าจะได้เพิกถอน (แจ้งยกเลิก) โดยทำเป็นลายลักษณ์อักษรให้ธนาคารและบริษัททราบอย่างน้อยล่วงหน้า 1 เดือน

ขอแสดงความนับถือ

ลงชื่อ.....ผู้ให้ความยินยอม

(.....)ตามที่ให้ไว้กับธนาคาร

สำหรับบริษัท	สำหรับธนาคาร
COMPANY CODE <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> รับรองว่าผู้ให้ความยินยอมเป็นลูกค้ำของบริษัท ลงชื่อ (.....) บริษัทหลักทรัพย์ กสิกรไทย จำกัด(มหาชน) วันที่	<input type="checkbox"/> ธนาคารตกลงดำเนินการตามความประสงค์ของเจ้าของบัญชี <input type="checkbox"/> ธนาคารไม่สามารถดำเนินการได้เนื่องจาก <input type="checkbox"/> บัญชีปิดแล้ว <input type="checkbox"/> ลายมือชื่อไม่ถูกต้อง <input type="checkbox"/> เลขที่บัญชีไม่ถูกต้อง <input type="checkbox"/> อื่นๆ ลงชื่อ (.....) ลายมือชื่อผู้รับมอบอำนาจสาขา วันที่

หนังสือขอให้ธนาคารหักบัญชีเงินฝาก

วันที่ เดือน พ.ศ.

เรียน ผู้จัดการธนาคาร

สาขา.....

ข้าพเจ้า เจ้าของบัญชีเงินฝากประเภท ออมทรัพย์ กระแสรายวัน

ชื่อบัญชี บัญชีเลขที่

สถานที่ติดต่อ เลขที่ ตรอก/ซอย ถนน..... ตำบล/แขวง.....

อำเภอ/เขต..... จังหวัด..... รหัสไปรษณีย์..... โทร.....

มีความประสงค์ให้ธนาคารหักเงินจากบัญชีเงินฝากดังกล่าวของข้าพเจ้า เพื่อชำระหนี้ และ/หรือบรรดามาระผูกพันต่างๆ ให้แก่บริษัท หลักทรัพย์ กสิกรไทย จำกัด(มหาชน) (ต่อไปนี้จะเรียกว่า "บริษัท") ตามจำนวนที่ปรากฏในใบแจ้งหนี้และสื่อบันทึกข้อมูล (MEDIA) หรือข้อมูลอิเล็กทรอนิกส์ที่ธนาคารได้รับจากบริษัท และนำเงินดังกล่าวโอนเข้าบัญชีบริษัท

ในการหักเงินจากบัญชีเงินฝากของข้าพเจ้า เพื่อชำระหนี้ และ/หรือบรรดามาระผูกพันต่างๆ ให้แก่บริษัทดังกล่าว หากปรากฏในภายหลังว่า จำนวนเงินที่บริษัทแจ้งแก่ทางธนาคารนั้นไม่ถูกต้อง และธนาคารได้ทำการหักบัญชีเงินฝากของข้าพเจ้าตามจำนวนที่ปรากฏในใบแจ้งหนี้ และสื่อบันทึกข้อมูล (MEDIA) หรือข้อมูลอิเล็กทรอนิกส์เรียบร้อยแล้ว ข้าพเจ้าตกลงที่จะดำเนินการเรียกร้องเงินจำนวนดังกล่าวจากบริษัทโดยตรง โดยทั้งนี้ข้าพเจ้าขอสงวนสิทธิ์ในการเรียกร้องหรือฟ้องร้องให้ธนาคารชดเชยเงินที่ธนาคารได้หักเงินจากบัญชีเงินฝากของข้าพเจ้า เพื่อชำระหนี้แก่บริษัทตามใบแจ้งหนี้ และสื่อบันทึกข้อมูล (MEDIA) หรือข้อมูลอิเล็กทรอนิกส์ที่ธนาคารได้รับจากบริษัท และข้าพเจ้ายอมรับว่าธนาคารจะหักเงินจากบัญชีเงินฝากของข้าพเจ้าได้ต่อเมื่อเงินในบัญชีมีเพียงพอในการหักบัญชีในขณะนั้นเท่านั้น และในการหักบัญชีเงินฝากดังกล่าว ข้าพเจ้าไม่ประสงค์จะให้ธนาคารแจ้งการหักบัญชีแต่อย่างใด เนื่องจากข้าพเจ้าสามารถทราบรายการดังกล่าวได้จากสมุดคู่ฝากและ/หรือ STATEMENT ของธนาคารหรือจากใบรับเงิน/ใบเสร็จรับเงินของบริษัทอยู่แล้ว

ในกรณีที่เอกสารหลักฐานเลขที่บัญชีเงินฝากที่กล่าวในวรรคข้างต้นได้เปลี่ยนแปลงไป ไม่ว่าจะโดยเหตุใดก็ตาม ข้าพเจ้าตกลงให้หนังสือขอให้ธนาคารหักบัญชีเงินฝากฉบับนี้ คงมีผลใช้บังคับสำหรับบัญชีเงินฝากหมายเลขที่ได้เปลี่ยนแปลงไปนั้นได้ทุกประการ

การหักบัญชีเงินฝากดังกล่าวข้างต้นให้มีผลบังคับทันทีนับแต่วันที่ทำหนังสือนี้ และให้มีผลบังคับต่อไปจนกว่าจะได้เพิกถอน (แจ้งยกเลิก) โดยทำเป็นลายลักษณ์อักษรให้ธนาคารและบริษัททราบอย่างน้อยล่วงหน้า 1 เดือน

ขอแสดงความนับถือ

ลงชื่อ.....ผู้ให้ความยินยอม

(.....)ตามที่ให้ไว้กับธนาคาร

สำหรับบริษัท	สำหรับธนาคาร
<p>COMPANY CODE <input type="checkbox"/><input type="checkbox"/><input type="checkbox"/><input type="checkbox"/><input type="checkbox"/><input type="checkbox"/><input type="checkbox"/><input type="checkbox"/></p> <p>รับรองว่าผู้ให้ความยินยอมเป็นลูกค้าของบริษัท</p> <p>ลงชื่อ</p> <p>(.....)</p> <p>บริษัทหลักทรัพย์ กสิกรไทย จำกัด(มหาชน)</p> <p>วันที่</p>	<p><input type="checkbox"/> ธนาคารตกลงดำเนินการตามความประสงค์ของเจ้าของบัญชี</p> <p><input type="checkbox"/> ธนาคารไม่สามารถดำเนินการได้เนื่องจาก</p> <p><input type="checkbox"/> บัญชีปิดแล้ว <input type="checkbox"/> ลายมือชื่อไม่ถูกต้อง</p> <p><input type="checkbox"/> เลขที่บัญชีไม่ถูกต้อง <input type="checkbox"/> อื่นๆ</p> <p>ลงชื่อ</p> <p>(.....)</p> <p>ลายมือชื่อผู้รับมอบอำนาจสาขา</p> <p>วันที่</p>

สำหรับบริษัท

Questionnaire for Customer Risk Profile Assessment

I. Personal Data

Question 1-4 : For Individual Investor

1. Age

- (A) over 60 years (B) 35 – 60 years (C) under 35 years

2. Education

- (1) Below Bachelor's Degree (2) Bachelor's Degree or Above

3. Savings and Securities for Investment (Securities mean mutual fund or debenture or equities or government bond or derivatives)

- (1) Less than Baht 1 Million
(2) Baht 1 – 3 Million
(3) More than Baht 3 Million

4. Your investment experience in securities (Securities mean mutual fund or debenture or equities or government bond or derivatives)

- (1) No (2) Less than 1 year (3) 1-5 years (4) More than 5 years

Question 5-9 : For Individual Investor and Juristic Person

5. The estimated period that you will not need to use "the money you intend to invest"

- (1) Less than 1 year (2) 1-3 years (3) 3-7 years (4) More than 7 years

6. Do you need returns from "the money you intend to invest" to use for your regular expenditures?

- (1) Need most (2) Need some (3) No need

7. The ratio of "the money you intend to invest" to your total assets

- (1) More than 60 % (2) 30-60 % (3) 10 – 30 % (4) Less than 10 %

8. Investment in highly-volatile securities, for instance, equities and derivatives, often generates high returns in the long term but there is a risk of incurring huge losses. What level of investment risk can you accept?

- (1) The least. I prefer investment that generates regular cash flow and ultimate security in investment, even though the returns will be the lowest.
(2) A certain level. I can accept some risk from investment loss in order to increase the chance of high returns in the long term.
(3) Moderate. I can accept reasonable risk in order to create a chance for higher returns in the long term.
(4) High. I can accept the highest risk in order to create a chance for the highest returns in the long term.

9. Your acceptable amount of loss for your investment at a time?

- (1) Can not take any loss
(2) Less than 10 % of investment amount
(3) 10 – 30 % of investment amount
(4) More than 30% of investment amount

Part II and Part III : For Individual Investor and Juristic Person

II. For investment in foreign securities and mutual funds with a policy of foreign investment by 20 percent of NAV or higher

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

- (1) Not acceptable (2) Slight risk is acceptable (3) Total risk is acceptable

III. For derivatives investment

11. Successful derivatives 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?

- (1) Not acceptable (2) Slight risk is acceptable (3) Total risk is acceptable

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Risk Profile Assessment

Result:

.....

Risk Profile Assessment Result:

Please add up the scores from question 1 – 9. Total score is

Risk Level Scores		Type of Investor	Investment Risk Tolerance and Suitable Type of Financial Instruments
Individual	Juristic Person		
Below 10	Below 6	<p>Low-risk investor</p> <p>This type of investor has small tolerance for investment risk. You require an investment return slightly higher than bank deposit rates and aim to invest over the short term.</p>	<p>You are suitable to invest in</p> <ul style="list-style-type: none"> ▪ Debt instrument ▪ Equity instrument (small portion) ▪ Mutual Fund risk level 1
10 - 11	6 - 7	<p>Medium-to-moderate-low-risk investor</p> <p>This type of investor has rather small investment risk tolerance. You emphasized on capital protection and aim for regular income generated from investment.</p>	<p>You are suitable to invest in</p> <ul style="list-style-type: none"> ▪ Debt instrument ▪ Equity instrument (partial portion) ▪ Mutual Fund risk level 1 - 4
12 - 16	8-12	<p>Medium-to-moderate-high-risk investor</p> <p>This type of investor is able to accept investment loss occasionally.</p>	<p>You are suitable to invest in</p> <ul style="list-style-type: none"> ▪ Debt instrument ▪ Equity instrument (moderate portion) ▪ Mutual Fund risk level 1 - 5
17 - 21	13-17	<p>High-risk investor</p> <p>This type of investor is able to accept high investment risk, high market volatility and can accept investment loss with an aim for investment value to grow over the long term.</p>	<p>You are suitable to invest in</p> <ul style="list-style-type: none"> ▪ Debt instrument ▪ Equity instrument (quite a large portion) ▪ Derivatives (partial portion) ▪ Mutual Fund risk level 1 - 7
22 and higher	18 and higher	<p>A very-high-risk investor</p> <p>This type of investor is keen for opportunities to generate a high return and is able to accept substantial risk and can accept quite high investment loss.</p>	<p>You are suitable to invest in</p> <ul style="list-style-type: none"> ▪ Debt instrument ▪ Equity instrument ▪ Derivatives (partial portion) ▪ Mutual Fund risk level 1 - 8

Disclaimer

- Investment in financial instrument contains risk. Client should study relevant investment information prior to making investment decision.
- Client agrees to provide information to the officer of Kasikorn Securities (“Company”) who will use to conduct Risk Profile Assessment. Client also acknowledges that this questionnaire is used for the benefit of his/her investment risk awareness.
- Client certifies that the information provided is true and correct.
- Risk profile is assessed from information clarified by client. However, this does not represent that the Company shall accept the accuracy, completeness or reliability of such information provided by client and the assessment result.
- After Company’s officer finishes the client’s risk profile assessment and informs the assessment result to the client, the company shall assume that client has already realized his/her risk profile assessment result (which is evaluated from information provided by client) at a certain level.
- Client should study relevant investment information, investment and risk warning as well as requests for investment advice from marketing officer who can provide investment recommendation to client carefully.
- In addition, client should study his/her risk profile assessment result in order to support his /her decision making to invest in securities, futures, options, or other types of financial instrument suitable to client. Information relevant to investment or other financial instruments received from Company’s representatives (if any) is only a partial factor to assist in decision making on investment by client.
- Decision making on investment depends on client’s own decision which shall not bind with risk profile assessment result and may not follow risk level under this assessment. Client also agrees to bear risk arising from investment. In case that client decides to invest in higher risk level than the risk profile assessment, the Company hereby agrees to assume that client agrees to bear all risk arising from such investment himself/herself. Besides, client accepts that his/her investment may not be in accordance with the risk profile assessment result, not the same as his/her investment risk profile assessment and may change from the assessment result.
- In case there is client’s request, Company will provide relevant product information and risk associated with such product in order to assist client in making his/her decision on investment.
- The Company and its management, employee, representatives, and officer shall not take any liability, obligation or be in charge of any damages arising from the investment by client.
- The Company reserves its right to amend, edit or change risk profile assessment form in order to assess client’s risk profile and any relevant information without prior notice.

Questionnaire for Customer Risk Profile Assessment and any related action and information are applied only to the investors in Thailand only. Client has read and understand the above warning, relevant information and agrees to abide by such warning and relevant obligation.

Client	Equity Wealth Manager
Sign	Sign
Name	Name
Date	Date