



Document Required for Opening - Securities

- Certificate of incorporation / Corporate affidavit notarized by a notary public not more than 1 year
- Memorandum of Associations / Business License
- List of Shareholders not over 1 year
- Minutes of the meeting of the board of directors approving the opening
- Passport / Identification Card of authorized persons and directors
- 2 years latest Financial Statements
- Specimen signatories of Directors
- Passport / Identification Card of Attorney-in-fact

****Notary Public/Ministry of Foreign Affairs****

Form

- Single Form for Capital Market (*Juristic Investor*)
- Agency and Brokerage Agreement
- FATCA&CRS Form for Entity
- Power of Attorney / Attorney profile
- Notification Letter for Payment of Dividend
- TSD Currency Request Form
- AML Standard Questionnaire (*Foreign Omnibus Client Certification*)

Single Form for Capital Market (Juristic Investor)

Intermediary name

Date -- (A.D.)

1. Juristic Investor Information – For Account Opening

1.1 Juristic Investor Name* :

1.2 Commercial Registration No.* :

1.3 Tax ID* :

1.4 Registered Country*

- Thailand Other Countries (Please specify)

1.5 Juristic Type*

Juristic (Thailand)

- Tax Exempt Company
 Non-Tax Exempt Company

Juristic (Foreign)

- Operating in Thailand
 Non-operating in Thailand

Others

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

1.6 Business Type*

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

1.7 Commercial Registration Certificate Address*

Address No. Moo No. Building/Mooban Floor

Soi Road Sub-district/Tambon

District/Amphur Province Postal Code

Country

1.8 Contact Information*

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

*Required

1.9 Mailing Address*

- As an email in 1.8 (Contact Information) (If you choose this option, your documents will ONLY be sent to your email address)
- Same as Commercial Registration Certificate Address Fax Other (Please specify below)
- Address No. Moo No. Building/Mooban Floor
- Soi Road Sub-district/Tambon
- District/Amphur Province Postal Code.....
- Country

1.10 Total Income per Year* (Latest financial statement) Baht

1.11 Country's Source of Income / Investment Fund*

- Thailand
- Other countries (Please specify)

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

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

1.13 Asset Value Baht

(Asset includes deposits, direct investment in securities and derivatives, shareholder’s equity as the latest financial statement that is reviewed by auditor)

1.14 Investment Objective*

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

1.15 List of Juristic's Directors*

	Name - Surname	Nationality	ID Card No./ Passport No.	Date of Expiry	Authorized Signatory		Chief Executive
					<input type="checkbox"/> Yes	<input type="checkbox"/> No	
1					<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/>
2					<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/>
3					<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/>
4					<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/>
5					<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/>
6					<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/>
7					<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/>
8					<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/>
9					<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/>
10					<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/>

Adding or removing table rows is acceptable if it is necessary

*Required

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

.....

1.17 List of Shareholders holding from 25% of shares

Individuals who are shareholders of juristic's owner:

	Name – Surname of Shareholders	Nationality	ID Card No. /Passport No.	Date of Expiry	% of Shareholding
1					
2					
3					
4					

Adding or removing table rows is acceptable if it is necessary

Juristics who are shareholders of juristic's owner:

1. Juristic Name.....

Commercial Registration No. Registered Country.....

	Name - Surname or Juristic Name	Nationality	ID Card No. /Passport No. / Tax ID /Commercial Registration No.	Date of Expiry	% of Shareholding
1					
2					
3					
4					

Adding or removing table rows is acceptable if it is necessary

2. Juristic Name.....

Commercial Registration No. Registered Country.....

	Name - Surname or Juristic Name	Nationality	ID Card No. /Passport No. / Tax ID /Commercial Registration No.	Date of Expiry	% of Shareholding
1					
2					
3					
4					

Adding or removing table rows is acceptable if it is necessary

*Required

1.18 End Beneficiary Information

Title Mr. Mrs. Miss Other

Name - Surname :

Nationality (Please specify all nationalities that you hold)...../...../.....

Date of Birth -- (A.D.)

ID Type

ID Card No. --- Date of expiry -- (A.D.)

Lifetime ID Card No. ----

Passport No. Issuing country Date of Expiry -- (A.D.)

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

Residence Registration Address

Address No. Moo No. Building/Mooban Floor Soi

Road Sub-district/Tambon District/Amphur

Province Postal Code..... Country

Contact Address

Address No. Moo No. Building/Mooban Floor Soi

Road Sub-district/Tambon District/Amphur

Province Postal Code..... Country

Mobile phoneHome Telephone.....

E-mail.....

Occupation

Relationship as an End Beneficiary

Shareholder who own 25% of total shares or higher

Being Chief Executive

Other (Please specify)

Are you a politician or connected to any Political person?

Yes Please specify No

Remark: Multiple beneficiaries are acceptable

*Required

1.19 Authorized Signatory of Juristic Investor*

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

Name - Surname

Date of Birth -- (A.D.)

ID Type

ID Card No. --- Date of expiry -- (A.D.)

Lifetime ID Card No. ---

Passport No. Issuing country Date of Expiry -- (A.D.)

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

Residence Registration Address

Address No. Moo No. Building/Mooban Floor Soi

Road Sub-district/Tambon District/Amphur

Province Postal Code..... Country

Contact Address

Address No. Moo No. Building/Mooban Floor Soi

Road Sub-district/Tambon District/Amphur

Province Postal Code..... Country

Mobile phoneHome Telephone.....

E-mail.....

Occupation

Are you a politician or connected to any Political person?

Yes Please specify No

Condition of Authorized Signatories for Transaction

.....

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

Authorized Signatory of Juristic Investor's Signature

*Required

1.19 Authorized Signatory of Juristic Investor (Cont)

2) Title Mr. Mrs. Miss Other

Name - Surname

Date of Birth -- (A.D.)

ID Type

ID Card No. --- Date of expiry -- (A.D.)

Lifetime ID Card No. ---

Passport No. Issuing country Date of Expiry -- (A.D.)

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

Residence Registration Address

Address No. Moo No. Building/Mooban Floor Soi

Road Sub-district/Tambon District/Amphur

Province Postal Code..... Country

Contact Address

Address No. Moo No. Building/Mooban Floor Soi

Road Sub-district/Tambon District/Amphur

Province Postal Code..... Country

Mobile phoneHome Telephone.....

E-mail.....

Occupation

Are you a politician or connected to any Political person?

Yes Please specify No

Condition of Authorized Signatories for Transaction

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

Authorized Signatory of Juristic Investor's Signature

*Required

2. Additional Information

Automated Transfer System: ATS

Bank Account for Subscription

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

Bank Account for Redemption Proceeds and Dividend

- Same as Bank Account for Subscription
- Other (Please specify)

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

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

Statement of confirmation

I confirm that the information provided in the account opening application form and relevant supporting documents are truthful, complete and up-to-date.

.....
 (.....)
 Applicant Signature

.....
 (.....)
 Applicant Signature

*Required

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

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

Suitability test for Juristic Investor

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

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

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

2. Portion of your expenses compare with your revenue?

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

3. What is your current financial status?

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

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

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

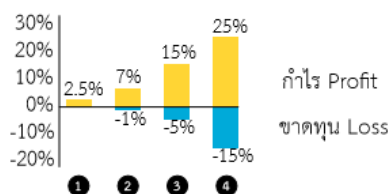
5. What is your investment period target?

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

6. What is your main investment goal?

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

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



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

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

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

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

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

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

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

Apply only to investment in derivatives and structure note

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

- Not acceptable
- Partial risk is acceptable
- Total risk is acceptable

Apply only to offshore investment

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

- Not acceptable
- Partial risk is acceptable
- Total risk is acceptable

For Staff

Part 1: Assessment Scores

Answer a = 1 point Answer b = 2 points Answer c = 3 points Answer d = 4 points

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

Part 2: Assessment Result

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

Part 3: Basic Asset Allocation

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

* Including consumer products and derivatives products

Total Scores

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

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

Trinity Securities Group

Signature Card

Date/Month/Year _____ Account No. _____

Customer Name _____

Telephone No. _____

Attorney-in-fact _____

Telephone No. _____

Specimen Signature

Owner	Attorney-in-fact

Checked by _____

Marketing Officer

Head of marketing team / Branch Manager

Operation Officer



AGENCY AND BROKERAGE AGREEMENT FOR PURCHASE AND SALE OF SECURITIES

1. Place of Execution of Agreement : **Trinity Securities Company Limited**

2. Date of Agreement :

3. Parties :

3.1 NameSurname..... Address House
 Office No.....Moo.....Soi.....Road,.....
Sub-district.....District.....Province.....,
Zip Code, hereinafter referred to as the "Grantor" of the one part; and

3.2 Trinity Securities Company Limited, having its office located at 1 Park Silom Building, 22nd, 23rd Floor, Convent Road, Silom, Bangrak, Bangkok 10500, hereinafter referred to as the "Company" of the other part.

4. Objective of the Agreement

Whereas the Company is incorporated as a lawful juristic company with proper licenses conferred upon the Company by the Ministry of Finance to engage in trading of securities and/or being an agent/broker for securities trading within and outside the Stock Exchange of Thailand ("SET"). Whereas the Grantor executes with the Company an application to open an account for trading of securities and to appoint the Company as a securities trading agent/broker. The Company accepts such appointment. Both parties hereby agree to execute this Agreement.

5. Definitions

Unless the context otherwise requires in this Agreement,

"Securities" mean shares, debentures, bonds, warrants, derivative warrants, share or debenture certificates, share warrants, or debenture warrants certificates, share subscriptions or debenture subscriptions, unit trusts, unit trust warrants and any other financial instruments, acknowledgement notice of securities transfer service, acknowledgement notice for share certificates or any other instruments as specified by the Securities and Exchange Commission ("SEC"), including interests, dividends, or any other rights attached to such securities;

"Assets" mean cash, securities and other assets, any rights and interests attached to such assets ;

"SET" means the Stock Exchange of Thailand and/or any other secondary markets as prescribed by laws;

"Instructions" mean orders or instructions given orally or in writing or by telephone or by facsimile . Once the Company or its staff or its employees or its agents executes the instructions, the Grantor acknowledges and agrees that this shall be the firm instructions for the Company to act on behalf of the Grantor without requiring the Grantor to grant consent or ratification;

"Incurred Expenses for Securities Trading" mean taxes, expenses and/or any other indebtedness arising from securities trading;

"Depository Center" means Thailand Securities Depository Company Limited and any other places which are depository centers providing securities deposit and withdrawal services, including but not limited to securities clearing and settlement;

"Fees" mean commission and related fees arising from the purchase and/or sale of Securities chargeable to the Grantor by the Company in accordance with the rules, conditions and procedures as specified by the SET;

"Securities Trading" means the purchase and/or sale of Securities in accordance with the Instructions of the Grantor, whether within or outside the SET, including but not limited to, Securities

X.....

trading with third parties or the Company Securities trading through enforcement or auction, or by subscription of such Securities;

“**Government Regulations**” mean laws, notifications, orders, and regulations imposed by the Ministry of Finance, Bank of Thailand, SET, SEC, or any other government agencies related to the securities business.

6. Powers and obligations of the Company

6.1 The Grantor agrees to appoint and the Company agrees to accept the appointment as an agent and/or broker and/or attorney-in-fact of the Grantor to trade Securities for the Grantor with authority to act and complete on behalf of the Grantor the following transactions to bind the Grantor:

6.1.1 purchase and sell Securities, including but not limited to transferring, acceptance of transfer, borrowing, delivery and acceptance of delivery of Securities as well as taking those Securities owned and/or purchased by the Grantor to enter into any activity with third parties and/or the Company, and/or any agent of the Company under the name or on behalf of the Grantor in all respects;

6.1.2 pay, receive monies, receive dividends and pay all indebtedness arising from the purchase and/or sale of Securities in the name and on behalf of the Grantor, whether such payment shall be made to third parties, the Company, or any agent of the Company with the authority to issue receipts, endorse cheques, and/or any other instruments at the stage of and in the course of the purchase and/or sale and/or to enter into any transaction (juristic act) in connection with such Securities until completion thereof;

6.1.3 sign or execute on behalf of the Grantor for any transaction (juristic act) and/or sign on any instruments in connection with the purchase and/or sale and/or in connection with the transfer of Securities, which include any pledged Securities of the Grantor with the Company and/or other persons, and/or to give notice to revoke the pledge for disposal of Securities and/or for related activities;

6.1.4 appoint an agent, or authorize the officers of the Company to act in accordance with the powers granted herein orally and in writing and/or to appoint other persons as sub-agents to conduct activities within the above-mentioned powers. This shall include the power to revoke Instructions to appoint such agent or authorize such officers or delegate such sub-authorization;

6.1.5 act as the Grantor’s custodian for the benefit of keeping, purchasing, selling, borrowing or lending the Securities; or securing the trading or borrowing or lending securities; or for whatsoever benefits. The Company shall have the rights and duties within the following scopes:-

- (1) to keep in custody the Grantor’s assets within the scope specified by law. The assets may be kept separately for each individual Grantor or kept collectively for several Grantors;
- (2) to receive and deliver assets, transfer or receive transfer of any assets under the name of the Grantor and/or by the order of the Grantor. The foregoing shall not include any cash payment for securities trading wherein the "Grantor" is required to settle the payment himself;
- (3) to prepare accounts showing the trade transaction and balance of assets of the Grantor;
- (4) to inform and report the Grantor either in writing or orally of the act following an instruction of the Grantor in relation to the receipt and delivery of securities, securities to be registered on book closing date for purpose of shareholders' meeting, receiving dividend, receiving right to purchase newly issued shares, interest and others. The Company will close the registered book under the name of the Grantor and then the Registrar of such securities shall deliver a letter to the Grantor at the address provided by the Grantor to the Company informing of any of the Grantor's rights; and
- (5) to perform other duties as described in the Notification of the SEC No. Kor.Thor. 4/2543 and/or Notification of the Office of the SEC regarding Custody of Customer's Assets under the Securities and Exchange Act B.E. 2535 (1992).

6.2 With respect to the said appointment and authorization, this Agreement shall be deemed a power of attorney appointing the Company to be an agent and/or a broker of the Grantor for the purchase and/or sale of Securities.

6.3 The Grantor hereby agrees and grants the Grantor's consent to the Company to enter into any transaction (juristic act) on behalf of the Grantor with the Company or on behalf of the Company or the Company in its capacity as an agent of a third party.

6.4 Where the Grantor issues an Instruction to purchase Securities, if the Company purchases the Securities less than the amount specified in the Instruction, the Grantor agrees that the amount purchased by the Company at that time is the completed amount.

The Grantor expressly hereby agrees that the Company is entitled to refuse the Instruction of the Grantor to purchase Securities at any time as deems appropriate, without having to issue notice or provide any reasons to the Grantor .

6.5 The purchase and sale of Securities hereunder is a purchase and sale of Securities in accordance with the name, type, kind, amount and price of such Securities. There shall be no requirement that the Securities must be purchased from, or sold to, any specific person or that any person should be the titleholder in such traded Securities. The Company may use the same type, kind and amount of Securities upon the time that the Company accepts or delivers the Securities to the purchaser or the seller or the Grantor.

6.6 In Securities Trading hereunder, the Company does not warrant that the traded Securities are not subject to any encumbrance. Should it be found at a later date that the Company cannot transfer nor deliver the Securities to the Grantor or to the Securities purchaser due to the fault of the purchaser or the seller or the Grantor or due to the nature of the Securities *per se* or due to the violation of the Company's Articles of Association or due to the violation of the Government Regulations or due to any other causes, the Grantor agrees to be solely responsible and shall not commence any legal action against the Company in order to demanding the Company to act or omit to act, nor claim for any damages from the Company.

6.7 The Grantor may change or cancel the Grantor's Instruction given to the Company by informing the Company of such change or cancellation provided that such change or cancellation must be made during the period of business day of the SET prior to completion in whole or in part of the purchase or sale of the Securities. Such changed or cancelled Instruction shall be effective after obtaining confirmation thereof from the Company. In this connection, it shall in no ways affect the Company as a result of the Company's previous undertaking before the Company provides confirmation of said change or cancellation of the Instruction in all respects.

6.8 The Grantor agrees that the Grantor shall not terminate and/or revoke the power the Grantor has given to the Company under Clause 6.1 of this Agreement, regardless of any causes until the Company receives in full all payments owed by the Grantor to the Company.

7. Trading Limit

In Securities Trading, the Company agrees that the Grantor shall trade Securities through the Company hereunder within the limit reviewed and approved by the Company and in accordance with the procedures on computation of the limit of the Company, provided that the Company shall, at its discretion, increase or decrease the limit at any time without obtaining prior consent from the Grantor. The Grantor shall agree and accept such increase and decrease of such limit accordingly. The Company shall not be required to notify the Grantor of such increase or decrease in advance in any respect.

In case where the Company approves the Instruction to, in all respects, purchase and sell Securities of the Grantor in an amount exceed the limit , the Grantor shall agree and accept the completion of such purchase and/or sale under the Agreement . Subsequently, it shall be deemed that the amount of the said purchase and/or sale shall not exceed the trading limit approved by the Company and that the Company is entitled to not effect the purchase per Instruction with the trading amount exceeding the Securities Trading limit. The Grantor agrees and acknowledges not to claim any damages or expenses from the Company in all respects due to the event that the Company did not comply with the Grantor Instruction of such purchase..

8. Fees

8.1 The Grantor agrees to pay to the Company the Incurred Expenses for Securities Trading and Fees on all occasions of purchase and sale, subject to the rates announced by the company under the regulations of the SET prevailing at the time of purchase or sale of such Securities.

8.2 In case where the SET fixes the new fee rates after execution of this Agreement, the Grantor agrees to promptly pay to the Company the new Fee rate at the time the new Fee rates become effective, without having to give prior notice to the Grantor.

9. Payment

9.1 Where the Company purchases Securities under any transaction in accordance with the Instructions of the Grantor, the Grantor agrees to pay to the Company for the price of such Securities transaction with the Incurred Expenses in Securities Trading and Fees within the third business day following the date of the purchase of Securities in such transaction or following other due date as stipulated by the SET or the Company.

In the case where the Grantor makes payment by cheque, it shall be deemed that the Grantor makes payment of the Securities purchase price on the date that the Company collects cleared fund of the said cheque.

If the Grantor is in default on payment of any Securities transaction, the Grantor agrees and grants the Grantor's consent that the Company shall have the rights to offer such Securities to be sold on the next business day following the above-mentioned due date. The Grantor hereby waives it's the Grantor's right to require the Company to give advance notice of sale of such Securities to the Grantor. If the proceeds are insufficient for the Securities purchase price as well as interest and expenses accrued as shall be settled with the Company by the Grantor, the Grantor agrees to promptly indemnify the Company in full.

9.2 In a case where the Grantor is in default or breaches this Agreement in making payment hereunder, the Grantor shall pay to the Company the interest at the highest rate (at present 15%) that the law permits the Company to charge customers in a case of default, including, but not limited to, penalty stipulated by the Company, expenses arising from any demand, legal proceedings, enforcement, and legal fees incurred by the Company.

9.3 In addition to the dates and times for payment prescribed hereunder, the Company is entitled to demand without providing any reason therefor that the Grantor [should] pay indebtedness arising from this Agreement at any time as the Company deems appropriate . The Grantor agrees that once the Company demands for such payment, the Grantor shall promptly make payment in full upon demand.

For the purposes of obtaining any payment hereunder or the above-mentioned damages, the Grantor agrees that the Company is entitled to set off any debt between the Company and the Grantor, regardless of the fact that the debt of the Grantor is not yet due.

9.4 In the case where the Company sells any one or more Securities in accordance with the Instruction of the Grantor, the company shall pay to the Grantor, the proceeds from the sales of such Securities less the Incurred Expense for Securities Trading and Fees on the third business day following the date of sales of the Securities or any other date as specified by SET or the Company. The Company is entitled to withhold the proceeds thereof until the Company receives any payment from such transaction in full.

9.5 If the Company sells any one or more Securities in accordance with the Instructions of the Grantor, the Grantor agrees to deliver the said Securities to the Company before 12:00 a.m. on the business day following the date of sale of the Securities or in accordance with the governing rules, regulations and procedures of the SET in relation thereto.

In the case that the Grantor has transferred Securities through the account held at the Depository Center established for the purposes of depositing, withdrawal or transfer of Securities to the Company, or if the Grantor has ordered the Company to deliver such Securities from such account before 12:00 a.m., the Grantor shall be considered as having delivered such Securities to the Company in accordance with the foregoing paragraph.

In the case that the Grantor has Securities under custody with the Company , which includes Securities owned by the Grantor and deposited with the Depository Center, the Grantor agrees and grants the Grantor's consent to the Company to deliver the aforesaid Securities.

9.6 If the Grantor fails to deliver the above-mentioned Securities, the Grantor agrees and grants the Grantor's consent that the Company shall purchase and deliver to the SET such Securities on behalf of the Grantor at any time the Company deems appropriate. The Grantor shall be responsible for all expenses and damage arising therefrom. Should there be any profit derived from the said purchase, the Grantor agrees to transfer such profit to the SET.

In addition to the foregoing, it shall not prejudice the right of the Company to charge penalty to the Grantor at the rate prescribed, from time to time, by the Company and/or the Government Regulations, if the Grantor fails to deliver the Securities within the time period prescribed in Clause 9.5 or fails to deliver the Securities which results in the Company having to purchase the said Securities on the SET for delivery under the above paragraph.

10. Collateral

10.1 The Grantor agrees and grants the Grantor's consent that all Securities held by the Grantor at the time of execution of this Agreement or held by the Grantor hereafter and in the possession of the Company, including fruits and any other rights in connection with such Securities shall be held as collateral for all outstanding obligations of the Grantor owed to the Company. The Company shall have the rights to withhold all such Securities until the Company has received payment in full from the Grantor.

The above-mentioned Securities shall include Securities delivered by the Grantor to the Company and Securities purchased by the Company in accordance with the Instructions of the Grantor.

10.2 The Grantor agrees that the Grantor shall not act and/or permit third parties to act or do whatsoever which shall result in the Securities under Clause 9.1 being damaged , depreciated, useless or derogated.

10.3 The Grantor agrees and grants the Grantor's consent that the Company shall deliver the above-mentioned Securities so they may be traded and/or pledged and/or placed as collateral for payment of the Grantor's obligations owed to the Company or the Company's obligations owed to third parties and/or lent the said Securities to other persons.

11. Cash Collateral

In case where the Grantor has made a cash deposit with the Company for purposes of Securities Trading, the Grantor understands and acknowledges that the Company has set the practical guidelines to manage fund for the Grantor in consistent with the regulations set by the SEC as follows:

11.1 The Company will segregate the fund of the Grantor from that of the Company and invest by depositing it in the savings account with the commercial banks or other financial institutions established under specific laws and/or to purchase bills of exchange or promissory notes issued by the finance companies or the securities companies.

11.2 Rate of return on cash deposit to be received by the Grantor shall not exceed the rate, which the Company expects to receive by investing the Grantor's fund as set forth in Clause 11.1.

11.3 The Company shall pay returns to the Grantor in the form of interest at the rate and duration as prescribed by the Company, taking into consideration the interest return to be received from the investment as set forth in clause 11.1.

11.4 The fund deposited by the Grantor with the Company for the purpose of the Securities Trading shall not be subject to deposit guarantee scheme of the Financial Institutions Development Fund since the Company engages solely in the Securities business

11.5 In case where the Grantor is indebted to the Company, the Company agrees and grants the Grantor's consent that the Company shall promptly set off the fund deposit of the Grantor against the

debts, whether in whole or in part, without prior notice or consent from the Grantor. This shall not prejudice the Company to claim for any outstanding amount owed by the Grantor to the Company.

12. Custody of Grantor's Assets

12.1 The Company shall separate the Grantor 's assets from the Company's assets and the Company shall not create any lien, pledge, covenant or encumbrance over the Grantor's assets.

12.2 Correct Instruction of the Grantor:

- (1) shall be in writing and in accordance with the provisions set in the procedures for Customers to Deposit and Withdraw Assets , which is deemed as an integral part of this Agreement.
- (2) Instruction by other means shall be deemed valid when made in the agreed form signed by both parties.

12.3 No remuneration for custody of assets shall be charged by the Company except for applicable fees stipulated by the Company. If there are any fee alteration or the remuneration to be charged, the Company shall notify in writing to the Grantor of such change .

12.4 The Company agrees to prepare and submit to the Grantor an assets report on monthly basis except where there is no transaction causing any movement or alteration of assets under the custody of the Company. In case there is no transaction for a period of more than six months, the Company may submit a report to the Grantor every six months.

12.5 The Company shall not appoint any person to act as its agent in custody of the Grantor's assets, except in compliance with Clause 6.1.5 or in compliance with legal measures as specified by the SEC.

13. Notice

13.1 The Grantor agrees that the name, address and telephone number of the Grantor given to the Company are the actual name, address and telephone number of the Grantor whereby the Company can contact the Grantor. Should there be any change to the above name, address, and telephone number, the Grantor shall be required to immediately notify in writing the Company. So long as the company is not notified in writing of the said change, it shall be deemed by the Grantor that the name, address and telephone number given to the Company hereunder shall be the address for receipt of notice for the Grantor in this respect.

13.2 With respect to notice to the Grantor given hereunder, should the Company notify the Grantor by telephone in accordance with the telephone number of the Grantor indicated or given to the Company, or should the Company give notice in writing to the Grantor at the address of the Grantor indicated hereinabove or at the telephone number or at the address of the Grantor notified in writing to the Company hereafter in case of change of the address thereof, the Grantor hereby acknowledges and agrees that notice to the Grantor has been duly given regardless of the fact whether the Grantor receives the notice by the Grantor or someone else receives the notice for the Grantor. In addition, should there be any change to the telephone number or address of the Grantor, or should there be the address of the Grantor changed or vacated or closed or should there be no one to accept the notice or should the officers concerned notify the Company that the address notified hereunder cannot be found, it shall be deemed that the Grantor has duly received the notice or has been duly notified or contacted thereby.

14. Other Provisions

14.1 In the case where the Grantor delivers to the Company any Securities to be sold, the Grantor warrants that the Grantor is lawful owner of such Securities. The said Securities are lawful and free from being pledged with third parties as collateral or subject to any encumbrance. Should any of the said events occur and result in the company not being able to transfer or sell or deliver the Securities to any purchaser, the Grantor agrees to immediately indemnify the company for all damages incurred by the Company from the date it was so notified by the Company.

14.2 In the Company's capacity as the Grantor's broker and/or agent for Securities trading, the Grantor agrees and grants the Grantor's consent to have the Company deposit purchased Securities

or Securities held by the Company with the Depository Center under the name of the Company pursuant to SEC Act or other relevant rules, regulations and notification. In this respect, the Grantor agrees and grants the Grantor's consent that the Company shall fulfill and comply with criteria, conditions, procedures including guidance of the Depository Center, for instance, allowing the Company to disclose to the Depository Center, the Grantor's name, address and other details.

14.2.1 If the Grantor wishes to withdraw the Grantor's Securities deposited with the Depository Center under the foregoing paragraph, the Grantor shall inform the Company in advance at least one business day to enable the Company to withdraw such Securities and deliver to the Grantor such Securities upon receipt thereof from the Depository Center.

14.2.2 During the time such Securities are deposited with the Depository Center, the Grantor agrees and grants the Grantor's consent to the Company to obtain for the Grantor any rights and benefits arising from holding such Securities of issue companies under Clause 14.2.1 entitled and that the Company shall transfer to the Grantor those rights and benefits and/or in proportion to the Grantor's right and/or amount the Grantors shall be entitled to.

14.3 If the Grantor is in breach of any terms of this Agreement or default of any payment hereunder, the Grantor agrees and grants the Grantor's consent that the Company shall be entitled to possess the collateral under Clause 10 sell hereof and other non-pecuniary assets to pay out the debt owed to the Company without prior consent of the Grantor. The Grantor further agrees to indemnify the Company for all damages arising therefrom. The said damages shall include expenses arising from any demand, legal proceedings, enforcement and legal fees. The Company shall thereby be entitled to terminate this Agreement.

14.4 In exercising the Company's rights to sell the collateral under Clause 14.3 hereof the Grantor agrees and grants the Grantor's consent that the Company shall at its sole discretion, consider and determine any transaction and amount of collateral to be sold. Once the said collateral has been sold, the Grantor shall not object, cancel, revoke, or claim for any damages from the said sale.

14.5 In the case where the Grantor is dead, or becomes incapacitated person, or is sued or otherwise as the Company deems appropriate, the Grantor agrees and grants the Grantor's consent that the Company shall take the following actions to pay out any debts of the Grantor owed to the Company:

14.5.1 to sell in whole or in part the collateral and other assets in possession of the Company or acquired on behalf of the Grantor;

14.5.2 to purchase Securities in whole or in part to compensate the Company wherein the Grantor instructed the Company to sell such Securities but the Grantor fails to deliver such Securities to the Company; and

14.5.3 to cancel the Instructions to purchase or sell the Securities as instructed by the Grantor but the Company did not act nor effect to close the account of the Grantor, in whole or in part, nor effect to satisfy any debt or other obligations of the Grantor.

14.6 The Grantor understands and acknowledges that the Securities Trading on the SET is subject to risks for the reason that the fluctuation of the value and return from the said Securities Trading are based on the Securities price, liquidity of the Securities market or the unforeseeable general investment conditions. Thus, the Grantor may not receive the fund and return in an amount equal to the invested amount. Furthermore, the Grantor understands and acknowledges that this Agreement may not incorporate all kinds of risks arising from Securities Trading, the Grantor may, therefore incur other risks which have not been incorporated in this Agreement. As the Company acting as a broker for Securities Trading shall not constitute a warranty that the Company shall be able to protect all kind of risks. Thus, the Grantor shall exercise its own careful discretionary consideration in making a decision to trade the securities according to the risk and return profiles acceptable by the Grantor. The Grantor also understands and acknowledges the risk of the derivative warrants as shall be notified by the Company in the publication for trading of derivative certificates. It shall be deemed that the Grantor acknowledges and understands investment risks in other Securities to be announced and enacted by the relevant regulatory authorities and distributed by the Company.

14.7 No failure on the part of the Company in exercising any rights to demand, payment, debt settlement or whatsoever the Company shall be entitled to pursuant to this Agreement in all respects

shall operate as a waiver of any rights as aforementioned. Any specific waiver of rights (if any) shall not be construed to be a waiver for exercising the same or similar rights which may arise again in the future.

14.8 The Grantor hereby agrees not to make any demand, file any lawsuits or take any action against the Company in the event of any damages incurred to the Grantor as a consequence of any action, omission, or fault on the part of the SET, or any other party which is beyond the Company's control, for instance, the Grantor's damages due to the delay in receiving Securities certificate. For the sake of this Agreement, the Grantor's Securities held in the Company's Securities Deposits Account with the Depository Center shall be deemed as if the Company was in possession thereof or such Securities were held by the Company on its own.

14.9 This Agreement shall remain in effect for an indefinite period. The Company reserves the right to terminate this Agreement at any time without advance notices to the Grantor. In the event that the Grantor wishes to terminate this agreement, the Grantor is required to provide the Company with a written notification at least 7 days in advance. The rights and responsibilities of the Grantor and the Company shall remain unchanged until the termination of this Agreement has become effective.

14.10 In the case where the changes in any Government Regulations affect any term of this Agreement, the Grantor agrees and grants the Grantor's consent that the Company shall change, amend or modify this Agreement to conform with the said Government Regulations, as the case may be. The Company shall only notify the Grantor of the change, amendment or modification thereof. The Grantor shall strictly comply with the said Government Regulations unless otherwise expressly stated in this Agreement whereby the Company shall not notify the Grantor of such change, amendment or modification thereof.

In additional to the terms prescribed herein, the parties agree to comply with the Authority Regulations and General Ordinary Commercial Practices in Securities Trading shall apply simultaneously in this respect.

In the case where any of the terms hereof is or becomes illegal or invalid or void by operation of law, both parties agree that the remaining provisions under this Agreement shall remain enforceable in accordance with the law.

IN WITNESS WHEREOF, both parties having read and thoroughly understood this Agreement, hereby affix their signatures.

SignedGrantor
()

Signed.....the Company
()

SignedGrantor
()

SignedWitness
()

SignedWitness
()

FATCA & CRS 02: แบบแจ้งความเป็นบุคคลอเมริกันและผู้มีถิ่นที่อยู่ทางภาษีในประเทศอื่น

FATCA/CRS Entity Self-Certification Form

สำหรับลูกค้าประเภทนิติบุคคล

for Entity/Juristic Person

หนังสือฉบับนี้ ทำให้แก่บริษัทหลักทรัพย์ ตรีเน็ต จำกัด ตลอดจน กองทุนและนิติบุคคลอื่นที่เป็นเจ้าของผลิตภัณฑ์ทางการเงินที่บริษัทหลักทรัพย์ ตรีเน็ต จำกัด เป็นตัวแทนหรือเป็นผู้สนับสนุนการขายและรับซื้อคืน ซึ่งต่อไปนี้เรียกว่า “ตรีเน็ตพาร์ทเนอร์” This FATCA/CRS Entity Self-Certification Form is made for Trinity Securities Company Limited and other entities who are the owners of financial product(s) that Trinity Securities Company Limited is their selling agent or LDBU (Trinity Partner)

วันที่
Date

เลขที่บัญชี-
- Account No.

ชื่อองค์กร/นิติบุคคล/บริษัท ผู้ขอเปิดบัญชี Name of Organization/Entity/Company of Applicant		("ลูกค้า") (The "Customer")
สำหรับสถาบันการเงินภายใต้ข้อกำหนดของ FATCA ที่มี GIIN For financial institutions under the definition of FATCA that have a GIIN		ประเทศที่จดทะเบียน หรือ จัดตั้ง / Country of Incorporation /Registration or Organization
<input type="checkbox"/> หมายเลข GIIN ของลูกค้า / Customer GIIN [][][][][][] . [][][][][][] . [][] . [][][][][][]		เลขทะเบียนนิติบุคคล / Entity Registration Number
<input type="checkbox"/> กรณีลูกค้าเป็นนิติบุคคลที่ได้รับการสนับสนุน (Sponsored Entity) โปรดระบุชื่อและหมายเลข GIIN ของนิติบุคคลที่สนับสนุน (Sponsoring Entity) / If the customer is Sponsored Entity, please provide the name and GIIN of Sponsoring Entity ชื่อนิติบุคคลที่สนับสนุน / Name on Sponsoring Entity หมายเลข GIIN ของผู้สนับสนุน / GIIN of Sponsoring Entity [][][][][][] . [][][][][][] . [][] . [][][][][][]		เลขประจำตัวผู้เสียภาษีไทย / Thai Tax ID
		เลขประจำตัวผู้เสียภาษีในประเทศอื่น (โปรดระบุทุกประเทศ ถ้ามี) Foreign Tax Identification Number(s) (please outline all if any) หมายเลข/ID.....ประเทศ/Country..... หมายเลข/ID.....ประเทศ/Country..... หมายเลข/ID.....ประเทศ/Country.....
สถานะของผู้ขอเปิดบัญชี Status of Applicant โปรดเลือกทำเครื่องหมายในช่องที่สอดคล้องกับสถานะผู้ขอเปิดบัญชี Please select the appropriate boxes corresponding to your status		
ส่วนที่ 1 Part 1 FATCA Declaration Specified U.S. Person		
นิติบุคคลอเมริกัน / U.S. Person status		
หากท่านตอบว่า 'ใช่' ในคำถาม 1.1 โปรดกรอกแบบฟอร์ม W-9 แล้วตอบคำถามต่อไป If you select 'Yes' in Question 1.1, please complete Form W-9. Then continue with the next question.		
1.1 ลูกค้าเป็นนิติบุคคลอเมริกัน (นิติบุคคลที่จดทะเบียนในประเทศสหรัฐอเมริกา) ใช่หรือไม่ ใช่/Yes <input type="checkbox"/> ไม่ใช่/No <input type="checkbox"/> Is the customer a U.S. entity (an entity that has registered or has been incorporated in the U.S.)?		
สถาบันการเงินภายใต้ข้อกำหนดของ FATCA Financial Institution under definition of FATCA		
1.2 ลูกค้าเป็นสถาบันการเงิน ภายใต้ข้อกำหนดของ FATCA ใช่หรือไม่ ใช่/Yes <input type="checkbox"/> ไม่ใช่/No <input type="checkbox"/> Is the customer a financial institution under the definition of FATCA?		
หากตอบว่า 'ใช่' ในข้อ 1.2 โปรดเลือกตอบข้อใดข้อหนึ่งด้านล่าง (If you answer "Yes" in question 1.2 ,please complete of the following boxes)		
1.2.1 ท่านเป็นสถาบันการเงินประเภท Participating FFI ใช่หรือไม่ Are you a Participating FFI under the definition of FATCA?		ใช่/Yes <input type="checkbox"/> ไม่ใช่/No <input type="checkbox"/>
1.2.2 ท่านเป็นสถาบันการเงินประเภท Reporting Model 1 FFI ใช่หรือไม่ Are you a Reporting Model 1 FFI under the definition of FATCA?		ใช่/Yes <input type="checkbox"/> ไม่ใช่/No <input type="checkbox"/>
1.2.3 ท่านเป็นสถาบันการเงินประเภท Reporting Model 2 FFI ใช่หรือไม่ Are you a Reporting Model 2 FFI under the definition of FATCA?		ใช่/Yes <input type="checkbox"/> ไม่ใช่/No <input type="checkbox"/>
1.2.4 ท่านเป็นสถาบันการเงินประเภท Registered deemed-compliant FI ใช่หรือไม่ Are you a Registered deemed-compliant FI under the definition of FATCA?		ใช่/Yes <input type="checkbox"/> ไม่ใช่/No <input type="checkbox"/>

1.2.5 ท่านเป็นสถาบันการเงินประเภท Non-Participating Foreign Financial Institution ใช่หรือไม่ ใช่/Yes ไม่ใช่/No
 Are you a Non-Participating Foreign Financial Institution under the definition of FATCA?

1.2.6 ท่านเป็นเป็นสถาบันการเงินประเภทอื่น ๆ นอกเหนือจากข้อ 1.2.1 – 1.2.5 ใช่หรือไม่ ใช่/Yes ไม่ใช่/No
 Are you other types of Foreign Financial Institutions under the definition of FATCA?

หากท่านตอบว่า 'ใช่' ในข้อ 1.2.6 โปรดกรอกแบบฟอร์ม W-8BEN-E. แล้วตอบคำถามต่อไป
 (If you check 'Yes' in No. 1.2.6, please complete Form W-8BEN-E. Then continue with the next question)

ส่วนที่ 2 **Part 2** **สถาบันการเงินภายใต้ข้อกำหนดของ CRS**
Financial Institution under definition of CRS

โปรดเลือกทำเครื่องหมายในช่องที่สอดคล้องกับประเภทนิติบุคคล Please select the appropriate box corresponding to your entity type

2. ลูกค้าเป็นสถาบันการเงินภายใต้ข้อกำหนดของ CRS ใช่/Yes ไม่ใช่/No
 The customer is a Financial Institution under the definition of CRS one

หากตอบว่า 'ใช่' ในข้อ 2 โปรดเลือกตอบข้อใดข้อหนึ่งด้านล่าง (If you answer 'Yes' in question 2, please complete of the following boxes)

2.1 เป็นหน่วยที่ดำเนินธุรกิจเกี่ยวกับการลงทุนที่ไม่ได้อยู่ในรัฐคู่สัญญาและบริหารโดยสถาบันการเงินตามข้อกำหนดของ CRS
 You are an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution under the definition of CRS

หากท่านเลือกข้อ 2.1 โปรดระบุจำนวนบุคคลผู้มีอำนาจควบคุมทั้งหมดของนิติบุคคลและถิ่นที่อยู่ทางภาษีของผู้มีอำนาจควบคุมใน ส่วนที่ 5 ด้วย
 If you select 2.1, please also indicate the number of all Controlling Person(s) of the Account Holder and Tax Residency of Controlling Person(S) in Section 5

2.2 เป็นหน่วยที่ดำเนินธุรกิจเกี่ยวกับการลงทุนอื่นนอกเหนือจากข้อ 2.1
 You are an Investment Entity other than 2.1

2.3 เป็นสถาบันการเงินประเภท - สถาบันที่รับฝากเงิน สถาบันผู้รับฝากหลักทรัพย์ บริษัทประกันที่กำหนด
 You are a Financial Institution – Depository Institution, Custodial Institution or Specified Insurance Company under the definition of CRS

ส่วนที่ 3 **Part 3** **นิติบุคคลที่ไม่ใช่สถาบันการเงินภายใต้ข้อกำหนดของ FATCA/ CRS**
Non-Financial Entity (NFE) under definition of FATCA/CRS

ประเภทนิติบุคคลที่ไม่ใช่สถาบันการเงิน / Non-Financial Entity (NFE) Type
Active NFE หรือ Passive NFE

3.1 ลูกค้าเป็นนิติบุคคลที่ไม่ใช่สถาบันการเงิน โดยท่านจัดเป็น Active NFE
 The customer is an Active Non-Financial Entity "Active NFE"

หากท่านเลือกข้อ 3.1 โปรดเลือกตอบข้อใดข้อหนึ่งด้านล่าง If you select 3.1, please complete one of the following boxes)

3.1.1 Active NFE- เป็นนิติบุคคลที่หุ้นมีการซื้อขายเป็นประจำในตลาดหลักทรัพย์ หรือ เป็นนิติบุคคลในเครือของนิติบุคคลดังกล่าว an Entity stock of which is regularly traded on an established securities market or its affiliated Entity.

หากท่านเลือกข้อ 3.1.1 โปรดระบุชื่อตลาดหลักทรัพย์ที่ซื้อขายหุ้น: (If you select 3.1.1, please provide the name of the established securities market on which the company is regularly traded:)

หากท่านเป็นบริษัทในเครือของบริษัทที่หุ้นมีการซื้อขายเป็นประจำในตลาดหลักทรัพย์ โปรดระบุชื่อบริษัทในเครือของท่านที่หุ้นมีการซื้อขายเป็นประจำในตลาดหลักทรัพย์: (If you are a affiliated company of a regularly traded company, please provide the name of such company:)

3.1.2 Active NFE- เป็นหน่วยงานราชการ หรือ ธนาคารกลาง (Government Entity or Central Bank)

3.1.3 Active NFE- เป็นองค์กรระหว่างประเทศ (International Organization)

3.1.4 Active NFE- อื่นๆ นอกเหนือจากข้อ 3.1.1 - 3.1.3 ซึ่งได้แก่ Active NFE -other than 3.1.1 - 3.1.3 such as

นิติบุคคล(รวมสมาคม มูลนิธิ)ที่ไม่แสวงหากำไร, นิติบุคคลใหม่ que เริ่มจัดตั้งไม่เกิน 24 เดือน, นิติบุคคลที่อยู่ระหว่างการชำระชำระบัญชีหรือ อยู่ในกระบวนการล้มละลายหรืออยู่ระหว่างปรับโครงสร้างก่อนจะเริ่มดำเนินการใหม่, นิติบุคคลที่สัดส่วนของรายได้และทรัพย์สินไม่ได้เป็น ตามข้อ 3.2, นิติบุคคลที่เป็น Holding company (และ/หรือศูนย์การเงิน) ของบริษัทในเครือซึ่งไม่มีบริษัทใดเป็นสถาบันการเงินตาม นิยามของ FATCA/ CRS, นิติบุคคลอื่นที่ FATCA/CRS กำหนดให้เป็น Active NFE เป็นต้น

a non-profit organization (including association, foundation), an entity that is a non-financial start-up company that has been organized less than 24 months, an entity under liquidation or bankruptcy process or reorganization with the purpose to reopen its operation, an entity with percentage of income and asset do not fall under 3.2, a holding company and/or financial center of the group of companies with no financial institution (by definition of FATCA/CRS) as members of the group, and other Active Entity under definition of FATCA/CRS.

3.2 ลูกค้าเป็นนิติบุคคลที่ไม่ใช่สถาบันการเงิน โดยท่านจัดเป็น Passive NFE ซึ่งหมายถึง...
The customer is a Passive Non-Financial Entity "Passive NFE", namely:

ลูกค้าเป็นนิติบุคคลที่มีรายได้ก่อนหักค่าใช้จ่าย (Gross income) จากเงินฝากและ/หรือทรัพย์สินทางการเงิน และ/หรือค่าเช่า และ Loyalty (โดยที่ค่าเช่าและ Loyalty ดังกล่าวไม่ได้เกิดจากการดำเนินกิจกรรมทางธุรกิจ) ตั้งแต่ร้อยละ 50 ขึ้นไปของรายได้ ทั้งหมดก่อนหักค่าใช้จ่าย (Total Gross income) หรือ มีสินทรัพย์ที่เป็นเงินฝากและ/หรือ ทรัพย์สินทางการเงิน (และ/หรือ ทรัพย์สินที่ก่อให้เกิดค่าเช่าและ Loyalty ดังกล่าวข้างต้น) ตั้งแต่ร้อยละ 50 ขึ้นไป ของทรัพย์สินทั้งหมดของสินทรัพย์รวม ใน รอบบัญชีปีล่าสุด

Passive NFE - namely (1) 50% or more of the gross income for the preceding fiscal calendar year is a passive income (i.e., income from deposits, and/or financial assets, and/or rents and royalties which do not come from business operation , or (2) 50% or more of its assets are assets that produce or are held for the production of passive income.

หมายเหตุ ในกรณีถ้าท่านเป็น Active NFE ตามข้อใดข้อหนึ่งตาม 3.1.1 -3.1.4 แล้ว ท่านจะไม่ใช่ Passive NFE ตามข้อ 3.2

Note: If you are an Active NFE in any one of 3.1.1 -3.1.4 above, then you are not a Passive NFE in 3.2

หากท่านเลือกข้อ 3.2 โปรดระบุจำนวนบุคคลผู้มีอำนาจควบคุมทั้งหมดของนิติบุคคลและถิ่นที่อยู่ทางภาษีของผู้มีอำนาจควบคุม ในส่วนที่ 5 ด้วย

If you select 3.2, please also indicate the number of all Controlling Person(s) of the Account Holder and Tax Residency of Controlling Person(s) in Part 5

ส่วนที่ 4
Part 4

ข้อมูลถิ่นที่อยู่ทางภาษีนอกเหนือจากประเทศอเมริกาและหมายเลขประจำตัวผู้เสียภาษีของเจ้าของ บัญชี สำหรับ CRS
Tax Residency (other than the USA) and Taxpayer Identification Number (TIN) of the Account Holder for CRS

กรุณากรอกข้อมูลในตารางดังต่อไปนี้ : Complete the following table indication:

“ถิ่นที่อยู่ทางภาษี” หมายถึง ประเทศที่ท่านมีหน้าที่ต้องเสียภาษีเงินได้ในประเทศนั้นสำหรับเงินได้ที่ได้รับจากประเทศนั้นและ/หรือประเทศอื่น ๆ เนื่องจากการมีภูมิลำเนา ถิ่นที่อยู่ ที่ตั้งอันเป็นศูนย์จัดการและควบคุมนิติบุคคล ที่ที่นิติบุคคลจดทะเบียนจัดตั้ง หรือโดยการพิจารณาหลักเกณฑ์อื่น ๆ “tax residence” means particular jurisdictions in which you are liable to pay income tax by reason of domicile, residence, place of management or incorporation, or any other criterion.

ประเทศถิ่นที่อยู่ทางภาษี Country of Tax Residence	หมายเลข ประจำตัวผู้เสีย ภาษี TIN	หากไม่มีหมายเลขประจำตัวผู้เสียภาษี โปรดระบุเหตุผล ก, ข หรือ ค If no TIN available, enter Reason A, B or C	หากท่านเลือกเหตุผล ข โปรดอธิบายเหตุผลที่ท่าน ไม่สามารถขอหมายเลขประจำตัวผู้เสียภาษีได้ Please explain why you are unable to obtain a TIN if you select Reason B

หากท่านไม่มีหมายเลขประจำตัวผู้เสียภาษี กรุณาระบุเหตุผลดังต่อไปนี้ If a TIN is unavailable, indicate which of the following reason is applicable:

เหตุผล (ก) – ประเทศที่ผู้ถือบัญชีมีถิ่นที่อยู่ทางภาษี ไม่ได้ออกเลขประจำตัวผู้เสียภาษีให้กับผู้อาศัยอยู่ในประเทศนั้น

Reason (A) – The jurisdiction where the account holder is a tax resident does not issue TINs to its residents.

เหตุผล (ข) – ผู้ถือบัญชียังไม่ได้รับเลขประจำตัวผู้เสียภาษีที่ออกโดยประเทศนั้น (หมายเหตุ: โปรดอธิบายเหตุผลที่ท่านไม่สามารถขอหมายเลขประจำตัวผู้เสียภาษีได้)

Reason (B) – The Account Holder is otherwise unable to obtain a TIN. (Note: Please explain why you are unable to obtain a TIN.)

เหตุผล (ค) – ไม่จำเป็นต้องให้หรือเปิดเผยเลขประจำตัวผู้เสียภาษี (หมายเหตุ: เลือกเหตุผลเฉพาะในกรณีที่กฎหมายภายในประเทศนั้นไม่ได้บังคับจัดเก็บเลขประจำตัวผู้เสียภาษี)

Reason (C) – TIN is not required. (Note: Only select this reason only if the domestic law of the relevant jurisdiction does not require the collection of TIN issued by such jurisdiction.)

หมายเหตุ: หากท่านเป็นผู้มีถิ่นที่อยู่ที่ต้องชำระภาษีมากกว่าสี่ประเทศ โปรดระบุในเอกสารแยกต่างหาก

Note: If the account holder is a tax resident in more than four countries, please use a separate sheet.

ส่วนที่ 5

ข้อมูลถิ่นที่อยู่ทางภาษีและหมายเลขประจำตัวผู้เสียภาษี ของผู้มีอำนาจควบคุมสำหรับ FATCA และ CRS

Part 5

Tax Residency and Taxpayer Identification Number (TIN) of Controlling Person(s) for FATCA and CRS

โปรดตอบคำถามในส่วนนี้ หากท่านเป็น (1) เป็น Passive NFE ตามข้อ 3.2 หรือ (2) เป็น Investment Entity ในประเทศที่ไม่เป็นภาคีของ CRS และบริหารโดยสถาบันการเงินอื่นตามนิยามของ CRS ตามข้อ 2.1

Please fill in this Part 5, if (1) you are Passive NFE in 3.2, or (2) you are investment Entity in CRS non-participating country and managed by other financial institution under definition of CRS in 2.1.

5.1 จำนวนบุคคลผู้มีอำนาจควบคุมของนิติบุคคล (Number of controlling person(s) of the account holder) _____ คน (person(s))

“ผู้มีอำนาจควบคุม” หมายถึง บุคคลธรรมดาที่มีสิทธิในความเป็นเจ้าของในสัดส่วนที่ควบคุมนิติบุคคลได้ (เช่น ไม่น้อยกว่า 25%) ในกรณีที่ไม่มีข้อกำหนดผู้ที่มีอำนาจควบคุมตามสิทธิในความเป็นเจ้าของได้ ให้ถือว่าบุคคลธรรมดาที่ดำรงตำแหน่งผู้บริหารระดับสูงของนิติบุคคลเป็นผู้มีอำนาจควบคุมตามนัยของ FATCA/CRS ทั้งนี้ ใช้หลักเกณฑ์การพิจารณาเดียวกันกับ “ผู้ได้รับประโยชน์ที่แท้จริง” ตาม FATF Recommendations หรือ กฎหมายที่เกี่ยวข้อง “controlling person(s)” means the natural person(s) who ultimately has a controlling ownership interest (typically on the basis of a certain percentage, e.g. 25%) in the Entity. Where no natural person is identified as exercising control of the Entity through ownership interests, then under the CRS the Reportable Person is deemed to be the natural person who holds the position of senior managing official. The definition corresponds to the term “beneficial owner” according to the FATF Recommendations and the other relevant laws.

5.2 ข้อมูลของผู้มีอำนาจควบคุม Details of Controlling Person(s)

หมายเหตุ: ในกรณีที่ผู้มีอำนาจควบคุมเป็นบุคคลอเมริกา โปรดระบุให้ประเทศสหรัฐอเมริกาเป็นประเทศที่อยู่ทางภาษี พร้อมระบุเลขประจำตัวเสียภาษีประเทศสหรัฐอเมริกาด้วย (หมายเลข US Social Security Number) ในตารางข้างล่างนี้ด้วย Note: In case the Controlling Person is US Person, please also include USA as one of the Country of Tax Residence together with his/her US TIN (US Security Number) in the Table below.

	ผู้มีอำนาจควบคุมที่ 1 Controlling Person 1	ผู้มีอำนาจควบคุมที่ 2 Controlling Person 2	ผู้มีอำนาจควบคุมที่ 3 Controlling Person 3	ผู้มีอำนาจควบคุมที่ 4 Controlling Person 4
ชื่อ - นามสกุล Full Name (First and last name)				
ประเภทของ Controlling person (1) โดยการถือหุ้น Through Ownership (2) โดยการเป็น(บริหารระดับสูง Through Senior Management Position (3) ควบคุมด้วยทางอื่น control by other means	(1) <input type="checkbox"/> ร้อยละ(%)____ (2) <input type="checkbox"/> (3) <input type="checkbox"/> ระบุ_____	(1) <input type="checkbox"/> ร้อยละ(%)____ (2) <input type="checkbox"/> (3) <input type="checkbox"/> ระบุ_____	(1) <input type="checkbox"/> ร้อยละ(%)____ (2) <input type="checkbox"/> (3) <input type="checkbox"/> ระบุ_____	(1) <input type="checkbox"/> ร้อยละ(%)____ (2) <input type="checkbox"/> (3) <input type="checkbox"/> ระบุ_____
วันเดือนปีเกิด Date of Birth (DD/MM/YYYY)				
สัญชาติ Nationality (ถ้ามีสัญชาติอเมริกาควรถือเป็นบุคคลอเมริกา) (The controlling person should be a US person if he/she has US nationality)				
สถานที่เกิด เมืองและประเทศ City and Country of Birth (ถ้าสถานที่เกิดอยู่ในอเมริกาควรถือเป็นบุคคลอเมริกา) (The controlling person should be a US person if he/she was born in USA)				
ที่อยู่ปัจจุบัน Full Address (House No, Street, City, Country, Post Code)				
เป็นบุคคลอเมริกาหรือไม่ US Person? (กล่าวคือ เป็นพลเมือง หรือ มีถิ่นที่อยู่อาศัยถาวรหรือทางภาษีในประเทศสหรัฐอเมริกา? Namely, has US citizenship, or have a permanent residence, or tax residence in the USA)	<input type="checkbox"/> ใช่/Yes <input type="checkbox"/> ไม่ใช่/No	<input type="checkbox"/> ใช่/Yes <input type="checkbox"/> ไม่ใช่/No	<input type="checkbox"/> ใช่/Yes <input type="checkbox"/> ไม่ใช่/No	<input type="checkbox"/> ใช่/Yes <input type="checkbox"/> ไม่ใช่/No
(1) ประเทศของถิ่นที่อยู่เพื่อวัตถุประสงค์ในการเก็บภาษีอากร Country(s) of Tax Residence(s)				

เลขประจำตัวเสียภาษีอากร Associated TIN(s) หากไม่มีเลขประจำตัวเสียภาษีอากรนั้น ต้องระบุ เหตุผล If no TIN available enter reason หากเลือกข้อ (B) โปรดระบุเหตุผลที่ท่านไม่ สามารถรับเลขประจำตัวเสียภาษีอากร If select (B) please provide reason why unable to obtain TINs	<input type="checkbox"/> (A) <input type="checkbox"/> (B) <input type="checkbox"/> (C)	<input type="checkbox"/> (A) <input type="checkbox"/> (B) <input type="checkbox"/> (C)	<input type="checkbox"/> (A) <input type="checkbox"/> (B) <input type="checkbox"/> (C)	<input type="checkbox"/> (A) <input type="checkbox"/> (B) <input type="checkbox"/> (C)
(2) ประเทศของถิ่นที่อยู่เพื่อวัตถุประสงค์ในการ เก็บภาษีอากร Country(s) of Tax Residence(s) เลขประจำตัวเสียภาษีอากร Associated TIN(s) หากไม่มีเลขประจำตัวเสียภาษีอากรนั้น ต้องระบุ เหตุผล If no TIN available enter reason หากเลือกข้อ (B) โปรดระบุเหตุผลที่ท่านไม่ สามารถรับเลขประจำตัวเสียภาษีอากร If select (B) please provide reason why unable to obtain TIN (s)	<input type="checkbox"/> (A) <input type="checkbox"/> (B) <input type="checkbox"/> (C)	<input type="checkbox"/> (A) <input type="checkbox"/> (B) <input type="checkbox"/> (C)	<input type="checkbox"/> (A) <input type="checkbox"/> (B) <input type="checkbox"/> (C)	<input type="checkbox"/> (A) <input type="checkbox"/> (B) <input type="checkbox"/> (C)
(3) ประเทศของถิ่นที่อยู่เพื่อวัตถุประสงค์ในการ เก็บภาษีอากร Country(s) of Tax Residence(s) เลขประจำตัวเสียภาษีอากร Associated TIN(s) หากไม่มีเลขประจำตัวเสียภาษีอากรนั้น ต้องระบุ เหตุผล If no TIN available enter reason หากเลือกข้อ (B) โปรดระบุเหตุผลที่ท่านไม่ สามารถรับเลขประจำตัวเสียภาษีอากร If select (B) please provide reason why unable to obtain TINs	<input type="checkbox"/> (A) <input type="checkbox"/> (B) <input type="checkbox"/> (C)	<input type="checkbox"/> (A) <input type="checkbox"/> (B) <input type="checkbox"/> (C)	<input type="checkbox"/> (A) <input type="checkbox"/> (B) <input type="checkbox"/> (C)	<input type="checkbox"/> (A) <input type="checkbox"/> (B) <input type="checkbox"/> (C)
(4) ประเทศของถิ่นที่อยู่เพื่อวัตถุประสงค์ในการ เก็บภาษีอากร Country(s) of Tax Residence(s) เลขประจำตัวเสียภาษีอากร Associated TIN(s) หากไม่มีเลขประจำตัวเสียภาษีอากรนั้น ต้องระบุ เหตุผล If no TIN available enter reason หากเลือกข้อ (B) โปรดระบุเหตุผลที่ท่านไม่ สามารถรับเลขประจำตัวเสียภาษีอากร If select (B) please provide reason why unable to obtain TINs	<input type="checkbox"/> (A) <input type="checkbox"/> (B) <input type="checkbox"/> (C)	<input type="checkbox"/> (A) <input type="checkbox"/> (B) <input type="checkbox"/> (C)	<input type="checkbox"/> (A) <input type="checkbox"/> (B) <input type="checkbox"/> (C)	<input type="checkbox"/> (A) <input type="checkbox"/> (B) <input type="checkbox"/> (C)

หากผู้มีอำนาจควบคุมไม่มีหมายเลขประจำตัวเสียภาษี กรุณาระบุเหตุผลดังต่อไปนี้ If a TIN is unavailable, indicate which of the following reason is applicable:
 เหตุผล (ก) – ประเทศที่ผู้ถือบัญชีมีถิ่นที่อยู่ทางภาษี ไม่ได้ออกเลขประจำตัวเสียภาษีให้กับผู้อาศัยอยู่ในประเทศนั้น

Reason (A) – The jurisdiction where the Controlling Person is a tax resident does not issue TINs to its residents.

เหตุผล (ข) – ผู้มีอำนาจควบคุมบัญชียังไม่ได้รับเลขประจำตัวเสียภาษีที่ออกโดยประเทศนั้น (หมายเหตุ: โปรดอธิบายเหตุผลที่ท่านไม่สามารถขอหมายเลข
 ประจำตัวเสียภาษีได้)

Reason (B) – The Account Holder is otherwise unable to obtain a TIN. (Note: Please explain why Controlling Person is unable to obtain a TIN.)

เหตุผล (ค) – ไม่จำเป็นต้องให้หรือเปิดเผยเลขประจำตัวเสียภาษี (หมายเหตุ: เลือกเหตุผลนี้เฉพาะในกรณีที่กฎหมายภายในประเทศนั้นไม่ได้บังคับจัดเก็บเลขประจำตัว
 เสียภาษี)

Reason (C) – TIN is not required. (Note: Only select this reason only if the domestic law of the relevant jurisdiction does not require the collection of
 TIN issued by such jurisdiction.)

หมายเหตุ: หากท่านเป็นผู้มีถิ่นที่อยู่ที่ต้องชำระภาษีมากกว่าสี่ประเทศ โปรดระบุในเอกสารแยกต่างหาก

Note: If the account holder is a tax resident in more than four countries, please use a separate sheet.

ส่วนที่ 6
Part 6

การยืนยันและการเปลี่ยนแปลงสถานะ (Confirmation and Change of Status)

1. ลูกค้ายืนยันว่า ข้อมูลที่ลูกค้าให้ในแบบฟอร์มนี้เป็นความจริง ครบถ้วน ถูกต้อง และเป็นปัจจุบัน
The Customer confirms that the information provided by the customer in this form is true complete, accurate, and current.
2. ลูกค้ารับทราบและตกลงว่า หากข้อมูลที่ให้ตามแบบฟอร์มนี้ หรือตามแบบฟอร์ม W-9 เป็นข้อมูลอันเป็นเท็จ ไม่ถูกต้อง หรือไม่ครบถ้วนสมบูรณ์ บริษัทหลักทรัพย์ ทรินิตี้ จำกัด และทรินิตี้ พาร์ทเนอร์ มีสิทธิใช้ดุลยพินิจแต่เพียงฝ่ายเดียวที่จะยุติความสัมพันธ์ทางการเงิน/ทางธุรกิจกับลูกค้า ไม่ว่าทั้งหมดหรือบางส่วน ตามที่บริษัทหลักทรัพย์ ทรินิตี้ จำกัด และทรินิตี้ พาร์ทเนอร์ เห็นสมควร
The Customer acknowledges and agrees that if the information provided on this form or Form W-9 is false, incorrect, or incomplete, companies in Trinity Securities Company Limited and Trinity Partner shall be entitled to terminate, at its sole discretion, the entire banking/business relationship with the customer or part of such relationship as companies in Trinity Securities Company Limited and Trinity Partner may deem appropriate.
3. ลูกค้าตกลงที่จะแจ้งให้บริษัทหลักทรัพย์ ทรินิตี้ จำกัด และ พาร์ทเนอร์ของบริษัทหลักทรัพย์ ทรินิตี้ จำกัด ทราบและนำส่งเอกสารประกอบให้แก่บริษัทหลักทรัพย์ ทรินิตี้ จำกัด และทรินิตี้ พาร์ทเนอร์ ภายใน 30 วัน หลังจากมีเหตุการณ์เปลี่ยนแปลงอันทำให้ข้อมูลของลูกค้าที่ระบุในแบบฟอร์มนี้ไม่ถูกต้อง ไม่ครบถ้วน หรือ ไม่เป็นปัจจุบัน
The Customer agrees to notify and provides relevant documents to companies in Trinity Securities Company Limited and Trinity Partner within 30 days after any change in circumstances that causes the information provided in this form to be incorrect, incomplete or not current.
4. ลูกค้ารับทราบและตกลงว่า ในกรณีที่ลูกค้าไม่ได้ดำเนินการตามข้อ 3 ข้างต้น หรือมีการนำส่งข้อมูลอันเป็นเท็จ ไม่ถูกต้อง หรือไม่ครบถ้วน สมบูรณ์เกี่ยวกับสถานะของลูกค้าบริษัทหลักทรัพย์ ทรินิตี้ จำกัด และทรินิตี้ พาร์ทเนอร์ มีสิทธิใช้ดุลยพินิจแต่เพียงฝ่ายเดียวที่จะยุติความสัมพันธ์ทางการเงิน/ทางธุรกิจกับลูกค้า ไม่ว่าทั้งหมดหรือบางส่วนตามที่ บริษัทหลักทรัพย์ ทรินิตี้ จำกัด และทรินิตี้ พาร์ทเนอร์ เห็นสมควร
The Customer acknowledges and agrees that failure to comply with item 3 above, or provision of any false, incorrect or incomplete information as to the customer's status, shall be entitled companies in Trinity Securities Company Limited and Trinity Partner to terminate, at its sole discretion, the entire banking/business relationship with the customer or part of such relationship as companies in Trinity Securities Company and Trinity Partner may deem appropriate.

* เพื่อวัตถุประสงค์ของแบบฟอร์มนี้ "บริษัทหลักทรัพย์ ทรินิตี้ จำกัด" สามารถดูรายละเอียดได้ที่ <https://www.trinitythai.com>.
For the purpose of this form, please see at <https://www.trinitythai.com>.

ส่วนที่ 7
Part 7

การเปิดเผยข้อมูลและความยินยอมในการหักเงินในบัญชี
(Disclosure of information and authorization for debiting funds in account)

ลูกค้าตกลงโดยไม่เพิกถอนในการดำเนินการดังต่อไปนี้
The Customer hereby irrevocably agrees as follows:

1. บริษัทหลักทรัพย์ ทรินิตี้ จำกัดและ/หรือ ทรินิตี้ พาร์ทเนอร์จะเปิดเผยข้อมูลต่าง ๆ ของท่านให้แก่บริษัทภายในกลุ่มบริษัทหลักทรัพย์ ทรินิตี้ จำกัดและ/หรือ ทรินิตี้ พาร์ทเนอร์(รวมถึงนิติบุคคลที่เกี่ยวข้องของ ทรินิตี้ พาร์ทเนอร์) เพื่อประโยชน์ในการปฏิบัติตาม FATCA / CRS / OECD หน่วยงานจัดเก็บภาษีอากรในประเทศ และ/หรือ ต่างประเทศ ซึ่งรวมถึง หน่วยงานจัดเก็บภาษีอากรของสหรัฐอเมริกา (Internal Revenue Service: IRS) ข้อมูลดังกล่าวรวมถึง ชื่อลูกค้า ที่อยู่ เลขประจำตัว ผู้เสียภาษี หมายเลขบัญชี สถานะตามหลักเกณฑ์เรื่อง FATCA (คือ เป็นผู้ปฏิบัติตาม หรือผู้ไม่ให้ความร่วมมือ) จำนวนเงินหรือมูลค่าคงเหลือในบัญชี การจ่ายเงินเข้า-ออกจบบัญชี รายการเคลื่อนไหวทางบัญชี จำนวนเงิน ประเภทและมูลค่าของผลิตภัณฑ์ทางการเงิน และ/หรือ ทรัพย์สินอื่น ๆ ที่มีอยู่กับบริษัทหลักทรัพย์ ทรินิตี้ จำกัดและ/หรือ ทรินิตี้ พาร์ทเนอร์ ตลอดจนจำนวนรายได้ และข้อมูลอื่น ๆ ที่เกี่ยวกับความสัมพันธ์ทางการเงิน/ทางธุรกิจที่อาจถูกร้องขอโดยบริษัทหลักทรัพย์ ทรินิตี้ จำกัดและ/หรือ ทรินิตี้ พาร์ทเนอร์ หน่วยงานทางภาษีอากรในประเทศ และ/หรือ ต่างประเทศ ซึ่งรวมถึง IRS ด้วย
Trinity Securities Company Limited and/or Trinity Partner will disclose to the companies in the group of Trinity Securities Company Limited and/or Trinity Partner (including other entities related to financial products you receive service from), for the benefit of FATCA / CRS / OECD compliance, domestic and/or foreign tax authorities, including the U.S. Internal Revenue Service (IRS), your name, address, taxpayer identification number, account number, FATCA compliance status (compliant or recalcitrant), account balance or value, the payments made into or from the account, account statements, the amount of money, the type and value of financial products and/or other assets held with Trinity Securities Company Limited and/or Trinity Partner, as well as the amount of revenue and income and any other information regarding the banking/business relationship which may be requested or required by the companies under Trinity Securities Company Limited and/or Trinity Partner, domestic and/or foreign tax authorities, including the IRS; and
2. ลูกค้ายินยอมให้บริษัทหลักทรัพย์ ทรินิตี้ จำกัดและ/หรือ ทรินิตี้ พาร์ทเนอร์หักเงินจากบัญชีของท่าน และ/หรือ เงินได้ที่ท่านได้รับจากหรือผ่านบริษัทหลักทรัพย์ ทรินิตี้ จำกัดและ/หรือ ทรินิตี้ พาร์ทเนอร์ในจำนวนที่กำหนดโดยหน่วยงานจัดเก็บภาษีอากรในประเทศ และ/หรือต่างประเทศ ซึ่งรวมถึง IRS ภายใต้บังคับของกฎหมาย และ/หรือ กฎเกณฑ์ต่าง ๆ รวมถึงข้อตกลงใด ๆ ระหว่างบริษัทหลักทรัพย์ ทรินิตี้ จำกัดและ/หรือ ทรินิตี้ พาร์ทเนอร์กับหน่วยงานจัดเก็บภาษีอากรดังกล่าว
The Customer authorize Trinity Securities Company Limited and/or Trinity Partner to debit funds withhold from your account and/or the income derived from or through Trinity Securities Company Limited and/or Trinity Partner in the amount as required by the domestic and/or foreign tax authorities, including the IRS, pursuant to the laws and/or regulations, and any agreements between Trinity Securities Company Limited and/or Trinity Partner and such tax authorities.

ข้าพเจ้ารับทราบและตกลงปฏิบัติตามข้อกำหนดและเงื่อนไขต่างๆ ในเอกสารฉบับนี้ ซึ่งรวมถึงรับทราบการเปิดเผยข้อมูล และตกลงยินยอมให้บริษัทหลักทรัพย์ ทรีนีตี จำกัด และพาร์ตเนอร์ของบริษัทหลักทรัพย์ ทรีนีตี จำกัด หักเงินในบัญชี และ/หรือ ยุติความสัมพันธ์ทางการเงิน/ทางธุรกิจกับข้าพเจ้า เพื่อเป็นหลักฐานแห่งการนี้ จึงได้ลงลายมือชื่อไว้เป็นสำคัญ

By signing in the space below, I hereby acknowledge and agree to the terms and conditions specified herein, which include acknowledging the disclosure of information, and authorizing companies in Trinity Securities Company and Trinity Partner to debit funds in account and/or to terminate banking/business relationship.

(.....) ผู้ขอเปิดบัญชี
) Applicant's Signature

สำหรับบริษัทหลักทรัพย์ ทรีนีตี จำกัด และทรีนีตี พาร์ตเนอร์ เท่านั้น / For Trinity Securities Company and Trinity Partner use only

เอกสารประกอบ (ถ้ามี) / Attachment (if any)

W-9

W-8BEN-E

ผู้มีอำนาจลงนาม
Authorized Person

Power of Attorney

Stamp Duty
Baht 30

I/We (the “Grantor”) hereby empower _____ who holds ID number _____, (the “Attorney”) to be true and lawful Attorney in order to conduct the Securities Trading or Futures Trading on behalf of the grantor. The Attorney shall have the power on the following matters:

1. To purchase, sell, transfer, receive the transfer and reserve to purchase all types of Securities or Futures which can be traded in the Stock Exchange of Thailand and other markets or Futures Exchange on my/our behalf, including accept the deliver, deliver or possess such Securities or Futures.
2. To make payment for the Securities, Margin or loss arising from Securities or Futures Trading, fees, stamp duty and other expenses in relation to the Trading, disposition of securities, collection and receipt of payment from the sale of Securities or Futures, including dividend, interest or other rights arising from the Securities, and relevant tax deduction and submission to the Revenue Department.
3. To receive the transfer of Securities or right on Securities, and exercise such right to attend and vote in the shareholder’s meeting in all respects.
4. To appoint the sub-attorney to perform any acts on behalf of the Attorney, the sub-attorney is empowered to have the same power stated in this letter.
5. To do and/or execute in any letters, documents to complete the purpose of this Power of Attorney

Any act, which the Attorney or the sub-attorney has committed in respect to this Power of Attorney, the grantor shall be responsible for any action performed by virtue of this Power of Attorney in all respect.

Signature _____ Grantor
(_____) In letter

Signature _____ Attorney
(_____) In letter

Signature _____ Grantor
(_____) In letter

Signature _____ Attorney
(_____) In letter

Signature _____ Witness
(_____) In letter

Signature _____ Witness
(_____) In letter

Notes: Cross out and provided signature on the topics that the Grantor is not willing to empower.



รายละเอียดผู้รับมอบอำนาจ Attorney Profile

วันที่ Date / /

ชื่อบัญชีที่มอบอำนาจ Grantor name โทรศัพท์ Telephone No.

ประเภทบัญชีที่รับมอบอำนาจ Account Type

() ซื้อขายหลักทรัพย์ Equity

บัญชีเลขที่ A/C No. - -

() ซื้อขายสัญญาซื้อขายล่วงหน้า Derivatives

บัญชีเลขที่ A/C No. - - -

รายละเอียดผู้รับมอบอำนาจ Attorney Profile

ชื่อ-นามสกุล First Name-Last Name

ความสัมพันธ์ Relationship.....

1. ประวัติการกระทำความผิดตามกฎหมายฟอกเงินในช่วง 3 ปีที่ผ่านมา

() ไม่เคยกระทำความผิด No offense () เคยกระทำความผิดมูลฐาน (ระบุ) Been guilty Foundation (undated).....

2. ตำแหน่งทางการเมือง () ไม่มี Without () มี โปรดระบุรายละเอียด Yes, Please provide details.

3. อาชีพปัจจุบัน () เจ้าของกิจการ / หุ้นส่วน (โปรดระบุประเภทธุรกิจ) Business Entrepreneur.....

() ลูกจ้าง/พนักงานบริษัทเอกชน Employee () ราชการ/รัฐวิสาหกิจ Government/State Enterprise () นักลงทุน Investor

() อาจารย์/นักวิชาการ/นักวิจัย Teacher/Scholars/Researchers () นักเรียน/นักศึกษา Students () แม่บ้าน housewife

() เกษียณ (อาชีพก่อนการเกษียณ) Retire (Occupation before retirement)..... () อื่น ๆ (โปรดระบุ) Others (No.).....

4. สถานที่สะดวกในการติดต่อ / สถานที่ทำงาน Contract Address / Office Address

เลขที่ Address No..... อาคาร/หมู่บ้าน Building/Village..... ซอย Soi.....

ถนน Road ตำบล/แขวง Sub District..... อำเภอ/เขต District.....

จังหวัด Province..... รหัสไปรษณีย์ Postal Code โทรศัพท์มือถือ Mobile Phone.....

โทรศัพท์ Telephone No. โทรสาร Fax E-mail Address :

5. ที่อยู่ตามทะเบียนบ้าน Legal Address

เลขที่ Address No หมู่ที่ Village No. ซอย Soi..... ถนน Road

ตำบล/แขวง Sub District อำเภอ/เขต District จังหวัด Province

รหัสไปรษณีย์ Postal Code โทรศัพท์ Telephone No.

ตัวอย่างลายมือชื่อ (Specimen Signature)

X

X

ตรวจรับโดย Checked byเจ้าหน้าที่การตลาด Marketing Officer
.....หัวหน้าเจ้าหน้าที่การตลาด/ผู้จัดการสาขา Head of Marketing/Manager
.....เจ้าหน้าที่ปฏิบัติการ Operation Officer

TSD-202

e-Dividend

Application for Payment of Dividend / Interest

/ Other Cash Benefits to Bank Account

Convenient

Any deposit account with any commercial bank branch in Thailand is acceptable and withholding tax certificate will be provided.

Fast

Can immediately receive dividends, interests and other cash benefits on the payment date.

Safe

No problems for the delay or loss of cheque delivery.

Thailand Securities Depository Co., Ltd.

93 Rachadapisek Road, Dindaeng, Bangkok 10400

SETContactCenter 0 2009 9999

email: SETContactCenter@set.or.th

www.set.or.th/tsd



Thailand Securities Depository

Dear Thailand Securities Depository Co., Ltd. (TSD):

I / We _____

I.D. Card / Passport / Juristic Registration No _____

Mobile Phone _____ email address _____

Notify to receive dividend/interest/other cash benefits in the bank deposit account:

Bank name (branch in Thailand only) _____

Account type Savings Current

Account Number _____

I acknowledge the details and terms of service specified as follows

- The request made herein shall include all securities held by myself as physical securities certificate and/or deposited into the issuer account and/or deposited with the securities depositing member company (securities company or custodian) with TSD as the registrar.
 - I/We agree for TSD to record/update the aforementioned information in the shareholder database both for the scrip system and scripless system and to deliver such information to the securities depositing member company (broker/custodian) with whom I have opened the securities account for the purpose of applying for the e-Dividend service.
 - This application for service shall be fully effective only when TSD has proceeded to verify the information with the bank owning the account or via method prescribed by TSD whereby the securities holder consents to TSD disclosing the above information to the bank for the purpose of verification and approval of the use of e-Dividend service.
 - I/We acknowledge and agree that if there is a problem or obstruction that prevents the payment of dividends/interest/other cash benefits in terms of money into my notified bank account, such as money transfer restrictions or the bank account is not available, etc. I/We agree that TSD will proceed any other actions appropriately in order to deliver such benefits to me through other channels, which includes issuing a check instead of transferring money to my bank account at that time, or at any subsequent time, TSD will notify securities holders of such action on a case-by-case basis
 - I/We have thoroughly read all the details specified in the privacy notice of the Stock Exchange of Thailand group ("SET Group") (<https://www.set.or.th/th/privacy-notice.html>) and acknowledged that my/our personal data, and any third party's personal data I/We have provided to TSD (if any) will be processed and protected under such privacy notice. In this regard, I/We hereby confirm and represent that I/We have procured such third party to read all the details specified in such privacy notice and have duly obtained a proper and lawful consent from such third party to provide the personal data of the third party to TSD.
- In addition,** I/We hereby acknowledge that in case of any special action (such as where fingerprint is used instead of signature) which additional information that may contain sensitive personal data is required to be submitted to TSD and such additional information is necessary for the provision of TSD service, not providing such additional information may render TSD to be unable to provide TSD service to me/us. Hence, by signing this application, I/we agree and consent that such sensitive personal data to be processed by TSD in connection with the purpose of the provision of TSD service.



Sign.....Securities Holder

(.....) Date/...../.....

Remark : 1. Sensitive Data means the information which can be considered as the personal data as prescribed in section 26 of the PDPA, for instance, religious belief, blood type, etc.
 2. TSD will consider the above documents when receiving the complete documents and clear information such as the copy of identification documents or signature.

How to Apply

Please submit the completed form and enclose **other required documents, which duly certificated.**

Individual Person

- 1. Copy of the identification card or alien identification card / passport in case of non-Thai nationality
- 2. Copy of the cover page of the bank account book / bank statement which outlines the name and bank account number of the securities holder only

Thai Juristic Person

- 1. Copy of the certification document issued by the Ministry of Commerce
- 2. Copy of the identification card of authorized director(s)
- 3. Copy of the cover page of the bank account book / bank statement which outlines the name and bank account number of the securities holder only

Foreign Juristic Person

- 1. A copy of the juristic person registration certificate issued by the regulating government agency in a country where such juristic person is domiciled
- 2. A copy of the juristic person's affidavit enumerating its directors authorized to bind the company and conditions relating thereto, showing the company's headquarters location and authority of the signatory. This affidavit must be issued by an authorized official of the juristic person or the government agency in a country where such juristic person is domiciled.
- 3. Copy of the cover page of the bank account book / bank statement which outlines the name and bank account number of the securities holder only

All documents for "Foreign" above, must be:

- Notarized by a notary public or certified by any competent authority in a country where such documents were prepared or certified for the certification of the signature of the person who prepared or certified such documents
- Certified by the Thai Embassy or Thai Consulate in a country where such documents were prepared or certified for the notarization or certification performed by the notary public or such competent authority under (1)
- The certification must be issued not more than 1 year before the date of submission as part of this application
- The documents prepared in any foreign languages other than English must be translated into English
- 3. A copy of the passport or other official identity document of each authorized director signing this document
- 4. A copy of the front page of bankbook or bank statement with securities holder / securities owner's name and bank account number shown

Copy of identification documents submitted to TSD may contain sensitive personal data which is not necessary for the provision of TSD service, and TSD has no intention of collecting such sensitive personal data. As a result, the document owners may proceed to cross out any part in order to cover up any sensitive personal data before submitting the identification documents containing such sensitive personal data to TSD. In case that no action is taken to cover up such sensitive personal data, TSD shall deem that you have given your consent to TSD to the collection of such sensitive personal data.

For a list of companies participating in TSD's e-Dividend program, please visit: www.set.or.th/tsd

TSD will process your request when the completed application form and all the other required documents have been submitted.

Highly Confidential

Date _____

To: Securities Registrar
Thailand Securities Depository Co., Ltd.

I/We (name) _____, a securities holder/beneficiary in scrip (or certificate) form with registration number (if any) _____, identification card/juristic registration number _____ hereby instruct you to make all dividend/interest payments to me/us in the currency specified below (please select only one choice):

- Australian Dollar Hong Kong Dollar Thai Baht Euro
 Pound Sterling US Dollar Japanese Yen Singapore Dollar

I/We acknowledge that the above instruction shall remain in effect until further notice from me/us.

I/We have thoroughly read all the details specified in the privacy notice of the Stock Exchange of Thailand group ("SET Group") (<https://www.set.or.th/th/privacy-notice.html>) and acknowledged that my/our personal data, and any third party's personal data I/We have provided to TSD (if any) will be processed and protected under such privacy notice. In this regard, I/We hereby confirm and represent that I/We have procured such third party to read all the details specified in such privacy notice and have duly obtained a proper and lawful consent from such third party to provide the personal data of the third party to TSD.

In addition, I/We hereby acknowledge that in case of any special action (such as where fingerprint is used instead of signature) which additional information that may contain sensitive personal data is required to be submitted to TSD and such additional information is necessary for the provision of TSD service, not providing such additional information may render TSD to be unable to provide TSD service to me/us. Hence, by signing this application, I/we agree and consent that such sensitive personal data to be processed by TSD in connection with the purpose of the provision of TSD service.

Signature _____ Securities holder/beneficiary
(_____) Phone no. _____ email address _____

Remarks

- Those whose securities have been deposited with a broker/custodian (that is, a so-called "securities holder in scripless or book entry Form") should contact their broker /custodian for currency arrangements.
- If the dividend/interest payment payable is less than the bank fee for currency conversion, TSD reserves the right to execute payment in the form of a Thai baht check.
- Further information is available at SET Contact Center as shown at the bottom of the form.
- Copy of identification documents submitted to TSD may contain sensitive personal data which is not necessary for the provision of TSD service, and TSD has no intention of collecting such sensitive personal data. As a result, the document owners may proceed to cross out any part in order to cover up any sensitive personal data before submitting the identification documents containing such sensitive personal data to TSD. In case that no action is taken to cover up such sensitive personal data, TSD shall deem that you have given your consent to TSD to the collection of such sensitive personal data.

List of Documents to be enclosed with this instruction (all copies must be certified as true, with a signature)

For an individual person A copy of the individual's alien identity card or passport, showing the passport holder and validity date

For a juristic person

- A copy of the juristic person registration certificate issued by the regulating government agency in the country where such juristic person is domiciled.
- A copy of the company's affidavit enumerating its directors authorized to bind the company and conditions relating thereto, showing the juristic person's headquarters location and authority of the signatory. This affidavit must be issued by an authorized official of the juristic person or the governmental agency in the country where such juristic person is domiciled.
- A copy of the Thai ID Card/alien identity card/passport of each authorized director who signs on behalf of the juristic person which has been certified as true and correct copy of the original document by the document owner.

All documents for "Other Nationalities" above, must have been:

- notarized by the notary public or certified by any competent authority in the country where such documents were prepared or certified for the certification of the signature of the person who prepared or certified such documents. (The certification must be issued not more than 1 year before the date of submission as part of this application.)
 - certified by the Thai Embassy or Thai Consulate in the country where such documents were prepared or certified for the notarization or certification performed by The public notary or such competent authority under (1). (The certification must be issued not more than 1 year before the date of submission as part of this application.)
- The documents prepared in any other foreign languages other than English must be translated into English.

Remark : 1. Sensitive Data means the information which can be considered as the personal data as prescribed in section 26 of the PDPA, for instance, religious belief, blood type, etc.
2. TSD will consider the above documents when receiving the complete documents and clear information such as the copy of identification documents or signature.

TSD204_5/2023_EN_1/9/2023

บริษัท ศูนย์รับฝากหลักทรัพย์ (ประเทศไทย) จำกัด
เลขที่ 93 ถนนรัชดาภิเษก แขวงดินแดง
เขตดินแดง กรุงเทพฯ 10400

Thailand Securities Depository Co., Ltd.
93 Ratchadaphisek Road, Dindaeng,
Dindaeng, Bangkok 10400 Thailand



SET Contact Center
www.set.or.th/contactcenter
+662 009 9999 กด 01

STANDARD QUESTIONNAIRE

Foreign Omnibus Client Certification

The following questions are intended to facilitate our understanding of the Anti Money Laundering Policies & Procedures your institution has implemented. (Please circle as appropriate.)

- | | | |
|-----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
| 1. | Are you subject to local laws and regulations designed to prevent money laundering? | YES / NO |
| 2. | Do you maintain mandatory written policies and procedures for the prevention of money laundering? | YES / NO |
| 3. | Do you have arrangements for the independent monitoring and auditing of compliance with the policies and procedures? | YES / NO |
| 4. | Do your policies and procedures meet the requirements of local law and regulations on anti -money laundering? | YES / NO |
| 5. | [Where relevant - Are these policies and procedures also mandatory for all your overseas operations?] | YES / NO / NA |
| 6. | Do your customer identification procedures meet the current recommendations of the FATF? | YES / NO |
| 7. | Are all relevant staff trained on your own policies and procedures and on the requirements of local law and regulations?
If so, how frequently? | YES / NO |
| 8. | Do your procedures require the beneficial owners of corporate customers (other than corporates listed on a stock exchange or subsidiaries of such corporates) to be verified in line with the requirements for personal customers (except any beneficial owner holding less than 20% of the share capital of the relevant corporate)? | YES / NO |
| 9. | Do your procedures require the verification of identification information for all counterparties? | YES / NO |
| 10. | Do your procedures require retention of the relevant KYC records?
If yes, for how long? | YES / NO |
| 11. | Do your procedures, require the disclosure of suspicious transactions to a national criminal intelligence service or other external authority? | YES / NO |
| 12. | Do you complete customer identification on institutions to whom you offer correspondent banking services in accordance with the Wolfsberg Principles for Correspondent Banks, including the provisions relating to "downstream" financial institution customers? | YES / NO / NA |
| 13. | Do your procedures require you to identify the source of your customers' initial funds? | YES / NO |
| 14. | Do your policies prohibit dealings with Shell Banks? (A Shell Bank is a bank that has no physical presence in its country of incorporation (except if a subsidiary of a regulated bank)) | YES / NO |
| 15. | Do you screen accounts and outward payments against the Consolidated List of Terrorists maintained by the United Nations? | YES / NO |
| 16. | Please state the type of banking or financial services business you undertake. | |
| | Deposit Taking | YES / NO |
| | Current account and third party payments | YES / NO |
| | Securities Dealing | YES / NO |
| | Futures and Options Trading | YES / NO |
| | Foreign Currency Dealing | YES / NO |
| | Fund Management | YES / NO |
| | Custody | YES / NO |
| | Derivatives and similar instruments | YES / NO |
| | Lending | YES / NO |
| | Leasing | YES / NO |
| | Trade finance; letters of credit | YES / NO |
| | Other | |
-

17. If you offer payable –through accounts as part of your correspondent banking services to other institutions, do you satisfy yourselves that your client institution has verified the identity of, and performed ongoing due diligence on, its customers having direct access to accounts with you and is able to provide customer identification data upon your request. YES / NO / NA

18. Please describe the nature of your customer base

Retail Customer – domestic	YES / NO
Retail Customers – international	YES / NO
Corporate Customers – domestic	YES / NO
Corporate Customers – international	YES / NO
Financial Institutions – domestic	YES / NO
Financial Institutions – international	YES / NO

19. Do you have customers who are:

Based in countries classified by FATF as high risk	YES / NO
Senior Political Figures	YES / NO
Money transmission services which are not licenced or authorised by a regulatory or governmental body	YES / NO

If you have answered NO to any of the questions 1 to 15 or question 17 above please provide supporting explanations.

Thank you for providing this information, this certification should now be signed by a representative of an independent controls function (such as Legal, Compliance or Audit) within your institution.

Sign: _____

Date: _____

Print Full Name: _____

Position Held: _____

Company Name: _____