

Date_____

For Officer Only

IC Name_____ Promotion Code_____ Client Account No_____

IBA Name_____ IBA Account No_____ IBA Code_____

1. Ordinary Personal

General Information

1.1 (Mr./Miss/Mrs.) Name_____ Middle Name_____ Surname_____

1.2 Type of Card Identification Card Government ID Card Passport

Card No._____ Issued at_____ Issued Date_____ Expiry Date_____

Date of Birth (D/M/Y)_____ Age_____ Nationality_____ Gender Male Female

Status: Single Married Others_____ Telephone_____ Mobile_____

Current Address_____

_____ Postal Code_____ Country_____

2. Ordinary Personal

Occupation

2.1 Occupation Business Entrepreneur Employee Investor Student

Government Officer Politician Housewife Retirement

State Enterprise Officer Freelance Other (Please Specify) _____

(if you choose the occupation list on left side, please fill information in 2.2-2.5) (if you choose the occupation list on right side, please fill information in 3)

2.2 Type of Business Agriculture / Fishery Production Construction Logistic / Warehouse

Communication Information Financial/Insurance Healthy/Cosmetics Education/Academic

Jewelry Trading Antiques Trading Currency Exchanges Money Transfer Business

Casino/Gambling Facilities Entertainment Weapon Distribution Recruitment Agent

Travel Agency Others (Please specify) _____

2.3 If not the business entrepreneur, please specify the position/department_____ / _____

2.4 Company Name_____

2.5 Company Address_____

Telephone_____ facsimile_____

3. Ordinary Personal

Source of Income or Investment Fund

3.1 source of Main Income

Salary Business Entrepreneur Savings Rental

Heritage/Gift Pension Others (Please Specify) _____

Income From overseas, please specify the country_____

3.2 Others Income

Bonus Business Entrepreneur Other(Please specify) _____

Income From overseas, please specify the country_____

Signature_____ (Client)

(_____)

4. Ordinary Personal

Financial Information

- 4.1 Monthly Average Income (THB) <50,000 50,000-100,000 100,000-300,000 >300,000
- 4.2 Others Monthly Income (THB) None <50,000 50,000-100,000 >100,000-300,000
- 4.3 Total Assets Value (THB) < 1,000,000 1,000,000-10,000,000 >10,000,000
- 4.3 Total Debts Value (THB) < 1,000,000 1,000,000-10,000,000 >10,000,000

5. Juristic Person

General Information

- 5.1 Name of Juristic Person _____
- 5.2 Juristic Person Details regarding Company's Affidavit _____
- Type of Business _____ Tax ID _____
- Address _____
- Telephone _____ Facsimile _____
- Website _____ Email _____
- 5.3 Major shareholders, 30% and above 1.) _____ % 2.) _____ % 3.) _____ %
- For any juristic person which hold the shares larger than 30%, please clarify or attached the details of the ultimate beneficial shareholders (50% and above) _____

5.4 Authorized Person

- 1.) _____ 2.) _____
- 3.) _____ 4.) _____

5.5 Authorized Person (account opening) 1.) _____ 2.) _____ 3.) _____

5.6 Do the Director/Authorized Director have a position in politics? No Yes, _____

Please specify the position

5.7 Information of authorized person to trade on behalf of the juristic person and the authorized person of final beneficiaries

A) Authorized person to trade on behalf of the juristic person

Name _____ Surname _____

ID No. /Passport No _____ Expiry Date _____

Date of Birth (D/M/Y) _____ Age _____ Nationality _____ Status: Single Married Others _____

Current Address _____

Postal Code _____ Country _____

B) The authorized person of final beneficiaries

Name _____ Surname _____

ID No. /Passport No _____ Expiry Date _____

Date of Birth (D/M/Y) _____ Age _____ Nationality _____ Status: Single Married Others _____

Current Address _____

Postal Code _____ Country _____

Signature _____ (Client)

(_____)

6. Ordinary Personal and Juristic Person

Channel to receive an information and document (Please choose only one)

6.1 Please fill in Email for receiving news, information and document (E-Document)

Email: _____

7. Ordinary Person

Contact Person in Case of Emergency/Related person (Please fill, if any)

7.1 Name _____ Surname _____ Relationship _____

Telephone _____ Mobile _____ Email _____

7.2 Spouse No Yes Name _____ Surname _____

7.3 Relationship with RHB Employee No Yes Name _____ Surname _____ Relationship _____

7.4 The final beneficiary(s) of the account The Person opening the account

Other, please specify the person (s) Name _____ Surname _____ Relationship _____

7.5 The Ultimate controlling person(s) of the account The Person opening the account

Other, please specify the person (s) Name _____ Surname _____ Relationship _____

"I hereby agree and knowingly understand that any false declaration made by me is an offence under the law and if I am being hired to open an account and/or allow other parties to use my trading account to commit any unlawful act of transaction, I am deemed to be an accomplice of such criminal act"

8. Ordinary Personal and Juristic Person

Understanding on Securities Investment (if any)

8.1 Fundamental knowledge on Securities Investment Excellent Good Fair None

8.2 Do you ever attend the training on Securities Investment ? No Yes
() Securities () Derivatives () Others, _____
please specify

8.3 Investment's Objectives Speculation Dividend Others _____
please specify

8.4 Investment Purpose Short-term Medium-term Others _____
please specify

8.5 The acceptable level of risk Low Medium High

8.6 Investment Experience None Yes, _____ Years

8.7 Type of Investment Account Cash Cash Balance Credit Balance Derivatives
 Others _____

8.8 Other securities company account, please specify (if any)

1. Securities Company Name _____ Account Type _____ Credit Line _____ Period _____ year(s)

2. Securities Company Name _____ Account Type _____ Credit Line _____ Period _____ year(s)

9. Ordinary Personal and Juristic Person

Self-Declaration

9.1 Do you have a position in politics at the present or the past ? No Yes, _____
please specify

9.2 Have you been convicted for money laundering related crimes within the past 3 year ? No Yes _____ in year(s)
please specify

9.3 Do your spouse have a position in politics at the present or the past ? No Yes _____ in year(s)
please specify

10. Ordinary Personal and Juristic Person

Bank Account Information

10.1 Bank _____ Branch _____

Type of Account Saving Current Account No. _____ Account Name _____

10.3 Receive the dividend E-Dividend (Transfer to my account as mentored clause 10.1)

Signature _____ (Client)

(_____)

11. Ordinary Person	FATCA		
11.1 Are you a U.S. Citizen ? Do you have a U.S. Passport ? Do you have a U.S. Green Card ? Are you a U.S. resident for U.S. tax purposes ? Are you a U.S Tax Payer	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> 1) Yes, I am U.S. Citizen <input type="checkbox"/> 2) Yes, I have a U.S. Passport <input type="checkbox"/> 3) Yes, I have a permanent resident of the U.S. or I have a U.S. Green Card) <input type="checkbox"/> 4) Yes, I have a U.S. resident for U.S. tax purposes
11.2 Were you born in U.S. ?	<input type="checkbox"/> No	<input type="checkbox"/> Yes	
11.3 Do you have a current resident, resident address, mailing address including P.O. Box in U.S.?	<input type="checkbox"/> No	<input type="checkbox"/> Yes	----- please specify
11.4 Currently, do you have U.S. telephone number ?	<input type="checkbox"/> No	<input type="checkbox"/> Yes	Telephone----- Mobile-----
11.5 Do you have any order to pay benefit from this account to another account in U.S. ?	<input type="checkbox"/> No	<input type="checkbox"/> Yes	Account Name----- Account No.----- please specify please specify
11.6 Do you have a Power of Attorney or Signatory Authority to U.S Citizen / U.S. Resident	<input type="checkbox"/> No	<input type="checkbox"/> Yes	Name-Surname----- Relation----- please specify please specify
11.7 I confirm that the above information is true, accurate and complete and I confirm that <input type="checkbox"/> I am not a U.S. person and noting to identify that I am a U.S. person <small>(If you choose "No" in all clause)</small>			
<input type="checkbox"/> I am U.S. person (W-9) <small>(If you choose "Yes" in 11.1 or 11.2)</small>			
<input type="checkbox"/> I am not U.S. person but having to identify that I am U.S. person (W-8BEN) <small>(If you choose "Yes" in 11.3-11.6)</small>			

12. Juristic Person	FATCA	
We confirm that we understand the FATCA requirements and hereby declare as follow:		
Entity Type	Document(s) / Information to be furnished	
<input type="checkbox"/> A Foreign Financial Institution (FFI)	Global Intermediary Identification Number (GIIN)	
<input type="checkbox"/> An entity incorporated in U.S. or located in U.S.	W-9 form (Request upon Taxpayer Identification Number and Certification)	
<input type="checkbox"/> A passive Non-Financial Foreign Entity (NFFE) with Beneficial owner who is U.S. Citizen/ Resident		
<input type="checkbox"/> An Exempted Entity	W8-BEN-E-Form (Certificate of Status of Beneficial Owner for United States Withholding Tax and Reporting (Entities)	
<input type="checkbox"/> An entity with Exempted Beneficial Owners		
<input type="checkbox"/> An active NFFE		
<input type="checkbox"/> A passive NFFE that does not have any beneficial owners who is U.S. Citizen/ Resident		

Declaration of Foreign Account Tax Compliance Act - FATCA

By virtue of the application tax laws, I/We have been briefed and I/We hereby confirm I/We understand the list of U.S. Indication and declare that I/We do /do not possess the U.S. indication (applicable to individuals only). If there is any change in circumstances, I/We hereby agree to notify and furnish RHB Securities (Thailand) PCL. with the relevant documentary evidence within 30 days of such change and if I/We does not Notify a change and furnish the relevant documentary evidence within the aforesaid period. I/We consent to and authorize RHB Securities (Thailand) PCL. perform any of the following, if applicable:

1. Withhold any applicable payments in the account
2. Report or disclose all relevant Information relating to or arising from the account
3. Terminate (without prior notice) all contractual relationships with RHB Securities (Thailand) PCL.
4. Deduct the money from the account and / or the money that I/We may have or be entitled to receive from RHB Securities (Thailand) PCL., in the amount determined by the tax collection agency in country or overseas, including the IRS (Internal Revenue Service) as well.

Subject to the laws and regulations of tax, including all memorandums which made between RHB Securities (Thailand) PCL and the tax collection agency inbound or overseas, I/We declare that as a U.S. / non U.S. individual/ legal entity, I/We have provided duly completed and executed/signed documentary evidence and other supporting documentation as required by the application tax laws. I/We shall jointly or severally undertake to keep RHB Securities (Thailand) PCL. (Including relevant third parties as a result of any restructuring, sale or acquisition of RHB Securities (Thailand) PCL) indemnified against all losses, claims, proceedings, demands, penalties, costs, expenses and other liabilities whatsoever incurred or arising from the above declaration.





I/We hereby certify that all information and declaration in this application are true, accurate and complete.

Signature _____ (Client)
(_____)

Signature _____ (IC/Authorized person)
(_____)







Ordinary Person

Sample Signature/ Attorney

Account's owner	Attorney (if any)
Name-Surname_____	Name-Surname_____
Signature: 	Signature: 
Signature: 	Signature: 

Juristic Person

Sample Signature

Authorized person (1)	Authorized person (2)
Name-Surname_____	Name-Surname_____
Signature: 	Signature: 
Signature: 	Signature: 
Authorized person (3)	Sample Company Seal (if any)
Name-Surname_____	
Signature: 	
Signature: 	

Signatory condition(s)_____

Ordinary Person		
1. What is your age ?	(1) More than 55 years (2) 45-55 years (3) 35-44 years (4) Less than 35 years	
Ordinary Person and Juristic Person		
2. What is the proportion of your total financial obligations and regular expenses to your total income ?	(1) more than 75% of total income (2) between 50% to 75% of total income (3) between 25% to 50% of total income (4) less than 25% of total income	
3. Describe your current financial status	(1) Have assets less than debts (2) Have assets equal to debts (3) Have assets more than debts (4) Have confidence about current personal savings and investments are sufficient for retirement.	
Information Related to Investment		
4. Do you have any prior experience and/or knowledge of investments? If yes, in which asset class?	(1) Bank savings. (2) Government bonds or Government-bonds Mutual funds. (3) Debentures or Fixed-income Mutual funds (4) Common stocks or Equity Mutual funds or Other Assets with high risks.	
5. How long do you propose to hold your investments for ?	(1) Not more than 1 year. (2) 1 to 3 years (3) 3 to 5 years (4) More than 5 years.	
6. What is the ultimate goal of your investments ?	(1) Preserve original investment and receive regular returns. (if lower, can accept) (2) Emphasis on opportunity to get regular income but risky of losing some principal. (3) Emphasis on opportunity to get higher income but risky of losing more principal. (4) Emphasis on highest returns in the long term but risky of losing most principal.	
7. Below is a model chart which displays the potential ROI of various investment groups. Which investment group would you most likely invest in	<p>(1) Investment Group 1 with potential returns on investment of 2.5%, absolutely no loss. (2) Investment Group 2 with potential returns on investment of 7%, but potential loss of 1%. (3) Investment Group 3 with potential returns on investment of 15%, but potential loss of 5%. (4) Investment Group 4 with potential returns on investment of 25%, but potential loss of 15%.</p>	
8. How would you best describe your attitude towards investment products that offer high potential returns but, at the same time, may risk significant potential losses ?	(1) Anxiety and panic, fear of loss (2) Feel uncomfortable, but can understand somewhat. (3) Understand and can accept some volatility. (4) Do not worry about high potential loss, but still expecting to get higher returns.	
9. What level of fluctuation would you generally be comfortable with ?	(1) 5% or less than (2) More than 5%-10% (3) More than 10%-20% (4) More than 20% upwards	
10. Suppose you invested in 100,000 Baht in the last year, and this year, you find out that your investment value has decreased to 85,000 Baht, what would you do next ?	(1) Panic, and want to sell off the remaining portion of investment (2) Anxiety, and ready to adjust some investment portion into less risky assets. (3) Be patient and continue holding the investment, awaiting turnaround of investment returns. (4) Remain confident, understand investment is long term and will also invest more in order to average cost.	

Assessment Score add up the scores from 1 to 10 Customer's/Investor's Assessed Scores Total

Questions 11-12 Considered as Additional Information for Giving Recommendation

Specifically Applies to Direct Investment in Futures and Derivative Warrants Only

11. How much of a compensation for a particular investment loss would you be comfortable with ?	A. Unacceptable B. Accept partially C. Acceptable
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Specifically Applies to Foreign Investment Only

12. In addition to investment risks, are you able to tolerate foreign exchange risk and to what extent ?	A. Unacceptable B. Accept partially C. Acceptable
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Investment Suitability Assessment			Sample Recommendations of Basic Asset Allocation				
Score	Level	Risk Profile	Proportion of Investment				
			Savings Deposits and Short-Term Bonds Debentures	Public Sector Bonds/ Debenture Instruments (Maturity > 1Yr)	Private Sector Bonds/ Debentures Instruments	Equities	Equities Alternative Investment*
Less than 15	1		>60%		<20%	<10%	<5%
15-21	2	Medium to Low Risk	<20%	<70%		<20%	<10%
22-29	3	Medium to High Risk	<10%	<60%		<30%	<10%
30-36	4	High Risk	<10%	<40%		<40%	<20%
More than 37	5	Very High Risk	<5%	<30%		<60%	<30%

*Including Commodities, Futures Contracts (Derivatives)

Signature _____ (Client)

(_____)

Risk Profile	Level	Fund Type	Type of Securities Mainly Invested In	Type of Debt Securities Invested In
Low Risk	1	Money Market Fund (Domestic Investment)	Have policy to invest in Thailand only by investing in deposit or fixed income or securities or other securities or other earnings as specified by the Office of the SEC and is due to pay back upon request or at due payment date or have an agreement tenor of not more than 1 year from the date of investment in such assets or date to enter into an agreement and have portfolio duration at any time not exceeding 3 months.	Government debt securities / government bonds with maturity not exceeding 1 year, or floating-rate note (FRN)
Medium to Low Risk	2	Money Market Fund	Have policy to invest some investment portion in foreign countries but not exceeding 50% of NAV by investing or having deposit or fixed income or securities or other securities or other earnings as specified by the Office of the SEC and is due to pay back upon request or at due payment date or have an agreement tenor of not more than 1 year from the date of investment in such assets or date to enter into an agreement and have portfolio duration at any time not exceeding 3 months.	Government debt securities / government bonds with maturity of 1 year to 5 years Debentures with rating from "AA-" upwards, maturity not exceeding 1 year, or floating-rate note (FRN)
	3	Government Bond Fund	Have policy to invest in government bond in average of accounting period of not less than 80% of NAV.	Government debt securities / government bonds with maturity exceeding 5 years Debentures with rating from "AA-" upwards, maturity of 1 year to 5 years Debentures with ratings of A+ / A / A- , maturity not exceeding 1 year, or floating-rate note (FRN)
	4	Fixed Income Fund	Have policy to invest in general fixed income.	<p>Debentures with rating from "AA-" upwards, maturity exceeding 5 years Debentures with ratings of A+ / A / A- , maturity exceeding 1 year and upwards Debentures with ratings of BBB+ / BBB / BBB-</p> <p>Derivative warrants or debentures with underlying securities / stock index or debt securities / prevailing domestic interest rates and are principal protected not less than 100%</p>
Medium to High Risk	5	Mixed Fund	Have policy to invest in both equity and fixed income.	Hybrid Bond Debt securities which allows the issuer the right to make early redemption
High Risk	6	Equity Fund	Have policy to mainly invest in equity in average of accounting period of not less than 65% of NAV.	Private-sector debentures with rating lower than Investment Grade Private-sector debentures that are not rated
	7	Sectorial Fund	Have policy to specifically invest in equity in some particular sector in average of accounting period of not less than 80% of NAV	
Very High Risk	8	Fund with Alternative Investment	Have policy to invest in assets deemed as alternative investment or with complex structure, i.e., commodity, gold fund, oil fund, derivatives not used for hedging purpose which include structured products that are not principal protected.	Derivative warrants or debentures with principal protected less than 100% or with underlying other than securities / stock index or debt securities / prevailing domestic interest rates or financial instruments that are accepted as Tier 1 capital or financial instruments that are accepted as Tier 2 capital

Disclaimer

- Client agrees to give necessary information to RHB Securities (Thailand) PCL. (the "Company") for attach with Suitability Test and also acknowledge that this questionnaire is used for the awareness of investment risk.
- Investment risk shall be based on information provided by the Client to the Company's officer. It does not mean that the Company accepts its accuracy, completeness and trustworthiness of such information.
- Once the Company's officer assesses the Client's investment risk and notifies the result, it shall be deemed that the Client acknowledges such result and their risk (based on information provided by the Client).
- The Client shall understand relevant investment information (including investment warning, investment risk, and receives proper advices from investment consultant) along with risk assessment result for the consideration of investment in securities, futures, financial instruments, and others for proper investment) Any investment information has provided by the Company (if any) is solely for partial investment consideration.
- Investment shall be based on the Client's consideration and shall not bind and may inconsistency with Client's assessment result. The Client also accepts for infrequency occurrence of the investment risk. In case that the Client invests above the acceptable risk mentioned in the assessment result, the client shall be responsible for the risk and agrees that the assessment is changeable
- The Company with its management level and officer shall not be responsible towards any damage arise from the Client's investment
- The Company reserves the rights to amend, change suitability test, result and its relevant information without consent from the Client. The Client agrees and understands the information provided in this document, the Suitability test result.

The Client hereby certifies that information provide to the Company is true and accurate. The Client shall notify the Company immediately for any change of information and allows the Company to investigate the Client's information from financial institutions and authorities regarding the relevant regulations.

IN WITNESS WHEREOF, the undersigned having fully understood the contents of the document herein, have signed this Agreement.

Signature _____ (Client)
(_____)

Signature _____ (IC/Authorized person)
(_____)

RHB Securities (Thailand) PCL.

Date_____

I/We, Mr. / Miss / Mrs. ID Card No. ("the Principal")_____ ID Card No._____ ("the Principal")

Hereby Authorizes Mr./Mrs./Miss _____ ID Card No._____ ("Attorney")

Relationship_____ Address_____

_____ Phone number_____

to have full authority with RHB Securities (Thailand) PCL. ("the Company") on the following matters;

- 1.) To sell, purchase, transfer, subscribe any Securities/ Investment Unit/ Bill of Exchange or Futures in Stock Exchange of Thailand (SET), Thailand Futures Exchanges (TFEX), any official Exchange markets offshore including Over The Counter exchanges, trading order confirmation and certify any action on behalf of principal;
- 2.) Settlement, guarantee deposit, fees and any expenses relevant with trading of any securities, investment unit, futures;
- 3.) To withdraw, transfer cash to Principal's registered account with the Company;
- 4.) Enter to pledge agreement with the Company for the loan or settlement guarantee, differential of securities price, interests including any remaining debts and/or its relevant documents; and
- 5.) Enter to and/or sign in any agreement, instrument relevant and necessary regarding this Power of Attorney

Attorney Only

I certify and affirm that :

1.) Current / former politician Yes No Position_____ Year_____

2.) Committed an offence related with Anti-Money Laundering regulations Yes No

On_____ Year_____

3.) Last beneficiary person Yes No Please identify_____

4.) Last controllable person Yes No Please identify_____

I, hereby commit myself to being held fully responsible for whatever action made by Attorney as if I myself have made the said action. In evidence whereof, I have subscribed hereunto in the presence of the witnesses.

Signature_____ (Principal)

(_____)

Date_____

Signature_____ (Attorney)

(_____)

Date_____

Signature_____ (Witness)

(_____)

Date_____

Signature_____ (Witness)

(_____)

Date_____

Investment Consultant	
<input type="checkbox"/> Headquarter / Team _____ <input type="checkbox"/> Branch _____	<input type="checkbox"/> Trader ID _____
KYC	Type of Account
Client cooperates to fill KYC/CDD <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Cash Balance (-0) _____ <input type="checkbox"/> Cash (-1) _____ <input type="checkbox"/> Credit Balance (-6) _____ <input type="checkbox"/> Derivatives _____ <input type="checkbox"/> SBL _____ <input type="checkbox"/> Saving Plan _____ <input type="checkbox"/> Stock to Fund _____ <input type="checkbox"/> Mutual Fund _____ <input type="checkbox"/> Global Trade (Equity) _____ <input type="checkbox"/> Foreign Derivatives _____ <input type="checkbox"/> Fixed Income _____ <input type="checkbox"/> Other (please specify) _____ _____ _____ <p style="text-align: center;">Total Financial Limit</p>
Financial Limited	_____ _____ _____ _____
KYC <input type="checkbox"/> Meet and check Client's identity regarding KYC/CDD Standard <input type="checkbox"/> Does not Meet and check Client's identity regarding KYC/CDD Standard Source of Income	
Source of income 	
Comment(s) from IC/Authorized person	Comment(s) of Team Leader
Client's KYC 	Client's KYC
Whether Client Source of Income from others i.e. spouse, heir, guardian <input type="checkbox"/> No <input type="checkbox"/> Yes, please specify name-surname _____ Relationship _____ *If Yes, IC (and its supervisor regarding Financial Limit) shall do KYC to such person as well	
Other parties KYC (Security, Uniformity, Reasonable grounds regarding client's financial status, source of income from occupation or major business, financial document reliability, non-obligation of assets, proprietary rights)	Other parties KYC
Signature _____ (IC/Authorized person) (_____)	Signature _____ (Team Leader / Supervisor) (_____)

Required Documents For Account Opening (Ordinary person)				IC	Operation Officer
1. Agreements					
1. Securities Brokerage Assignment	For Cash Balance or Cash Account	1 Copy	<input type="checkbox"/>	<input type="checkbox"/>	
2. Margin Loan Agreement	For Credit Balance Account	1 Copy	<input type="checkbox"/>	<input type="checkbox"/>	
3. Pledge Agreement of Securities	For Credit Balance Account	1 Copy	<input type="checkbox"/>	<input type="checkbox"/>	
4. Derivatives Brokerage Agreement	(In case customer wants to open TFEX account)	1 Copy	<input type="checkbox"/>	<input type="checkbox"/>	
5. Questionnaire: Understanding Derivatives Trading	(In case customer wants to open TFEX account)	1 Copy	<input type="checkbox"/>	<input type="checkbox"/>	
2. Required Documents					
1. National ID Card / Gov. Official ID Card / New Driver's License with ID Card No. / Passport (Foreigners)		1 Copy	<input type="checkbox"/>	<input type="checkbox"/>	
2. House Registration (Page with House No. and Page with Customer Name)		1 Copy	<input type="checkbox"/>	<input type="checkbox"/>	
3. Documents related to Foreign Account Tax Compliance Act (FATCA)					
1. W-8BEN	For Non U.S. Persons with U.S. Indicia	1 Copy	<input type="checkbox"/>	<input type="checkbox"/>	
2. W-9	For U.S. Persons	1 Copy	<input type="checkbox"/>	<input type="checkbox"/>	
4. Supporting Documents – Financial Documents					
1. Salary Certificate or Salary Slip (Most recent month)		1 Copy	<input type="checkbox"/>	<input type="checkbox"/>	
2. Bank Statement (Original / Certified True Copy) showing statements of past 3 months, or Copy of Bank Passbook 1st Page and statements of past 3 months		1 Copy	<input type="checkbox"/>	<input type="checkbox"/>	
3. Copy of Stock Portfolio Statement 1 month (if any)		1 Copy	<input type="checkbox"/>	<input type="checkbox"/>	
4. Stock certificates of listed company / debentures (if any)		1 Copy	<input type="checkbox"/>	<input type="checkbox"/>	
5. Government bonds / investment units (funds/unit trusts) (if any)		1 Copy	<input type="checkbox"/>	<input type="checkbox"/>	
Remark 1.) For Bank Statements - if the statements are shown continuously in several pages customer can sign his/her signature of approval on only the first and last page of the statements.					
2.) If financial statements/documents are not available, Customer can open Cash Balance account and get 500,000 Baht credit limit only					

Required Documents For Account Opening (Legal Entity)				IC	Operation Officer
1. Agreements					
1. Securities Brokerage Assignment	For Cash Balance or Cash Account	1 Copy	<input type="checkbox"/>	<input type="checkbox"/>	
2. Margin Loan Agreement	For Credit Balance Account	1 Copy	<input type="checkbox"/>	<input type="checkbox"/>	
3. Pledge Agreement of Securities	For Credit Balance Account	1 Copy	<input type="checkbox"/>	<input type="checkbox"/>	
4. Derivatives Brokerage Agreement	(In case customer wants to open TFEX account)	1 Copy	<input type="checkbox"/>	<input type="checkbox"/>	
5. Questionnaire: Understanding Derivatives Trading	(In case customer wants to open TFEX account)	1 Copy	<input type="checkbox"/>	<input type="checkbox"/>	
2. Required Documents (Shareholders/Directors/Authorized person)					
1. National ID Card / Gov. Official ID Card / New Driver's License with ID Card No. / Passport (Foreigners)		1 Copy	<input type="checkbox"/>	<input type="checkbox"/>	
2. House Registration (Page with House No. and Page with Customer Name)		1 Copy	<input type="checkbox"/>	<input type="checkbox"/>	
3. Documents related to Foreign Account Tax Compliance Act (FATCA)					
1. W-8BEN	For Non U.S. Citizen	1 Copy	<input type="checkbox"/>	<input type="checkbox"/>	
2. W-9	For U.S. Citizens	1 Copy	<input type="checkbox"/>	<input type="checkbox"/>	
4. Supporting Documents – Financial Documents					
1. Memorandum of Association/ License and Article of Association		1 Copy	<input type="checkbox"/>	<input type="checkbox"/>	
2. Company's Affidavit (issued by Ministry of Commerce and shall not exceed 6 months)		1 Copy	<input type="checkbox"/>	<input type="checkbox"/>	
3. Copy of Stock Portfolio Statement 1 month (if any)			<input type="checkbox"/>	<input type="checkbox"/>	
4. List of Shareholders			<input type="checkbox"/>	<input type="checkbox"/>	
5. Tax Payer ID or VAT Registration (Por.Phor.20)			<input type="checkbox"/>	<input type="checkbox"/>	
6. Financial Statement (Previous 2 years)		1 Copy	<input type="checkbox"/>	<input type="checkbox"/>	
7. Bank Statement (Original / Certified True Copy) showing statements of past 3 months, or Copy of Bank Passbook 1st Page and statements of past 3 months			<input type="checkbox"/>	<input type="checkbox"/>	
Remark 1.) For foreign Legal Entity, all documents shall be in English and Notary Public by Royal Thai Embassy or Thai Consulate Section					

Documents Required (Individual Customer & Legal Entity) - Banks Details			IC	Operation Officer
1. Copy of Bank Passbook 1st Page for ATS		1 Copy	<input type="checkbox"/>	<input type="checkbox"/>
2. Letter of Deducting Money From ATS Account (ATS Form)		1 Copy	<input type="checkbox"/>	<input type="checkbox"/>

Documents Required (Individual Customer & Legal Entity) - Stamp Duty			IC	Operation Officer
1. Stamp Duty Charge of 30 Baht (depending on the number of agreements and charge per individual authorized signatory (only for foreigners)		1 Copy	<input type="checkbox"/>	<input type="checkbox"/>
2. For Credit Balance Account - Stamp Duty Charge of 0.05% of the loan amount, but not exceeding 10,000 Baht (for Credit Balance accounts)		1 Copy	<input type="checkbox"/>	<input type="checkbox"/>
*For Foreign Legal Entities (Overseas), All Documents Must Be In English Language and Approved and Certified by Notary Public of The Royal Thai Embassy				

Supporting Documents Required For Account Opening (Power of Attorney) (If any)			IC	Operation Officer
1. National ID Card / Gov. Official ID Card / New Driver's License with ID Card No. / Passport (for foreigners)		1 Copy	<input type="checkbox"/>	<input type="checkbox"/>
2. House Registration (Page with House No. and Page with Customer Name)		1 Copy	<input type="checkbox"/>	<input type="checkbox"/>

*All documents must be signed and certified true copy.*Please do not use recycle paper for making copy of document. *All documents must be valid at present (not expired); ID Card photo shows clearly.
 *Company may request additional documents/proofs required for account opening *** I herein, who act as investment advisor of the customer, and/or who is the authorized signatory on behalf of the Company, hereby certify that I have seen and checked all the original documents of the customer who then have signed his/her signature on every document in my presence.***

Signature _____(IC/Authorized person)

(_____)

Signature _____(Team Leader / Supervisor)

(_____)