

## Securities Trading Account for Individual Person

### Documents for Opening a Securities Trading Account for Individual Client

1. Application Form for Opening a Securities/ Derivatives Trading Account\*.
2. Self-Disclosure Form (as referred to the SEC Know Your Clients Well Requirement).
3. Broker Appointment Agreement for Securities and Derivatives Trading\*.
4. Automatic Transfer System Form (ATS Form).
5. E-Dividend Form.
6. Suitability Test Form.
7. 2 Signature Cards.

### Documents/ Evidences for Supporting the Account Opening (Verified True Copies)

1. A Copy of Identification Card/ A Copy of Passport\*\*.
2. A Copy of House Registration.
3. A Copy of Work Permit\*\* (if any). In case that the foreign client cannot show a copy of valid work permit to the Company, the Company will allow him or her to open only cash balance account.
4. A Copy of Financial Evidence(s) (may include more than 1 of the following documents) for considering credit lines for securities trading account(s).
  - a. A Copy of Savings Account(s) (showing movements back at least 3 months and latest updated balance back no more than 1 month).
  - b. A Copy of Fixed Account(s).
  - c. Salary Certification Letter or Slip Pay-In.
5. A Copy of Front Page of Bank Book (Savings Account or Current Account: under client name only) for a purpose of ATS and E-Dividend which may be the same bank book as item 4(a). The bank book for ATS purpose may be the same or different from the bank book for E-Dividend purpose. Please consider the list of banks for transferring money into the Company bank account (Pay In) while in a process of considering of banks and banks have not approved ATS of clients. And the List of Banks for ATS after banks have approved ATS of client.

Remarks :

\* Application Form and Broker Appointment Agreement cover Securities/ Derivatives Trading.

\*\* For a case of foreigner(s)

## Derivatives Trading Account for Individual Person

For a case that the client(s) would like to open derivatives trading account, they have to sign on the following additional documents. Before opening derivatives trading account, securities trading account has to be opened first.

1. Supplement Form – Opening a Derivatives Trading Account.
2. Risk Disclosure Statement relating to Derivatives Trading.
3. Risk Prevention Measures for Derivatives Trading.
4. Test of Comprehensive Understanding of Derivatives Trading.

In Case of Pay In :

The List of Preferred Banks for Pay In purpose are as follows.

Bank	Account No.
Bangkok Bank Public Company Limited (Surawong)	147-3-13116-5
Kasikorn Bank Public Company Limited (Silom)	001-1-28018-8
Krung Thai Bank Public Company Limited (Nananua)	000-6-11905-0
Bank of Ayudhya Public Company Limited (Ploenchit)	285-0-01050-4
Siam Commercial Bank Public Company Limited (Wittayu)	049-3-11929-8
Siam Commercial Bank Public Company Limited (Surawong 2)	064-3-01872-1
TMBThanachart Bank Public Company Limited (Rajprasong)	011-1-06267-5

In Case of ATS :

The List of Preferred Banks for ATS purpose are as follows.

Bank	Account No.
Bangkok Bank Public Company Limited (Surawong)	147-3-13116-5
Kasikorn Bank Public Company Limited (Silom)	001-1-28018-8
Krung Thai Bank Public Company Limited (Nananua)	000-6-11905-0
Bank of Ayudhya Public Company Limited (Ploenchit)	285-0-01050-4
Siam Commercial Bank Public Company Limited (Wittayu)	049-3-11929-8
TMBThanachart Bank Public Company Limited (Rajprasong)	011-1-06267-5