

Suitability Assessment for Individual /Juristic Person

Name and SurnameAC / CIF.....

This Suitability Assessment Form will guide you in making a suitable choice that suit your investment. This information will be used for all of your accounts opened with the company and for any kind of capital market products. Please choose the statement that best describes your situation and complete every question. The questions are:

1. What is your current age? (In case of Juristic Person, age of Authorized Person will be applied)
 - (1) above 55
 - (2) 45 to 55
 - (3) 35 to 44
 - (4) below 35
2. Do you have of household expenses i.e. auto loan, home loan, personal and family expenses?
 - (1) higher than 75 % of total income
 - (2) between 50 to 75 % of total income
 - (3) between 25 to 50 %of total income
 - (4) below 25 % of total income
3. What is your current financial situation?
 - (1) having assets less than liabilities
 - (2) having assets equal to liabilities
 - (3) having assets more than liabilities
 - (4) having enough savings or investment for living after retirement
4. Do you have any investment experience or knowledge in any of the following securities
 - (1) bank deposits
 - (2) bank deposits/government debentures or government mutual funds
 - (3) bank deposits/government debentures or government mutual funds/ debentures or debt mutual funds
 - (4) bank deposits/government debentures or government mutual funds/debentures or debt mutual funds/ordinary share or equity mutual funds or other high risk assets
5. How soon do you expect to need the money you are investing?
 - (1) less than 1 year
 - (2) 1 to 3 years
 - (3) 3 to 5 years
 - (4) more than 5 years
6. What is your main objective for investing?
 - (1) focus on capital reservation and gaining of regular return - low return is acceptable
 - (2) focus on regular return but taking some risks with partial capital loss is acceptable
 - (3) focus on higher potential return but taking more risk on capital loss is acceptable
 - (4) focus on highest return in a long term but taking risk on most of capital loss is acceptable
7. After considering the below sample rate of return from a particular investment, which group of investment are you most willing to invest in?
 - (1) Group 1: a chance to gain 2.5% of return with no loss at all
 - (2) Group 2: a chance to gain a maximum of 7% return but with potential of 1% loss
 - (3) Group 3: a chance to gain a maximum of 15% of return but with potential of 5% loss
 - (4) Group 4: a chance to gain a maximum of 25% of return but with potential of 15 % loss
8. If you choose to invest in the assets that may give you the highest possible rate of return but also give the highest loss, how do you feel?
 - (1) I feel worried and panicked about the potential loss
 - (2) I feel uncomfortable but likely understandable
 - (3) I understand and a swing at a period of time is acceptable
 - (4) I am not upset about the potential highest loss and I anticipate a positive higher return
9. You may feel worried if your investment declines-in which ratio?
 - (1) 5% or less
 - (2) more than 5% -10%
 - (3) more than 10% - 20%
 - (4) more than 20%
10. If last year you invested the amount THB 100,000 and you found out that your investment declined to THB 85,000 this year, what would you do?
 - (1) be upset and demand to sell all remaining assets
 - (2) be worried and change some part of my investment to a lower risk asset
 - (3) I could tolerate holding out further and await recovery
 - (4) I still believe and understand that investing in the long term is required. I will invest more at the same type of investment to average the investment.

The answers from questions No. 11 and 12 below will be used as additional information for recommendation

11. If the investment in the derivatives and structured notes is successful, you will get the highest return. On the other hand, if it fails, you will lose all of your investment and you are required to pay a part of compensation. Do you accept this?
 - (a) No
 - (b) Partly
 - (c) Yes
12. Apart from the investment risk, do you accept foreign exchange risk?
 - (a) No
 - (b) Partly
 - (c) Yes

Total scores from questions no. (1) - (10) After obtaining your score, please see the below table to learn about the results of your suitability assessment and basic asset allocation.

Scores	Risk profile Level	Types of investors
Less than 15	1	Low Risk Investor. You are suitable to invest in Deposits, short-term bond funds and Government bonds (more than one year maturity period) at > 60% , Debentures at < 20% , Equity Instruments at < 10% and Alternative Investments (includes commodities, Futures Contract) < 5%
15 - 21	2	Moderate Risk Investor. You are suitable to invest in Deposits, short-term bond funds at < 20% , Government bonds (more than one year maturity period) and Debentures at < 70% , Equity Instruments at < 20% and Alternative Investments (includes commodities, Futures Contract) < 10%
22 - 29	3	Significant Risk Investor. You are suitable to invest in Deposits, short-term bond funds at < 10% , Government bonds (more than one year maturity period) and Debentures at < 60% , Equity Instruments at < 30% and Alternative Investments (includes commodities, Futures Contract) < 10%
30 - 36	4	High Risk Investor. You are suitable to invest in Deposits, short-term bond funds at < 10% , Government bonds (more than one year maturity period) and Debentures at < 40% , Equity Instruments at < 40% , Alternative Investments (includes commodities, Futures Contract) < 20%
37 or more	5	Extreme Risk Investor. You are suitable to invest in Deposits, short-term bond funds at < 5% , Government bonds (more than one year maturity period) and Debentures at < 30% , Equity Instruments at > 60% Alternative Investments (includes commodities, Futures Contract) < 30%

Please notice the disclaimer on the back

Signature Date

The company' s disclaimer

- The customer agrees to provide staff of the securities company his/her information used for his/her suitability assessment of level of investment risk. The customer acknowledges that he/she has completed the questionnaire for his/her own benefit and to learn about his/her acceptable investment risk results.
- The level of the customer's investment risk is assessed only from the information provided by the customer to the officer of the securities company. It does not mean that the securities company accepts the accuracy, completeness or creditability of the information provided by the customer or the results.
- Once the officer of the securities company completes the customer's assessment of investment risk and informs the customer of his/her results of investment risk assessment, it shall be deemed that the customer has acknowledged the results of his/her assessment (processed from the data provided by the customer) and his/her level of investment risk .
- The customer shall carefully study all information on investment (including warnings on the investment and the investment risk and the customer should seek advice on the investment from a qualified person) along with the results of the investment risk assessment in order to exercise proper judgment in making an informed decision when investing in securities, futures contract, instruments or any other type of investment suiting the customer's objectives. The information related to investment or any instruments received from a representative of the securities company (if any) are part of the information provided to support the customer in exercising his/her judgment for making a decision only.
- The customer exercises his/her own judgment in making a decision which is not binding upon the results of his/her assessment and which is not in accordance with the level of investment risk as appeared in this assessment. The customer also agrees to accept his/her own risk of investment. In the case where the customer agrees to invest at a higher level of investment risk than as appeared in his/her own assessment, it shall be deemed that the customer agrees to accept such risk at his/her own choice. The customer agrees that his/her investment process may not be in accordance with the results of assessment and that the investment process is uncertain and able to be different from the results assessed.
- The securities company, executives and its officers are not liable to and not responsible for any damages that may be caused by the investment of the customer.
- The Company reserves the right to amend, modify or change the form of the investment risk assessment of the customer and the assessment results and related information without any advance notice given.

This assessment form and any related processing and information are provided for investors in Thailand only. The customer has read the above warnings and related information, and the customer has thoroughly understood and agreed upon such warnings, terms and conditions.

Investment Consultant..... Date.....

Data entry operator..... Date.....