

TSD-403

Submitted the documents to broker / custodian



Application for Securities Transfer between the issuer account and the depository participant account

Highly Confidential

For official use only
Date
Checker

I/We wish to transfer the securities, the details of which appear in the attachment on the details of the securities to be transferred between issuer account and the depository participant account attached to this application, totaling items.

Type of transfer (please select the type of transfer and fully specify the details)

1. From issuer account to broker/custodian account

2. From broker/custodian account to issuer account

Broker/Custodian name

Please fill the information of securities holder

Nationality National I.D. card/Passport/Company Registration number

Mailing address\*

Postcode Home phone Office phone

Mobile Phone email address

Remark \*If you are the first time securities holder, the above mailing address will be the main and only address for sending proxy form, the meeting invitation and related document.

Customer account name

Customer account no.

Please fill FATCA/CRS Self-Certification Form

I/We hereby certify that. I have examined the information appearing in the application form, the document showing the details of the securities to be transferred between issuer account and the depository participant account, the documents supporting ("Documents"), and deem the same to be correct. Moreover, I acknowledge that the TSD may disclose the information in the Documents to the Revenue Department or other authorities with power under the law to request such information.

In this regard, I/We agree to deliver the supporting documents to TSD within 30 days after the date of change such that my information specified in this form is incorrect, and in case TSD requests for additional documents/ information/consent, I agree to comply as requested within the time stipulated by TSD.

I 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/privacy-notice.html) and acknowledged that my personal data, and any third party's personal data I have provided to TSD (if any) will be processed and protected under such privacy notice. In this regard, I hereby confirm and represent that I 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 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

( )

Phone number

Please submit the documents to broker / custodian

For securities company or custodian registered with Thailand Securities Depository Co., Ltd.

I.....depository participant number.....have considered and examined the documents and evidence supporting the application for the transfer from the securities owner who deposited the securities in the issuer account and hereby warrant that the transfer/transfer acceptance transaction specified above is true. In case I am authorized to proceed on behalf of the securities owner who is my customer using a copy of the Power of Attorney and the customer's identification documents certified as correct on the customer's behalf for the purpose of taking actions under this application, if any damage may be caused or is caused by such acts to Thailand Securities Depository Co., Ltd. or any other person in any respect, I hereby agree to be liable and to compensate Thailand Securities Depository Co., Ltd. or any other person in full.

Signature Authorized person

( )

บริษัท ศูนย์รับฝากหลักทรัพย์ (ประเทศไทย) จำกัด Thailand Securities Depository Co., Ltd.

เลขที่ 93 ถนนรัชดาภิเษก แขวงดินแดง เขตดินแดง กรุงเทพฯ 10400

93 Ratchadaphisek Road, Dindaeng, Dindaeng, Bangkok 10400 Thailand



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TSD403\_5/2023\_EN : 1/9/2023



## Supporting Documents for the Application for the Securities Transfer between the Issuer Account and the Depository Participant Account

1. Application for the Securities Transfer between the Issuer Account and the Depository Participant Account with the details filled in and signed correctly and completely
2. Identification documents of securities holder and authorized person (if any) pursuant to the type of person with the details as per the table below.
  - In case of other types of person, please ask for additional information at SET Contact Center accordingly to the contact channels further below in the application form or [https://www.set.or.th/tsd/en/download/service\\_form/20220301\\_person\\_juristic\\_EN.pdf](https://www.set.or.th/tsd/en/download/service_form/20220301_person_juristic_EN.pdf)
3. 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.

Type of person	Identification Documents
<b>Individual Person</b> <b>- Thai Nationality</b>	A Copy of Thai ID Card which has been certified as true and correct copy of the original document by the document owner.
<b>Individual Person</b> <b>- Other Nationalities</b>	A Copy of alien identification card / passport which has been certified as true and correct copy of the original document by the document owner.
<b>Juristic Person</b> <b>- Thai Nationality</b>	<ol style="list-style-type: none"> <li>1. A copy of the juristic person registration certificate issued by the Ministry of Commerce issued not more than 1 year before the date of submission as part of this application which has been certified as true and correct copy of the original document by the authorized directors.</li> <li>2. 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.</li> </ol>
<b>Juristic Person</b> <b>- Other Nationalities</b>	<ol style="list-style-type: none"> <li>1. A copy of the juristic person registration certificate issued by the regulating government agency in the country where such juristic person is domiciled.</li> <li>2. 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.</li> <li>3. 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.</li> </ol> <p><u>All documents for "Other Nationalities" above, must have been:</u></p> <ol style="list-style-type: none"> <li>(1) 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.</li> <li>(2) 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).           <ul style="list-style-type: none"> <li>▪ The certification must be issued not more than 1 year before the date of submission as part of this application.</li> <li>▪ The documents prepared in any other foreign languages other than English must be translated into English.</li> </ul> </li> </ol>

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.

