

TSD-403

Securities transfer to/from issuer account with participant

For official use only
 Date Transaction No..... Checker.....

I/We would like to transfer securities of mutual fund or company for a total of..... shares/units amount in letters..... shares/ units. The securities are being transferred:

<input type="checkbox"/> 1. From issuer account to broker/custodian account • Broker or custodian name..... • Customer account name • Customer account no. Signature Securities holder (.....) Phone no.....	<input type="checkbox"/> 2. From broker/custodian account to issuer account <u>Information on securities holder:</u> • Nationality.....occupation..... • Mailing address..... postal code..... Home phone..... Mobile phone..... • Office phone..... Fax no..... e-mail address..... <u>Individual Person</u> 1. Place of Birth (Country)..... 2. Second Nationality..... 3. Permanent Address..... Zip Code..... <u>Juristic Person</u> 1. FATCA Status 2. GIIN Number (if) • For unit trusts, should withholding tax be deducted? <input type="checkbox"/> Yes, withholding tax is deducted <input type="checkbox"/> No, withholding tax is not deducted In addition, I/We acknowledge that TSD may appear in this document disclosure to the organization having agreement with TSD and/or Government agencies that have the legal power to request such information. Signature Securities holder (.....)
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From broker or custodian to TSD

I/We participant no..... have verified all documents and evidence submitted for the issuer's securities transfer and certify that the aforementioned statements are complete and true. Should TSD incur any direct or indirect damage, obligation or expense due to complying with my request as given above. I/we shall be fully responsible and shall unconditionally compensate TSD in full.

Signature..... Authorized person
 (.....)

Please turn page over for list of required documents ↩



Documents to be submitted for securities transfer to / from the issuer account

1. Application for securities transfer to / from the issuer account signed by securities holder
2. Identification documents of securities holder, according to the type of person. In case of other individuals, please contact SET Contact Center at +662 009 9999

Type of person	Submitted documents for securities transfer to / from the issuer account
Individual Person -Thai Nationality	- A copy of the person's Thai national I.D. Card, certified true with an original signature.
Individual Person -Other Nationalities	- A copy of the signatory's alien identity card or passport, certified true with an original signature.
Juristic Person - Thai Nationality	<ol style="list-style-type: none"> 1. A copy of the juristic person certificate issued by the Ministry of Commerce within the past 12 months, with the original signatures of directors authorized to represent the company or their representatives, following the company's conditions. 2. A copy of the national I.D. card /alien identity card /passport of directors who are authorized to represent the company, certified true with original signatures.
Juristic Person -Other Nationalities	<ol style="list-style-type: none"> 1. A copy of the company's registration certificate issued by the regulating government agency. 2. A copy of the juristic person's affidavit of incorporation showing 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 having jurisdiction over the juristic person. 3. A copy of the passport or other official identity document of each authorized director signing this document, certified true with an original signature. <p><u>All documents for "Other Nationalities" above, must have been :</u></p> <ol style="list-style-type: none"> 1. Certified true by notary public or agency of the government having jurisdiction where the document was executed. 2. Certified true by the Thai Embassy or Consulate of Thailand in the country having jurisdiction over the affidavit of incorporation and notary public whose stamp has been affixed. 3. Certified within the past 12 months before being submitted to TSD. 4. Translated into English if necessary.

