TSD-403

I/We

Submitted the documents to broker / custodian

Authorized person

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

would like to transfer securities of company/mutual fund

	TSD
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For official us	se only
Date	
Transaction r	10
Checker	

for a total ofshares/units amount	in letters	shares/units. (Please select the type of he securities transfer)	
O From issuer account to broker/custodian account	O From broker/custodian account to issuer account		
Broker or custodian name	Information on securities holder: National I.D. card/Passport/Company Registration number		
	Nationality Mobile Phoneemail ad Mailing address	ddressPostcode	
Customer account name	For an individual Person (If you answer "Yes" for any of the questions, you are an American person pursuant to FATCA law, 1. Being a American citizen or born in the United States of America		
Customer account no.	2. Having American as a second nationality 3. Having permanent residence in the United States of America For a juristic person	☐ Yes ☐ No ☐ Yes ☐ No	
	1. Being a juristic person registered in the United States of America (if "Yes", please fill in W-9) 2. Being a financial institution under FATCA requirements (specify type O PFFI, O RDCFFI, If "Yes", please fill in GIIN	☐ Yes ☐ No) ☐ Yes ☐ No	
SignatureSecurities Holder () Phone number	3. Being a juristic person with income from investment/indirect income of at least 50 percent of Yes No the total income or having income-generating asset of at least 50 percent of the total asset within the latest financial year (if "Yes", please fill in W-8BEN-E) For unit trusts, should withholding tax be deducted? Yes, withholding tax is deducted No, withholding tax is not deducted In addition, I acknowledge that TSD may /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/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	
or securities company or custodian registered with Thailand Securities D.	epository Co., Ltd. I depository participant n	have considered and examined the documents a	
	deposits the securities in the issuer account and hereby warrant that the transfer/acceptance of transfer item s		
mage or potential damage as a result of the undertaking specified above. Is	hall be fully responsible for any damage caused and shall compensate Thailand Securities Depository Co., Ltc	t in full	

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.

เขตดินแดง กรุงเทพฯ 10400





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
- 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	
Individual Person	A Copy of Thai ID Card which has been certified as true and correct copy of the original document by the document owner.	
- Thai Nationality		
Individual Person	A Copy of alien identification card / passport which has been certified as true and correct copy of the original document by the document owner.	
- Other Nationalities		
Juristic Person	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	
- Thai Nationality	certified as true and correct copy of the original document by the authorized directors.	
	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.	
Juristic Person	1. A copy of the juristic person registration certificate issued by the regulating government agency in the country where such juristic person is domiciled.	
- Other Nationalities	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.	
	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.	
	All documents for "Other Nationalities" above, must have been:	
	(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.	
	(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).	
	The certification must be issued not more than 1 year before the date of submission as part of this application.	
	The documents prepared in any other foreign languages other than English must be translated into English.	

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