

Account Opening Form and Application for Trading
Investment Units through Electronic Channels (Individual)

หลักทรัพย์จัดการกองทุนกสิกรไทย
开泰基金管理 KASIKORN ASSET MANAGEMENT



Fund Distributor KASIKORNBANK PCL. Branch

Date/...../.....

Fund Account Number (For Officer's Use)

0 0 5 0 - - - - -

I wish to open a fund account for trading investment units of mutual funds managed by Kasikorn Asset Management Co., Ltd. ('Management Company') and apply for the service of trading investment units through electronic channels which are now or will be hereafter available, and I hereby provide information as follows:

Unit Holder Information

Account Type : ☐ Single Account ☐ Joint Account

Title : ☐ MR. ☐ MRS. ☐ MISS ☐ Other (Please specify)

Name-Middle Name-Surname :

Nationality :

Marital Status: ☐ Single ☐ Marriage ☐ Divorce ☐ Widow: Name-Surname of Spouse :

Date of Birth (B.E.) :

ID Type : ☐ National ID Card No : - - - - - ☐ Lifetime card

☐ Passport No

Expire Date (B.E.)

☐ Non Thai Identification No.:

Expire Date (B.E.)

Current Address : ☐ Same as Address as specified in the identification document ☐ Other (Please specify)

No. Building Floor Room Village No. (Moo)

Village Lane/Alley (Soi) Road

Sub-District City District

Province..... Postal Code - - - - - Country

Mailing Address :

☐ Email Address ☐ Same as Address as specified in the identification document ☐ Same as Current Address

☐ Same as Work Address ☐ Other (Please specify)

No. Building Floor Room Village No. (Moo)

Village Lane/Alley (Soi) Road

Sub-District City District

Province..... Postal Code - - - - - Country

Contact Information : Mobile Phone - - - - -

Telephone No. (Home) - - - - -

Telephone No. (Office) - - - - - Ext. - - - - -

Email Address (Capital Letter) - - - - -

Contact Person : Name-Surname

Relationship with Investor/Unit Holder

Occupation : ☐ Farmer ☐ Househusband / Housewife ☐ Monk/Priest
☐ Investor ☐ Student ☐ Retirement

If you choose the following occupations, Please also specify workplace address

☐ State Enterprise Employee ☐ Private Company Employee ☐ Family Business ☐ Doctor / Nurse
☐ Business Owner ☐ Government Employee ☐ Teacher/Instructor ☐ Politician
☐ Freelance ☐ Other (Please specify)

Work Address :

Name of Workplace Position

No. Building Floor Room Village No. (Moo)

Village Lane/Alley (Soi) Road

Sub-District City District

Province..... Postal Code Country

Field of Occupation : (If you choose the Freelance, Business Owner, Family Business or Other)

<input type="checkbox"/> Trader of Antiques	<input type="checkbox"/> Trader of Arms and Ammunition
<input type="checkbox"/> Casino or Gambling House Business	<input type="checkbox"/> Co-operative/Foundation/Association/Club/Temple/Mosque/Shrine
<input type="checkbox"/> Money Transfer Service	<input type="checkbox"/> Entertainment Business
<input type="checkbox"/> Financial / Accountant	<input type="checkbox"/> Money Exchange Service
<input type="checkbox"/> Hotel / Restaurant	<input type="checkbox"/> Insurance / Assurance
<input type="checkbox"/> Trader of Gems or Gold	<input type="checkbox"/> Property / Real Estate
<input type="checkbox"/> Travel Agent	<input type="checkbox"/> University / School / Education Center
<input type="checkbox"/> Immigration Employment/Expat Recruitment Agent	<input type="checkbox"/> Other (Please specify)

Objective of Account :

☐ For Tax Benefit ☐ Retirement Investment ☐ For Investment ☐ Other (Please specify)

Country's Source of Income (Please specify only one) : ☐ Thailand ☐ Other (Please specify).....

Source of Income : ☐ Wages/Salary ☐ Savings ☐ Inheritance/Gifts
☐ Business Income ☐ Proceeds Earned from Investments
☐ Retirement Fund ☐ Other (Please specify).....

Income per month (Baht) : ☐ Less than 8,000 Baht ☐ 8,000-14,999 Baht ☐ 15,000-19,999 Baht
☐ 20,000-29,999Baht ☐ 30,000-49,999 Baht ☐ 50,000-69,999 Baht ☐ 70,000-99,999 Baht
☐ 100,000-249,999 Baht ☐ 250,000-499,999 Baht ☐ 500,000-999,999 Baht ☐ 1,000,000-1,499,999 Baht
☐ 1,500,000-2,499,999 Baht ☐ 2,500,000-4,999,999 Baht ☐ 5,000,000-7,499,999 Baht ☐ 7,500,00 Baht or more

How long do you intend to invest : ☐ Less than 6 Month ☐ 6 Month – 1 Year
☐ 1 Year – 5 Years ☐ More than 5 Years

I would like to receive the redemption proceeds and / or dividend payment

By credit to a deposit account at KASIKORNBANK PCL.

Branch Account No. -

Account Name

I hereby certify that the above information including any other information and/or document I have provided to the Management Company for the opening of the fund account is accurate. I am truly the beneficiary of opening this mutual fund account. I will immediately give notice to the Management Company if there is any change. This certification of data accuracy shall include the use of or reference to said information by a third party for any action in connection with the operation under this Application and/or per my intention. I have duly received and read the investor guide and agreed to comply with and be bound by the terms and conditions as well as basic rights of consumers as stated in the reverse side of this Application including those to be later prescribed and announced by the Management Company, in all respects. This transaction is not for money laundering or financing of terrorism and the proliferation of weapons of mass destruction.

Signature of Applicant
(.....) (.....)

*Sign for Joint Account only.

For Officer Only For Registrar and Branch Officer/Fund	
Investor Contacted Person and/or Application Authorized Person	1. Please inform the customer to fill in the application's details.
.....	2. Please submit the documents to the registrars within 7 days
No.	since the application date.
	3. The customer recommender (if any)

Term and Conditions

1. The Management Company reserves the right to accept and/or reject the Application for the Opening of the Fund Account and/or reject the reservation and/or subscription and/or redemption and/or switching of investment units, either in whole or in part, with no need to provide any reason. This shall be in accordance with the terms and conditions, including rights and duties of the Management Company as stated in the prospectus, including any other terms and conditions determined by the Management Company as well as other announcements.
2. The Management Company aims to offer investment units of funds within Thailand and has no objective of offering investment units to/for the benefit of the United States of America, US citizens or residents or the persons who have residence in the USA including the estate of said persons and companies or partnerships which are established and conduct activities in the USA. The Management Company reserves the right to not offer investment units to the aforementioned persons (in accordance with FATCA law).
3. The Management Company reserves the right to not accept the opening of the fund account of a minor or a person who is less than 20 years old, in accordance with the Civil and Commercial Code, Section 1574 (11) and Section 1598/4 which prohibits the conduct of juristic act related to property of a minor, except by the court's order.
4. If there is no balance left in the fund account which has been inactive for more than one year, the Management Company reserves the right to close the account without giving advance notice to the applicant for the opening of the fund account.
5. The applicant for the opening of the fund account via KASIKORNBANK PCL (KBank) must open a deposit account of KBank for receiving redemption proceeds/dividend. The redemption proceeds/dividend cannot be paid by cheque or to another bank's account.
6. In case of a joint fund account, the applicant acknowledges that investment in types of retirement mutual fund (RMF) and types of Thai ESG fund (Thai ESG) / Thai ESG Extra fund (Thai ESGX) is not tax-deductible.
7. A selling agent acts as investment consultant and accepts an instruction for investment unit subscription and/or redemption and/or switching only. Allocation of investment units per the instruction for investment unit subscription and/or redemption is under the responsibility of the Management Company.
8. The Management Company may send all communications, correspondences and/or notices and/or any other document to the applicant by telephone, facsimile, email or postal mail, either registered or unregistered, or by any other means, or any other channel as the Management Company deems appropriate. If the communication has been made by the Management Company to the contact address and/or the contact information based on the details in this Application, it shall be deemed that the Management Company has duly notified or sent the information to the applicant. In case of change in the contact address and/or contact information, the applicant shall give written notice with attachment of documents as evidence as determined by the registrar and/or the Management Company.
9. If the applicant who receives the redemption proceeds/dividend by funds transfer to a deposit account at KBank that has been assigned a PIN for use with an ATM card or any other card to be available in the future, and if the applicant wishes to use the KBank Delivery or any other electronic banking service for subscribing and/or redeeming and/or switching for investment units through electronic media, the applicant can use such account number/card number and PIN to subscribe or redeem to process the investment unit subscribing and/or redeeming and/or switching for investment units transaction via the KBank Delivery or any other electronic service of KBank.
10. The applicant acknowledges and agrees to be bound by the terms and conditions and any content stated in the prospectus of each fund, terms/criteria/conditions of the opening of the fund account including relevant laws and/or any other announcement including the Securities and Exchange Act/ Notification of the Securities and Exchange Commission/ Capital Market Supervisory Board /the Office of the Securities and Exchange Commission/ Anti-Money Laundering Office/ Association of Investment Management Companies and/or any other organization.

11. The applicant acknowledges and agrees that the Management Company shall collect and use the information of the applicant and/or a third party provided by the applicant to the Management Company or via the Management Company's agent or held by the Management Company or that the Management Company has received or obtained from other sources for the purpose of providing services to the applicant, undertaking operations per the applicant's request before service provision, assigning work to another person to support the service regarding IT, communication, assignment of rights and/or duties, compliance with laws, risk management, compliance and audit, internal organization management, complaint handling and/or for any other purposes essential for operation of the Management Company or to allow the Management Company to provide continual services with fairness, as well as for the purposes as stipulated in the privacy policy. The applicant acknowledges and agrees that the Management Company may disclose the information of the applicant and/or the third party to external service providers, the Management Company's agents, sub-contractors, co-branding partners, data processors, auditors, external inspectors, assignees of rights or prospective assignees of rights, competent authorities and/or any organizations/juristic persons having entered into a contract with the Management Company; and that the recipient of such information from the Management Company may collect, use and disclose such information further in accordance with said purposes; and that the Management Company may send and/or transfer the data to storage on server/cloud in relevant countries. If the applicant gives and/or sends the third party's information, the applicant affirms that the third party has been informed of the details about the collection, use and disclosure of the data as stated in the previous paragraph, and the applicant has been given consent from the third party.

The applicant may read additional details and rights in the Privacy Policy on the Management Company's website () or request them from the Management's officer or agent who provides the service to the applicant.

The Management Company may revise the privacy policy, and the revised privacy policy will be posted at the Management Company's website. The applicant acknowledges that the Management Company may undertake operations in accordance with the current privacy policy. The Management Company may give notice of the change to the applicant via channels used by the Management Company for contacting the applicant and/or any other channels through which the Management Company deems the applicant can be informed of the change.

12. The applicant has the right to cancel the services provided by the management company in order to facilitate and/or increase the service efficiency for the applicant such as SMS Fund Alert, K-Mutual Fund Reports service. Cancel by yourself on www.kasikornasset.com, Select Digital Service and/or transaction service through Kasikorn Bank branches. Request to cancel the service by contacting the marketing officer who takes care of you. The cancellation of such service may result in the applicant's inconvenience or limitation in using the service, depending on the type of service that the applicant has canceled.

Restrictions on transfer or pledge of investment units

1. Unitholders are not allowed to transfer or pledge investment units of long-term equity fund (LTF) invested in before January 1, 2020 and/or types of retirement mutual fund (RMF) and/or types of super savings fund (SSF) and/or types of Thai ESG fund (Thai ESG) / Thai ESG Extra fund (Thai ESGX) investment units under unit-linked life insurance policy.
2. Unitholders are allowed to pledge investment units of closed-end mutual funds which are not redeemable. Transfer of investment units shall be subject to restrictions under Item 4.
3. Unitholders are allowed to pledge investment units of mutual funds other than those specified in Items 1 and 2. Transfer of these investment units shall be subject to restrictions as stated in the Commitments between Unitholders and the Management Company, including restrictions under Item 4.
4. The management company or registrar of investment units may deny the transfer of investment units, regardless of its level, if the transfer of investment units has prevented the management company from performing their duties in connection with the Foreign Account Tax Compliance Act (FATCA) or has affected the Fund's investment or the unitholders or the reputation or legal responsibility of the management company.

5. Under the restrictions per Item 4, unitholders are normally allowed to transfer investment units in the following cases. However, unitholders should study details, conditions and/or restrictions of the investment unit transfer from the prospectus of the respective mutual fund.
- (1) Transfer of investment units to father, mother, child or spouse of the unitholder
 - (2) Transfer of investment units to heir or beneficiary under a will or as an inheritance.
 - (3) Transfer of investment units under the court's order
 - (4) Transfer of investment units under enforcement of the pledge
 - (5) Transfer of investment units under special cases, as deemed appropriate and approved by the management company.
6. The registrar of investment units shall not accept registration of the transfer and/or pledge of investment units that are not allowed to be transferred or pledged, including the transfer and/or pledge that is not consistent with requirements in the Commitments between Unitholders and the Management Company.