

# Transfer Form for Mutual Fund/Debenture/Bond

Please submit a separate form for transfer of more than one fund under

the same asset management company



## Part 1: Information of Transferor-Transferee

Name of transferor \_\_\_\_\_

Name of transferee \_\_\_\_\_

### Contact Information of transferor

Mobile phone number \_\_\_\_\_

Email Address \_\_\_\_\_

### Contact Information of transferee

Mobile phone number \_\_\_\_\_

Email Address \_\_\_\_\_

## Part 2.1: Service Information – Transfer of Investment Units

I hereby wish to request that KASIKORNBANK PCL (“KBank”) transfer my investment units. (Please fill out the form and attach documents as specified in the table of required documents).

### Service information for KAsset fund account

Transferor’s fund account number \_\_\_\_\_ / \_\_\_\_\_

Transferee’s fund account number \_\_\_\_\_ / \_\_\_\_\_

### Service information for other asset management companies’ fund accounts. (Fund accounts opened with KBank only)

Please specify Asset management company name \_\_\_\_\_

Transferor’s fund account number

\_\_\_\_\_

Transferee’s fund account number

\_\_\_\_\_

Fund Code \_\_\_\_\_

Fund Name \_\_\_\_\_

Transfer Unit \_\_\_\_\_ units / 4 digit (decimal)

### Acting as

Parent/Spouse/Child

Statutory heir

Transferee from sale by public auction/ court order

Legatee

Estate administrator of \_\_\_\_\_

Other (please specify) \_\_\_\_\_

I hereby certify that I have the legal right to transfer and/or receive the transfer of the investment units. Furthermore, I agree to be fully responsible for and indemnify the registrar and/or the broker of securities, including the investment units, for any and all damages that may arise from or be caused by the transfer and/or receipt of the investment units to me and/or on behalf of me.

**Part 2.2: Service Information – Transfer of Debentures/Bonds**

I hereby wish to request that KASIKORNBANK PCL (“KBank”) transfer the following debentures. (Please fill out the form and attach documents as specified in the table of required documents.)

Debenture name (Full name/Short name) \_\_\_\_\_ Number of units \_\_\_\_\_ Number of issues \_\_\_\_\_

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Debenture name (Full name/Short name) \_\_\_\_\_ Number of units \_\_\_\_\_ Number of issues \_\_\_\_\_

For transferee who has never been a debenture holder, please provide complete information below:

Mailing address  Per national ID card

Other addresses (Please specify) Contact address \_\_\_\_\_ No \_\_\_\_\_

Building \_\_\_\_\_ Floor \_\_\_\_\_ Room \_\_\_\_\_ Mu \_\_\_\_\_ Village \_\_\_\_\_

Alley/Soi \_\_\_\_\_ Road \_\_\_\_\_ Sub-district \_\_\_\_\_ District \_\_\_\_\_

Province \_\_\_\_\_

Postal code \_ \_ \_ \_ \_

Occupation \_\_\_\_\_

To receive principal/interest payment  By cheque

By funds transfer to KBank account number \_ \_ \_ \_ \_

I hereby certify that I am the rightful transferor/transferee of the debenture. Furthermore, if any damage or loss is incurred to the registrar in any way as a result of the registrar registering the transfer/receipt of the debenture for me, I agree to accept full responsibility and indemnify the registrar for all damages. I also acknowledge that the transfer of the debenture will only be valid against third parties once the registrar has registered the transfer of the debenture in the register of debenture holders.

I hereby agree and give consent to the Bank to collect and use any of my personal data and/or information for the purpose of (i) providing services, (ii) fulfilling my request before providing the services, (iii) assigning third parties to support the services, such as information technology, communications and collection, (iv) assignment of rights and/or obligations and/or (v) solving complaints. Moreover, I further agree and give consent to the Bank to disclose said information, whether in or outside the country, to the securities issuer, asset management company, securities registrar, debenture holder's representative, investment unit selling agents, outsourcing service providers, the Bank's agents, sub-contractors, co-branding alliances, prospective assignees, assignees and cloud computing service providers, and also agree and give consent to the aforementioned parties to collect, use and/or disclose said information for the same purposes. For more information, please see the Privacy Policy: [www.kasikornbank.com/en/privacy-policy](http://www.kasikornbank.com/en/privacy-policy)

In the event that I disclose another person's personal data to the Bank for the aforementioned purposes, I hereby represent and warrant to the Bank that I have obtained consent from such person or have a legal basis to disclose such person's personal data to the Bank and have informed such person of the details of the collection, use and/or disclosure of personal data pursuant to the aforementioned Privacy Policy.



Signed \_\_\_\_\_ Transferor/Authorized Signatory

( \_\_\_\_\_ ) Legible handwriting

Date \_\_\_\_ / \_\_\_\_ / \_\_\_\_



Signed \_\_\_\_\_ Transferee/Authorized Signatory

( \_\_\_\_\_ ) Legible handwriting

Date \_\_\_\_ / \_\_\_\_ / \_\_\_\_

**For Bank Use**

**Bank officer has signed to certify that**

- **Identity verification of securities holder** has already been undertaken.
- **Accuracy and completeness** of information, required documents and related evidence, as well as securities holder's signature, has been verified.
- **In signing the document**, the officer receiving and reviewing the document do not require a license, but they must not be the same person. Otherwise, the Bank will return the document to the relevant branch for correction.

**For Branch Officer / Selling Agent**

Name/Surname \_\_\_\_\_ (legible handwriting) Employee Code \_\_\_\_\_  
Telephone \_\_\_\_\_

The document's completeness and accuracy, as well as the securities holder's identity, have been verified.

Name/Surname \_\_\_\_\_ (legible handwriting) Employee Code \_\_\_\_\_  
Telephone \_\_\_\_\_  
Date \_\_\_\_\_

The document's completeness and accuracy have been verified.

**Required Documents**

**Note:** Copies of all documents, including the required documents for each service, must be signed between parallel lines to certify that they are true copies.

For transfer of investment units under 2.1 Service Information:

1. Identity documents of both transferor and transferee

In case of transfer with conditions, please attach the following documents:

1. Marriage registration certificate (for transfer to spouse)
2. Birth certificate or house registration (for transfer to child)

For transfer of debentures under 2.2 Service Information

1. Identity documents of both transferor and transferee
2. Copy of transferor's debenture certificate
3. Original debenture certificate

The relevant branch will send the original debenture certificate to Registrar and Mutual Fund Selling Agent Support Unit, 19th Floor, KASIKORNBANK PCL, Rat Burana Main Branch, No. 1, Soi Rat Burana 27/1, Rat Burana Road, Rat Burana Sub-district, Rat Burana District, Bangkok 10140

Identity documents refer to

- **For individuals:** Copy of national ID card (front side only) or copy of alien registration card or passport (foreigners) (documents must remain valid as of transaction date)
- **For juristic persons:** Copy of certificate of registration or establishment documents (issued not more than three months prior to submission) or juristic person certificate issued by government agencies and identity documents of authorized signatory
  - Copy of national ID card (front side only) or a copy of alien registration card or passport (foreigners) of authorized signatory (documents must remain valid as of transaction date)
  - In case of authorization: Power of attorney and copy of national ID card (front side only) or copy of alien registration card or passport (foreigners) of grantor and grantee (documents must remain valid as of transaction date)