

# Account Opening Form | For Individual

Office / Branch ..... Date .....  
 ATM No. (Krungsri ATM only) ..... Unitholder Id. 

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I / We hereby wish to open an account for the subscription and redemption of fund units managed by Krungsri Asset Management Co., Ltd. ("the Company") with provision of the following information:

**Unitholder Name**  Mr.  Mrs.  Ms.  Other (specify) .....  
 Name ..... Last Name .....

**General Information**  
 Personal ID Card / ..... No. ....  
 Date of Birth ..... / ..... / ..... Nationality ..... Marital Status  Single  Married  Divorced  Other.....  
 Is a minor?  Yes  No. Name of guardian ..... Relationship .....  
 Spouse Name .....  
 Names of Minor(s) 1) ..... Date of Birth .....  
 (Age below 20 years) 2) ..... Date of Birth .....  
 Working Office of the applicant ..... Working position .....

**Contact / Mailing Address** .....  
 Province ..... Postal Code ..... Email (in elaborate handwriting) .....  
 Tel No. (Home) ..... (Office) ..... (Mobile) ..... Fax No. ....

**Official Address**  As above  Other (specify) .....

<p><b>Order for Dividend Payment</b>          If no indication, it will be deemed that you wish to deduct the with holding tax at source          I / We <input type="checkbox"/> wish to deduct withholding tax at source  <input type="checkbox"/> don't wish to deduct withholding tax at source</p>	<p><b>Order for Payment Method of Redemption Proceeds and/or Dividend</b> (Choose only one)          I / We <input type="checkbox"/> wish to receive check (a/c payee) payable to my name and send to the abovementioned address  <input type="checkbox"/> wish to have the proceeds credited to my/our bank account at  <b>Bank of Ayudhya PCL.</b> Account No. ....          Branch ..... <input type="checkbox"/> Saving account <input type="checkbox"/> Current account</p>
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**Objectives in Opening an Account**  For return (01)  For tax benefit (02)  For family's security (03)  
 (Can be more than 1 choice)  For saving (04)  For retirement purpose (05)  Other (99) (Specify) .....

**Whereby I / we would like to open an account**  For myself (01)  For the other (02)\*  
 \*In case of identifying "For the other", please specify the details of ultimate beneficial owner who will receive the ultimate benefit from executing transaction(s) or has ultimate control or final decision in executing transaction (s).  
 Name ..... Personal ID Card No. .... Relationship .....  
 Address .....  
 Tel. No. (Home) ..... (Mobile) ..... Email .....

Occupation	Business Type	Monthly Income	Source of Investment Capital
<input type="checkbox"/> Civil servant (01) <input type="checkbox"/> Company's employee (02) <input type="checkbox"/> Politician (03) <input type="checkbox"/> Business Owner (04) <input type="checkbox"/> Self-employed (05) <input type="checkbox"/> Unemployed (06) <input type="checkbox"/> Others (99) (specify) .....	<input type="checkbox"/> Financials / Banking (01) <input type="checkbox"/> Insurance / Assurance (02) <input type="checkbox"/> Property / Real Estate (03) <input type="checkbox"/> Law Firms / Accounting Firms (04) <input type="checkbox"/> Weapon Manufacturing / Supplier (05) <input type="checkbox"/> Tourism (06) <input type="checkbox"/> Currency Exchange (07) <input type="checkbox"/> Money Transfer (08) <input type="checkbox"/> Antique Trading (09) <input type="checkbox"/> Jewellery / Gold Trading (10)	<input type="checkbox"/> Casino and Gambling (11) <input type="checkbox"/> Used Goods / Junk Trading (12) <input type="checkbox"/> Entertainment Facility / Night Club (13) <input type="checkbox"/> Employment Agent (14) <input type="checkbox"/> Non - Financial Institution Lender (15) <input type="checkbox"/> Pawnbroker (16) <input type="checkbox"/> Others (99) (specify).....	(Choose only one) <input type="checkbox"/> Below or equal to 15,000 Baht (01) <input type="checkbox"/> 15,001-50,000 Baht (02) <input type="checkbox"/> 50,001-100,000 Baht (03) <input type="checkbox"/> 100,001-200,000 Baht (04) <input type="checkbox"/> 200,001-500,000 Baht (05) <input type="checkbox"/> Above 500,000 Baht (06)
			(Can choose more than 1 choice) <input type="checkbox"/> Salary / Wages (01) <input type="checkbox"/> Saving (2) <input type="checkbox"/> Heritage / Gift (03) <input type="checkbox"/> Personal business (04) <input type="checkbox"/> Dividend / Interest (05) <input type="checkbox"/> Securities trading (06) <input type="checkbox"/> Others (99) (specify) .....

**An expected amount of initial investment with the Company** (please specify the amount) ..... Baht  
 I/We  have (01)  haven't (02) involved in some of either criminal record under anti-money laundering law and regulations in past 3 years  
 I/We  have (01)  haven't (02) been denied to execute the financial transactions with other financial institutions.

We hereby certify that information provided herein is accurate and trustful. We acknowledge and agree to be bound by Terms and Conditions specified in the Fund Prospectus, Terms and Conditions specified at the back of this Forms and /or those to be informed or announced by the Company in the future. We undertake that our transaction execution has no objectives of any money laundering or financial supports to those criminal persons. Therefore, in case of changes in any information, I/we will inform the Company immediately.

**Authorized Singnature Requirement**  
 Single  Joint  Others .....

Signature of the applicant(s) .....  
 ( )



For officials only	The official has verified self and documents of the applicant(s) as well as the accuracy of documents and information therein.				KYC level <table border="1" style="display: inline-table;"><tr><td style="width: 20px; height: 20px; text-align: center;">1</td><td style="width: 20px; height: 20px; text-align: center;">2</td><td style="width: 20px; height: 20px; text-align: center;">3</td></tr></table>	1	2	3
	1	2	3					
	Account Opening by	Recorded By	Staff Id.	Authorized by				
Investor Contact Name	License No.	Staff Id.	Referrer's Staff Id.					



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	Account Opening by	Recorded By	Staff Id.	Authorized by				
Investor Contact Name	License No.	Staff Id.	Referrer's Staff Id.					

## **Terms and Conditions of Investment**

The applicant (the "Investor") wishes to invest in the investment units of the Funds managed by Krungsri Asset Management Co., Ltd. (the "Management Company"), as stated in the account opening form (the "Application Form") and in accordance with the investment terms and conditions (the "Terms and Conditions"), which shall form an integral part of the Application Form to which the Terms and Conditions are attached and deemed to be the same document.

### **The Investor acknowledges and agrees as follows:**

1. Redemption proceeds refers to money received either from the redemption of investment units by the Investor himself/herself or through automatic method.
2. In the event that redemption proceeds or dividends cannot be deposited into the Investor's account for any reason (for instance, the account name is inaccurate or the account has been closed, etc.), the Investor agrees to accept the payment by specific crossed check instead.
3. For investment in retirement mutual funds and/or long-term equity funds established and managed by the Management Company, the Investor acknowledges that, the Management Company or the registrar may deny the registration of a transfer, a pledge of investment units or placing investment units as collateral pursuant to the notifications and regulations of the Office of the SEC.
4. The Management Company reserves the right to accept or reject an Investor's Application Form without reasons.
5. Following the opening of an Investor's fund account with the Management Company, the Management Company reserves the right to deny, whether in whole or in part, any subscription, purchase, redemption, and/or switching of investment units pursuant to the Investor's subscription, redemption, or switching order form or any other orders, and will provide reason(s) therefore. The Management Company is entitled to perform or omit to perform any act in accordance with the fund's objective and policy and the Management Company's rights and responsibilities specified in the fund project and prospectus of each fund established and managed by the Management Company.
6. In case of a joint account is opened by two investors or more, the Management Company will deem that the person whose name appears first on the application is the person who will exercise the right as a unit holder on my behalf/ on behalf of all joint account applicants for giving investors' information on the risk profile questionnaire, acknowledging related rights reserved, signing of confirmation/consent and other documents related to purchase and/or redemption and/or switching of units or receiving redemption proceeds or receiving dividend (if any) or receiving proceeds upon termination of the fund, in this account on my behalf/ on behalf of all joint account applicants unless otherwise specified by the joint account applicants.
7. The selling or redeeming supporter (the "Supporter") is an agent who accepts Investors' subscription, redemption, and/or switching orders on behalf of the Management Company. Allotment of investment units as per the orders is the sole responsibility of the Management Company.
8. In the event that a fund account has a balance of zero and has been inactive for more than one year, the Management Company reserves the right to close the account without notice to the account holder.
9. In case the Investor is not an institutional investor, the Investor confirm that it has received Investor's Manual or a tax manual related to retirement mutual funds, or any other documents used in the offering of investment units from the Management Company, the underwriter, the Supporter, and/or individuals serving as supporters, including staff of the said persons who function for offering of the units, and that it has good knowledge and understanding of investment in units of mutual funds as follows:
  1. Investors should study all information contained in the prospectus prior to making investment in the fund's investment units;
  2. An investment in investment units is not a deposit of money and involves certain risks. Investors may receive return greater or less than their initial investment funds, and may not receive redemption proceeds within the specified period of time or may not redeem the investment units as ordered;
  3. In the event that the Management Company, the underwriter, the Supporter, and/or individuals appointed by the Management Company to serve as supporters, including staff of the said persons who provide service for subscription or redemption of investment units, provide general or specific advice to the Investor, the Investor will be given the following cautions in accordance with the rules, conditions, and procedures prescribed by the SEC:
    - a. A caution about risks associated with investment in investment units
    - b. A caution about risks associated with investment in a particular fund
    - c. A caution about the fact that any general advice given to the Investor is not provided specifically for the Investor and is not based on an analysis of or consideration for the Investor's investment objective, financial status, and needs.
    - d. A caution about the fact that any specific advice given to the Investor is based on an analysis of the information provided by it or required to be disclosed by law and thus, should the Investor refuse to disclose personal or the most up-to-date information, it may not suit the Investor's investment objective, financial status, or needs.
    - e. A caution about the fact that a fund which invests offshore may not fully hedge against foreign exchange rate risk; thus, Investors may sustain loss or earn profits from foreign exchange rates or receive returns lower than its initial investment funds.
  4. Decision to invest solely made by the Investor shall not have binding effect upon the Management Company nor cause the Management Company to be held liable in any way;
  4. Investors in retirement mutual funds and long-term equity funds are advised to read and have a thorough understanding of the contents of the tax manual. Investors acknowledge that the Management Company does not provide tax advice or tax consultation service to them
10. The Investor acknowledges and is well aware that staff of the Management Company, the underwriter, the Supporter, and/or individuals serving as supporters, who provide service for the subscription or redemption of investment units will receive compensation as per the criteria set by the Management Company, the underwriter, and/or the Supporter (as the case may be). Such compensation is responsible by the Management Company, the underwriter, and/or the Supporter (as the case may be) and does not incur extra expenses to the Investor or the fund other than those specified in the fund prospectus.
11. The Investor acknowledges that the Management Company, the underwriter, the Supporter, and/or individuals serving as supporters, including staff of the said persons who provide service for the subscription or redemption of investment units, have a duty and are obligated to comply with the notifications of the SEC and/or the Office of the SEC, and/or rules, regulations, or orders of any other competent authorities, or relevant laws. The Investor, therefore, agrees to provide full cooperation in all respects to the Management Company, the underwriter, the Supporter, and/or individuals serving as supporters, including staff of the said persons who provide service for the subscription or redemption of investment units. This cooperation shall include:
  - a. To agree to provide or disclose its personal information, information required for transaction reports pursuant to the Anti-money Laundering Act B.E. 2542, and information required by other relevant laws
  - b. To prepare or sign documents and/or any evidence requested by such persons or required by competent government officials
12. All communications, letters, notices, and/or any other documents to be given by the Management Company to the Investor may be given by any means, either by phone, telegraph, facsimile, electronic mail, registered mail, or non-registered mail, sending by hand, or any other methods. Any such communication sent to the telephone/fax number, email address, or mailing address stated on the Application Form, or to the telephone/fax number, email address, or mailing address most recently notified to the Management Company in writing by the Investor shall be deemed to have been duly given to the Investor, regardless of whether it was accepted by the Investor itself or by anyone. In the case of delivery failure due to the Investor's change of address, or the change or dismantling of the physical address building without notifying in writing to the Management Company or the inaccuracy of the telephone/fax number, email address, or mailing address most recently given to the Management Company in writing by the Investor, the Investor shall be deemed to have been duly given such letter, notice, or any other documents issued by the Management Company and to have learned of the contents thereof.
13. The investor and the Management Company agree that invalid or void provisions of these terms and conditions or part thereof shall not prejudice other terms and conditions or the remaining terms and conditions, and the remaining terms and conditions shall be in effect until termination. In case any clauses of the terms or conditions is in conflict or contrary to the Securities and Exchange Act and other notifications of the Securities Exchange Commission re: Criteria, Conditions, and Method for Sale and Redemption of Investment Units and Appointment of a Selling or Redemption Agent, provisions that are not in conflict or contrary to such notifications shall apply.
14. The Investor acknowledges and agrees to be bound in accordance with the fund project approved by the Office of the SEC, and as legally amended, as well as the letter of commitments between the Management Company and the Investor which have been duly and legally prepared and signed by the fund's supervisor.
15. The opening of the mutual fund account and transactions under such account has no purpose to commit money-laundering or provide financial support to terrorism.
16. The Management Company reserves the right to disclose information relating to all of my accounts opened with Krungsri Asset Management Co., Ltd including taking any other actions in relation to my investment account as required by local or international laws or authority (including FATCA of the United States of America). I agree to submit information and additional documents and confirm the accuracy of my consent and agreement in FATCA Form and related documents to the Management Company as requested by the Management Company and/ or a selling agent, for use in account opening and actions related to all of my investment accounts opened with the Management Company.
17. To enable the Management Company (and all funds managed by the Management Company), the selling agent and related parties to perform the duties as required by local and international laws (including FATCA and Anti-Money Laundering Law) and in order to reduce steps, for the investor to submit agreement in relation to the investor's duty, confirmation and consent regarding representation and disclosure / withholding tax (including FATCA Form and documents specified in FATCA Form) (hereinafter referred to as "information documents") to the above person individually under the terms and conditions of the account opening of the respective fund. The investor agrees and consents to the above persons including his/her agent to have the right to use such information documents as if the investor has given such information documents to all of such persons and such persons may exchange/use the information documents among themselves. The Management Company and/or each of the above persons reserve the right to subsequently request additional documents and information from the investor.

**Krungsri Asset Management Co., Ltd.,**

1st-2nd Zone A, 12th, 18th Zone B Floor, Ploenchit Tower 898 Ploenchit Road, Lumpini Pathumwan, Bangkok 10330 Tel. 02-657-5757 Fax. 02-657-5777