



Suitability Test/Risk Profile (Individual)

Unitholder/Investor Name.....

Unitholder Number

Mobile Phone.....Email.....

ID Type ☐ ID Card No.

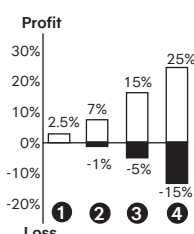
☐ Passport No.

☐ Others (Please Specify).....No.....

Please answer all questions and provide accurate and current information. The answers in this evaluation form will be used in consideration to provide suitable investment guidance for investors.

Questions 1-10 are used to assess the suitability of your investment

- Please indicate your age
 - 60 years old or older
 - 45 - 59 years
 - 35 - 44 years
 - Under 35 years
- What is the proportion of your total expenses at present such as mortgage, cars, personal and family expenses?
 - More than 75% of total income
 - Between 50% and 75% of total income
 - 25% to less than 50% of total income
 - Less than 25% of total income
- What is your current financial status?
 - Less assets than liabilities
 - Assets equal liabilities
 - More assets than liabilities
 - Having financial freedom for retirement life
- Do you have any investment experience or knowledge in the following types of investment products? (You can choose more than 1 item)
 - Bank Deposits
 - Government Bond or Government Bond Funds
 - Debentures or Mutual Funds
 - Common Stocks or Mutual Funds or other high-risk assets
- What is your investment period target?
 - Less than 1 year
 - 1 to less than 3 years
 - 3 to 5 years
 - More than 5 years
- What is your risk tolerance?
 - Focus on opportunity in preserving original investment safely and receiving small consistent return
 - Focus on opportunity in receiving consistent return but may take risk of losing some original investment
 - Focus on opportunity in receiving higher return but may take risk of losing more original investment
 - Focus on the highest long-term return but may take risk of losing most of the original investment
- When considering sample picture below showing the potential returns of different investment portfolio, which investment portfolio are you most willing to invest in?



- Investment portfolio ❶ (has chance to receive 2.5% return without any loss)
- Investment portfolio ❷ (has chance to receive 7% highest return but may lose up to 1%)
- Investment portfolio ❸ (has chance to receive 15% highest return but may lose up to 5%)
- Investment portfolio ❹ (has chance to receive 25% highest return but may lose up to 15%)

- If you invest in assets that have chances to receive high return but also have chances to receive high loss, how would you feel?
 - Worried and afraid of loss
 - Uneasy but somehow understand
 - Understand and accept the fluctuations
 - Not concerned about the large potential loss and expect that the return may increase
- In which proportion will you be anxious or unacceptable when the value of your investment has decreased?
 - 5% or less
 - More than 5%-10%
 - More than 10%-20%
 - More than 20%
- Last year, you invest 100,000 Baht. This year, the value of your investment decreased to 85,000 Baht. What will you do?
 - Panic and want to sell the remaining investment
 - Worried and will change some investment into less risky assets
 - Continue holding the investment and wait until the investment rebounds
 - Remain confident since it is long-term investment and will invest more to average cost

Questions 11-12 are used as additional information for guidance (Scores will NOT be counted)

Apply only to investment in derivatives and structure note

- Successful derivatives and structure notes investment has high return. On the other hand, investors can lose all of their investment and must increase more capital. Are you able to accept this?

☐ No ☐ Yes

Apply only to offshore investment

- In addition to investment risk, are you able to accept foreign exchange rate risk?

☐ No ☐ Yes

The unitholder/investor agrees to the Bank using information provided herewith for assessment and as part of providing advice and services related to investment or securities trading where the Bank deems suitable for the unitholder/investor, and to oversee and monitor investment or securities trading of the unitholder/investor in accordance with the score of this assessment.

Signature.....Unitholder/Investor

Date.....

For Official Use Only

Please calculate the score and evaluate the results according to instructions at the back of this form.

Signature.....Officer

Signature.....Authorized

Signature.....Investment Consultant (IC)

IC No.

Risk Acceptance :

- Derivatives and Structure note
☐ No ☐ Yes

- Foreign exchange rate
☐ No ☐ Yes

Assessment Scores.....



Suitability Test/Risk Profile (Individual)

Unitholder/Investor Name.....

Unitholder Number

Mobile Phone.....Email.....

ID Type ☐ ID Card No.

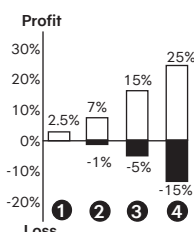
☐ Passport No.

☐ Others (Please Specify).....No.....

Please answer all questions and provide accurate and current information. The answers in this evaluation form will be used in consideration to provide suitable investment guidance for investors.

Questions 1-10 are used to assess the suitability of your investment

- Please indicate your age
 - 60 years old or older
 - 45 - 59 years
 - 35 - 44 years
 - Under 35 years
- What is the proportion of your total expenses at present such as mortgage, cars, personal and family expenses?
 - More than 75% of total income
 - Between 50% and 75% of total income
 - 25% to less than 50% of total income
 - Less than 25% of total income
- What is your current financial status?
 - Less assets than liabilities
 - Assets equal liabilities
 - More assets than liabilities
 - Having financial freedom for retirement life
- Do you have any investment experience or knowledge in the following types of investment products? (You can choose more than 1 item)
 - Bank Deposits
 - Government Bond or Government Bond Funds
 - Debentures or Mutual Funds
 - Common Stocks or Mutual Funds or other high-risk assets
- What is your investment period target?
 - Less than 1 year
 - 1 to less than 3 years
 - 3 to 5 years
 - More than 5 years
- What is your risk tolerance?
 - Focus on opportunity in preserving original investment safely and receiving small consistent return
 - Focus on opportunity in receiving consistent return but may take risk of losing some original investment
 - Focus on opportunity in receiving higher return but may take risk of losing more original investment
 - Focus on the highest long-term return but may take risk of losing most of the original investment
- When considering sample picture below showing the potential returns of different investment portfolio, which investment portfolio are you most willing to invest in?



- Investment portfolio ❶ (has chance to receive 2.5% return without any loss)
- Investment portfolio ❷ (has chance to receive 7% highest return but may lose up to 1%)
- Investment portfolio ❸ (has chance to receive 15% highest return but may lose up to 5%)
- Investment portfolio ❹ (has chance to receive 25% highest return but may lose up to 15%)

- If you invest in assets that have chances to receive high return but also have chances to receive high loss, how would you feel?
 - Worried and afraid of loss
 - Uneasy but somehow understand
 - Understand and accept the fluctuations
 - Not concerned about the large potential loss and expect that the return may increase
- In which proportion will you be anxious or unacceptable when the value of your investment has decreased?
 - 5% or less
 - More than 5%-10%
 - More than 10%-20%
 - More than 20%
- Last year, you invest 100,000 Baht. This year, the value of your investment decreased to 85,000 Baht. What will you do?
 - Panic and want to sell the remaining investment
 - Worried and will change some investment into less risky assets
 - Continue holding the investment and wait until the investment rebounds
 - Remain confident since it is long-term investment and will invest more to average cost

Questions 11-12 are used as additional information for guidance (Scores will NOT be counted)

Apply only to investment in derivatives and structure note

- Successful derivatives and structure notes investment has high return. On the other hand, investors can lose all of their investment and must increase more capital. Are you able to accept this?

☐ No ☐ Yes

Apply only to offshore investment

- In addition to investment risk, are you able to accept foreign exchange rate risk?

☐ No ☐ Yes

The unitholder/investor agrees to the Bank using information provided herewith for assessment and as part of providing advice and services related to investment or securities trading where the Bank deems suitable for the unitholder/investor, and to oversee and monitor investment or securities trading of the unitholder/investor in accordance with the score of this assessment.

Signature.....Unitholder/Investor

Date.....

For Official Use Only

Please calculate the score and evaluate the results according to instructions at the back of this form.

Signature.....Officer

Signature.....Authorized

Signature.....Investment Consultant (IC)

IC No.

Risk Acceptance :

- Derivatives and Structure note
☐ No ☐ Yes

- Foreign exchange rate
☐ No ☐ Yes

Assessment Scores.....

Evaluation recommendations

Calculate the score obtained from questions 1-10 according to “**Part 1 : Assessment Scores**” and compare that with “**Part 2 : Assessment Result and Basic Asset Allocation**” to evaluate the customer’s investor type, inform customer of the results, and provide guidance for suitable investment allocation in line with the examples of investment allocation recommendations. Also, consider the score obtained from questions 11-12 in the case of direct investment in derivatives and structured notes, or foreign investment, as well as other limitations from questions 1-10 to provide suitable advice for investors in accordance with their assessed risk level.

Part 1 : Assessment Scores

Sum up all scores in () of each item selected in questions 1-10 by answering (1) = 1 point, (2) = 2 points, (3) = 3 points and (4) = 4 points.

For question 4, if more than one answer is chosen, choose the item with the highest score.

Part 2 : Assessment Result and Basic Asset Allocation

Total Scores	Level	Investor Type of Risk	Investment risk level	Asset Allocation				
				Deposits and Short-Term Fixed Income Funds	Long-Term Fixed Income Funds	Debenture	Equity Fund	Other Options *
Below 15	1	Low	Level 1	> 60%		< 20%	< 10%	< 5%
15-21	2	Moderate to Low	Level 1-4	< 20%	< 70%		< 20%	< 10%
22-29	3	Moderate to High	Level 1-5	< 10%	< 60%		< 30%	< 10%
30-36	4	High	Level 1-7	< 10%	< 40%		< 40%	< 20%
Above 37	5	Very High	Level 1-8	< 5%	< 30%		> 60%	< 30%

* Including consumer products and derivatives products