

Suitability test for Juristic Investor

This Suitability test Form purports to evaluate an investor's ability to take investment risk in securities. The results of such assessment may be used for giving advice in accordance with risk levels of securities. The investor should review and make this information up-to-date at least every 2 years.

*** "Security in this form means debentures, investment units, shares, government bonds, derivatives, and other securities as specified by laws.

Name of Juristic Investor :

Certificate of Registration No. (issued by Ministry of Commerce) No :

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

1. Your prior investment experience in securities. (Securities: Treasury bills, bond, Bill of Exchange, Stocks, Debenture, Structure note, Mutual Fund Units)
 - a. Less than 1 year
 - b. 1-5 years
 - c. 6-10 years
 - d. More than 10 years
2. What is the proportion of your expenses compare to your revenue?
 - a. More than 75% of the revenue
 - b. Between 50% and 75% of the revenue
 - c. 25% to less than 50% of the revenue
 - d. Less than 25% of the revenue
3. What is your current financial status?
 - a. Less assets than liabilities
 - b. Assets equal liabilities
 - c. More assets than liabilities
 - d. Almost no liabilities or no liabilities
4. Do you have any investment experience or knowledge in the following types of investment products? (You can choose more than 1 item)
 - a. Bank deposits (never invest in other type of assets)
 - b. Government Bond or Government Bond Funds
 - c. Debentures or Mutual Funds
 - d. Common Stocks or Mutual Funds or other high-risk assets
5. What is your investment period target?
 - a. Less than 1 year
 - b. 1 to less than 3 years
 - c. 3 to 5 years
 - d. More than 5 years
6. What is your risk tolerance?
 - a. Focus on opportunity in preserving original investment safely and receiving small consistent return
 - b. Focus on opportunity in receiving consistent return but may take risk of losing some original investment
 - c. Focus on opportunity in receiving higher return but may take risk of losing more original investment
 - d. Focus on the highest long-term return but may take risk of losing most of the original investment
7. Which investment portfolio are you most willing to invest in?
 - a. Investment portfolio 1 (has chance to receive 2.5% return without any loss)
 - b. Investment portfolio 2 (has chance to receive 7% highest return but may lose up to 1%)
 - c. Investment portfolio 3 (has chance to receive 15% highest return but may lose up to 5%)
 - d. Investment portfolio 4 (has chance to receive 25% highest return but may lose up to 15%)
8. If you invest in assets that have chances to receive high return but also have chances to receive high loss, how would you feel?
 - a. Worried and afraid of loss
 - b. Uneasy but somehow understand
 - c. Understand and accept the fluctuations
 - d. Not concerned about the large potential loss and expect that the return may increase
9. In which proportion will you be anxious or unacceptable when the value of your investment has decreased?
 - a. 5% or less
 - b. More than 5%-10%
 - c. More than 10%-20%
 - d. More than 20%
10. Last year, you invest 100,000 Baht. This year, the value of your investment decreased to 85,000 Baht. What will you do?
 - a. Panic and want to sell the remaining investment
 - b. Worried and will change some investment into less risky assets
 - c. Continue holding the investment and wait until the investment rebounds
 - d. 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

11. 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?

- a. No
- b. Yes

Apply only to offshore investment

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

- a. No
- b. Yes

According to the total score of , you are classified as a

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For Staff

Name of Investment Consultant
.....

Single license

Staff ID

Assessment Scores

Answer a = 1 point

Answer b = 2 points

Answer c = 3 points

Answer d = 4 points

For Suitability Assessment No. 4, if selected more than one answer, the highest score of the answers will be selected.

Assessment Result

Total Scores	Level	Investor Type of Risk
Below 15	1	Low
15-21	2	Moderate to Low
22-29	3	Moderate to High
30-36	4	High
Above 37	5	Very High

Signed Investor

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

For a juristic person, please sign together with a company's seal affixed (if any).