**TSD-102** 

## Application for Issuance of a New Securities Certificate(s)



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I/We	
national I.D. card/passport/company Registration number	
as a securities holder of company/mutual fund	
securities certificate number	
for a total ofshares/units, I/V	Ve hereby request the Thailand Securities Depository Co., Ltd. ("TSD") to
issue new securities certificate due to: (please select $\ensuremath{\square}$ )	
☐ Deterioration of condition, e.g., torn ☐ Combining securities of	certificates
☐ The issuer has changed information on the share certificate(s), e.g.,	reduction of capital or changing the company's name.
☐ Breaking down into smaller lots	
■ Securities certificate per copy	shares/units; number of copies
■ Securities certificate per copy	shares/units; number of copies
■ Securities certificate per copy	shares/units; number of copies
■ Securities certificate per copy	shares/units ; number of copies
□ Loss: I/We hereby request TSD to (please select ⊗)	
O Issue new securities certificate	
O Deposit into the Issuer Account please fill out the form belo	wc <sup>™</sup>
For an individual Person	
(If you answer "Yes" for any of the questions, you are an American person pursua	nt to FATCA law, thus please fill in W-9)
Being a American citizen or born in the United States of America	☐ Yes ☐ No
Having American as a second nationality     Having permanent residence in the United States of America	☐ Yes ☐ No ☐ Yes ☐ No
3. Having permanent residence in the officer States of America	LI 165 LI NO
For a juristic person	
Being a juristic person registered in the United States of America (if "Ye	
2. Being a financial institution under FATCA requirements (specify type (  If "Yes", please fill in GIIN	) PFFI, ( ) RDCFFI)
3. Being a juristic person with income from investment/indirect income of a	t least 50 percent of the total income
or having income-generating asset of at least 50 percent of the total ass	set within the latest financial year (if "Yes", please fill in W-8BEN-E)
I/We wish to receive a new securities certificate please select ☑ : ☐ Receive at TSD ☐ Send via registered mail pursuant to the addre	ess in the register of securities holders $\ \ \square$ Receive at the issuer company
Remarks: If the securities holder changes his or her title/name/surname/addr	ess in the register of securities holders, please submit the application for
amending securities holder records together with the application for the issua	nce of a new securities certificate with TSD whereby the securities holder
may download the application for amending securities holder records at	

Remark: 1. Sensitive Data means the information which can be considered as the personal data as prescribed in section 26 of the PDPA, for instance, religious belief, blood type, etc.

2. TSD will consider the above documents when receiving the complete documents and clear information such as the copy of identification documents or signature.

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I/We have thoroughly read all the details specified in the privacy notice of the Stock Exchange of Thailand group ("SET Group") (https://www.set.or.th/th/privacy-notice.html) and acknowledged that my/our personal data, and any third party's personal data I/We have provided to TSD (if any) will be processed and protected under such privacy notice. In this regard, I/We hereby confirm and represent that I/We have procured such third party to read all the details specified in such privacy notice and have duly obtained a proper and lawful consent from such third party to provide the personal data of the third party to TSD.

In addition, I/We hereby acknowledge that in case of any special action (such as where fingerprint is used instead of signature) which additional information that may contain sensitive personal data is required to be submitted to TSD and such additional information is necessary for the provision of TSD service, not providing such additional information may render TSD to be unable to provide TSD service to me/us. Hence, by signing this application, I/we agree and consent that such sensitive personal data to be processed by TSD in connection with the purpose of the provision of

TSD service. Please turn page over for list of required documents 🦠 Securities holder Signature Phone no. email address (If a proxy has been assigned, please sign as both the securities holder and the grantor) I/We here by authorize \_\_\_\_\_ as my/our representative, with full authority Stamp Duty  $\square$  to file this application and receive new securities certificate. ☐ to file this application **THB 10** Grantor Grantee Signature Signature Phone no. For official use only I have already checked all original identification documents Officer Signature

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## Supporting Documents for Issuance of a New Securities Certificate(s)

- 1. Application for issuance of a new securities certificate with the details filled in and signed by the securities holder correctly and completely.
- 2. Original securities certificate
- In case the securities holder does not have the original securities certificate, please attach a report from any police station specifying the details of the lost securities certificate

(Please feel free to contact for the details of the lost securities certificate at Thailand Securities Depository Co., Ltd. ("TSD") as follows:

- 🛈 securities holder's name 🤡 securities' name 🕄 securities certificate number 🚭 amount of shares lost (in case the report from a police station is a copy, the police officer shall sign to certify true and correct copy whereby such copy shall not be issued more than 90 days
- 3. Identification documents of securities holder and authorized person (if any) pursuant to the type of person with the details as per the table below
- In case of other types of person, please ask for additional information at SET Contact Center accordingly to the contact channels further below in the application form or https://www.set.or.th/tsd/en/download/service\_form/20220301\_person\_juristic\_EN.pdf

In case of change to the securities holder: title/name/surname please attach additional documents

- application for amending securities holder records certificate of change to title/name/surname, marriage certificate, divorce certificate, as the case may be.
- 4. In case of the death of the securities holder please attach additional documents signed to certify true and correct copy by the executor or administrator of the deceased's estate as follows:
- Oppy of the court order appointing the executor or administrator of the deceased's estate and copy of the certificate confirming the finality of the case certified by the court not more than 1 year ago 2 Copy of the deceased's death certificate 3 Original and copy of the identification card of the executor or administrator of the deceased's estate.
- 5. Copy of identification documents submitted to TSD may contain sensitive personal data which is not necessary for the provision of TSD service, and TSD has no intention of collecting such sensitive personal data. As a result, the document owners may proceed to cross out any part in order to cover up any sensitive personal data before submitting the identification documents containing such sensitive personal data to TSD. In case that no action is taken to cover up such sensitive personal data, TSD shall deem that you have given your consent to TSD to the collection of such sensitive personal data.

Type of person	Identification Documents
Individual Person	1. In case the securities holder contacts TSD personally, the original Thai national identification card (Thai ID Card) of the
- Thai Nationality	securities holder must be presented.
	2. In case the securities holder does not contact TSD personally, the securities holder must authorize a person to act on
	his/her behalf, and such person must present the original Thai ID Cards of the securities holder and its copy which has
	been certified as true and correct copy of the original document by the document owner.
	* If the original Thai ID Card of the securities holder cannot be presented, please attach the original of the certification
	document issued by the sub-district or district office, identifying to use those certified true copies instead of the original Thai
	ID Card (issued not more than 90 days before the date of submission as part of this application).
	3. In case filing this application via registered mail, please attach,
	- Copies of Thai ID Card of the securities holder which has been certified as true and correct copy of the original document
	by the document owner; in case the original Securities certificate loss and the securities holder does not report any police
	station specifying the details of the lost securities certificate by himself/herself please attach the original of the certification
	document issued by the sub-district or district office, identifying to use those certified true copies instead of the original
	-Thai ID Card (issued not more than 90 days before the date of submission as part of this application).
Individual Person	1. In case the securities holder TSD personally, the original alien identification card or passport of the transferor and the
- Other Nationalities	transferee must be presented.
	2. In case the securities holder does not contact TSD personally, the securities holder must authorize other person to act on
	his/her behalf, and such person must present the original alien identification card or passport of the transferee and its copy
	which has been certified as true and correct copy of the original document by the document owner.
	* If the original passport cannot be presented or this application is being submitted by registered mail,



## Supporting Documents for Issuance of a New Securities Certificate(s)

Type of person	Identification Documents
	- The copy of the passport must be notarized by a notary public, and such notarization must be certified by the Thai embassy
	or consulate.
	Such certification must be issued not more than 1 year before the date of submission as part of this application.
	* If the original signatory's alien identity card cannot be presented or this application is being submitted by registered mail,
	- Certificate of civil registration (issued not more than 90 days before the date of submission as part of this application)
Juristic Person	1. A copy of the juristic person registration certificate issued by the Ministry of Commerce issued not more than 1 year before
- Thai Nationality	the date of submission as part of this application which has been certified as true and correct copy of the original
	document by the authorized directors.
	2. A copy of the Thai ID Card/alien identity card/passport of each authorized director who signs on behalf of the juristic
	person which has been certified as true and correct copy of the original document by the document owner.
Juristic Person	1. A copy of the juristic person registration certificate issued by the regulating government agency in the country where such
- Other Nationalities	juristic person is domiciled.
	2. A copy of the company's affidavit enumerating its directors authorized to bind the company and conditions relating thereto,
	showing the juristic person's headquarters location and authority of the signatory. This affidavit must be issued by an
	authorized official of the juristic person or the governmental agency in the country where such juristic person is domiciled.
	3. A copy of the Thai ID Card/alien identity card/passport of each authorized director who signs on behalf of the juristic
	person which has been certified as true and correct copy of the original document by the document owner.
	All documents for "Other Nationalities" above, must have been:
	(1) notarized by the notary public or certified by any competent authority in the country where such documents were
	prepared or certified for the certification of the signature of the person who prepared or certified such documents.
	(2) certified by the Thai Embassy or Thai Consulate in the country where such documents were prepared or certified for the
	notarization or certification performed by the public notary or such competent authority under (1).
	■ The certification must be issued not more than 1 year before the date of submission as part of this application.
	■ The documents prepared in any other foreign languages other than English must be translated into English.

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