Letter to Customers on Securities Transfer

krungsri Securities

A member of MUFG a global financial group

December 23, 2016

Dear Customers

Subject: Rule, Regulation and Procedure of Scripless Securities Deposit, Transfer and Deposit/Withdrawal of Physical Share Certificate and Issuance

Referring to Association of Thai Securities Companies (ASCO)'s announcement Kor Sor 1/2559 on **Rule, Regulation and Procedure of Scripless Securities Deposit, Transfer and Deposit/Withdrawal of Physical Share Certificate and Issuance** for the purpose of security control using clients' asset, preventing fraud, protecting from taking advantage of securities deposit, transfer and deposit/withdrawal of physical share certificate and issuance, as well as illegal securities trading nominees; Krungsri Securities Public Company Limited would like to summarize the rule, regulation and procedure with details as follows:

- **Scripless Securities Transfer in/out:** Scripless securities transfer in/out can be done within the broker (internal transfer) or to other brokers, the Company will proceed as instructed by the customers as prescribed by ASCO's announcement for an example to transfer in/out to the same person, spouse, legitimate child, by the court's order, or as instructed by SEC/SET only. The instruction must attach with supporting documents such as marriage certificate, house registration that indicates relationship of the transfer/transferee, certificate of child adoption or latest court's order and etc.
- **Physical Securities Deposit**: Customer can deposit the physical share certificate that has the customer's name as the owner only or the customer is the last beneficiary owner as the customer's name shown at the back of the share certificate; and attached with ID of the previous transfer(s) and transferee(s). In the case that there has been several transfers, the last beneficiary owner must be the name of the customer only who deposits the shares with the broker. In the case that the last beneficiary owner shown at the back of the certificate is not the same as the depositor, the Company reserves the right to refuse the said deposit.

  If the transfer and/or transferee are not the Company's customers, the depositor must present the original IDs attached with copies or copy of ID verification document issued by district or provincial office.
- **Securities Transfer In/Out under Issuer A/C 600:** Name of the transfer or transferee must be the same name of the customer attached with copy of ID.
- **Withdrawal/Issuance of Physical Share Certificate**: The customer can withdraw or issue only under the customer's name. The customer cannot withdraw or issue under another person's name except by the court's order and the customer must attached copy of ID or any legal documents issued by related authorities

The above is effective as of January 1, 2017 onward. If you have any question, please contact your Investment Consultant (IC) or the Operations's officers

Yours Sincerely

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