

**Entity Status Certification and Information Disclosure Consent Form under FATCA**

**Certification of the Claimed FATCA Status**

I/We \_\_\_\_\_

by \_\_\_\_\_, position \_\_\_\_\_

and \_\_\_\_\_, position \_\_\_\_\_

I hereby certify that I have the status as follows;

**Part 1: Place of Incorporation**

	<b>Certification of the Claimed FATCA Status</b>	<b>FATCA Status for Non-U.S. Entities</b>
<input type="checkbox"/>	1.1 I am an entity that is incorporated in: _____ (Fill in a country)	U.S. Person / Non-U.S. Entities
<input type="checkbox"/>	1.2 I am a branch of an entity. Please specify the place of incorporation of the head office: _____ (Fill in a country)  In case the entity is incorporated in the U.S., I have attached W-9 certifying the status herewith.  (If you are a non-U.S. entity or a branch of non-U.S. entity, please proceed to <u>Part 2</u> . Apart from that, your certificate of the claimed FATCA status is complete.)	

**Part 2: FATCA Status for Non-U.S. Entities**

	<b>Certification of the Claimed FATCA Status</b>	<b>FATCA Status for Non-U.S. Entities</b>
<input type="checkbox"/>	2.1 I am a financial institution of the type of Participating Foreign Financial Institution with GIIN : _____	PFFI
<input type="checkbox"/>	2.2 I am a financial institution of the type of Registered Deemed-Compliant FFI with GIIN : _____	RDCFFI
<input type="checkbox"/>	2.3 I am a financial institution of the type of Non-Participating Foreign Financial Institution.	NPFFI
<input type="checkbox"/>	2.4 I am a financial institution of the type of Certified Deemed-Compliant FFI and have attached W-8BEN-E certifying the status herewith.	CDCFFI
<input type="checkbox"/>	2.5 I am a publicly traded (listed) company or affiliate of a listed company;	Excepted NFFE

	My evidence of listing or affiliation of a listing company is in a copy of the latest financial statement attached herewith.	
[ ]	<p>2.6 I am a government (agents), international organization, or central bank of issue;</p> <p>I certify that I am the beneficial owner of any payment in connection with the securities that is going to be sold or transferred, and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or commercial banks.</p>	Exempt Beneficial Owner
[ ]	<p>2.7 I am a non-profit organization;</p> <p>I certify that I am exempt from income tax under Thai revenue code.</p>	Non-Profit Organization
[ ]	<p>2.8 I am a non-financial institution whose main income <b>is not from investing</b>.</p> <p>I certify that I am not incorporated in the U.S. and not a financial institution and <b>not exceeding half of my income</b> as stated in my latest financial statement are derived from the following four groups <u>and</u></p> <p><b>not exceeding half of my assets</b> as stated in my latest financial statement can generate incomes in the following four groups as follows;</p> <p><u>Group 1:</u> Dividend and Interest</p> <p><u>Group 2:</u> Rental and Royalties</p> <p><u>Group 3:</u> Income from certain transactions</p> <ul style="list-style-type: none"> <li>● Sales of any asset generating income in Group 1 and Group 2</li> <li>● Income from commodity derivative contracts</li> <li>● Foreign exchange gain</li> <li>● Income from SWAP contract (Notional Principal Contract)</li> </ul> <p><u>Group 4:</u> Income from insurance and annuity contracts</p> <ul style="list-style-type: none"> <li>● Income from reserving activities (insurance company only)</li> <li>● Income from annuity contracts</li> <li>● Income from insurance contracts</li> </ul>	Active NFFE

[ ]	<p>2.9 I am a non-financial institution whose main income <b><u>is from investing</u></b>.</p> <p>I certify that I am not incorporated in the U.S. and not a financial institution and <b><u>exceeding half of my income</u></b> as stated in my latest financial statement are derived from the abovementioned four groups of income <u>or</u></p> <p><b><u>exceeding half of my assets</u></b> as stated in my latest financial statement can generate incomes in the abovementioned four groups of income.</p> <p>I also hereby declared my U.S. ownership as follows;</p> <p>[ ] I <b><u>do not</u></b> have any owner/shareholder who is a U.S. person <b><u>or</u></b></p> <p>[ ] I have owner(s)/shareholder(s) who is (are) U.S. persons and have hereby disclosed the name, address, and U.S. Tax Identification Number (TIN) of each holder as follows;</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="width: 33%; text-align: center;">Name</th> <th style="width: 33%; text-align: center;">Address</th> <th style="width: 33%; text-align: center;">TIN</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Name	Address	TIN										Passive NFFE
Name	Address	TIN												
[ ]	<p>2.10 I am not eligible for any status provided above</p> <p>I have herewith attached W-8BEN-E with the status of _____</p>	Others												

**Information Disclosure Consent**

I acknowledge and agree that The Thailand Securities Depository Co., Ltd. (the “**Company**”) is obliged to comply with any prevailing agreement, order, request, or contract that the Company has entered into under Foreign Account Tax Compliance Act (“**FATCA**”) including any other requirement (the “**Applicable Requirements**”) the Company is subject to by governmental organizations or departments or the Revenue Department or any governing bodies (the “**Authority**”) of foreign jurisdictions and related bodies in Thailand as will be informed and/or amended or added occasionally.

I hereby consent to and agree that the Company can;

**(1) Data Privacy Waiver**

I agree that the Company may disclose my particulars or any information to any Authority in connection with the Applicable Requirements or sent through any of its Head Office(s) or other related corporations or in such manner as the Company deems fit. I shall provide the Company with further information as may be required for disclosure to any Authority within 90 days of the date receiving the notice from the Company.

I further agree to co-operate with the Company to comply its obligations under all Applicable Requirements concerning me or my securities with the Company. The Company shall, from time to time, notify the detail and/or the procedure of the Applicable Requirements that may subject to any changes.

**(2) Change in Circumstances**

I agree to update the Company within 30 days of any changes of any of the details previously provided to the Company, regarding my registered address, my nationality, address of place of business, substantial shareholders,

legal and beneficial owner or controllers (who own or control more than 10% of shares or ownership interest or control), tax status, or tax residency or if I become tax resident in more than one country.

If any of these changes occur, I must provide at my own cost, within the prescribed period of time, including but not limited to, duly completed, certified, and/or executed tax declaration or forms.

**(3) Termination Clause**

If I do not provide the Company with the information or documents requested within 90 days of the date receiving the notice from the Company, or if any information or documents provided are not up-to-date, accurate or complete, or revoke my consent under this form, I agree that, in order to ensure the Company's ongoing compliance or adherence with the Applicable Requirements, to the extent permitted under applicable law, the Company may take any and all steps as it deems fit to ensure its compliance or adherence with the Applicable Requirements, trading and exchange of securities and other services contract or agreement, or otherwise to protect its legal and/or commercial interests, including but not limited to, refuse to trade or exchange the securities and provide other services, suspend the payment of any amount that I am entitled to, under the terms and conditions of the said securities, and remit such amount the authorized authorities, or under the Applicable Requirements, return the amount to me.

In case the abovementioned event occurs, I recognize that the Company reserves the right to terminate the trading and exchange of securities and other services, and/or terminate the contracts or agreements for the said services entered with me. This form shall be part of the trading and exchange of securities and other services contracts or agreements.

Under the U.S. penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete.

Signature .....

(.....)

Signature .....

(.....)

Date.....