

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

Nationality \_\_\_\_\_ national I.D. card/passport/company registration number \_\_\_\_\_

current address \_\_\_\_\_

postcode \_\_\_\_\_ phone number \_\_\_\_\_ email address \_\_\_\_\_

(hereinafter "Pledgor"), a securities holder of company/mutual fund \_\_\_\_\_

in the category of \_\_\_\_\_

with par value of THB per \_\_\_\_\_ shares/units, according to securities certificate number \_\_\_\_\_

for a total of \_\_\_\_\_ shares/units amount in letters \_\_\_\_\_ shares/units

has agreed to pledge such securities with \_\_\_\_\_

nationality \_\_\_\_\_ national I.D. card/passport/company registration number \_\_\_\_\_

current address \_\_\_\_\_

postcode \_\_\_\_\_ phone number \_\_\_\_\_ email address \_\_\_\_\_

(hereinafter "Pledgee") as security for the payment of obligations of the Pledgor or any other person to the Pledgee.

The Pledgor and Pledgee therefore agree to file this request to Thailand Securities Depository Co., Ltd. ("TSD") as the securities registrar to request the securities registrar to register such pledge of securities in the register of securities holders of such company/mutual fund and agree to the following:

1. When the obligations secured by the pledge are extinguished or the Pledgee releases the pledge, the Pledgee shall notify the revocation of pledge of securities to TSD so that TSD may revoke the pledge registered in the register of securities holders.

2. In case such pledge of securities remains effective and such company/ mutual fund declares dividend payment, interest or other benefits stemming from the pledge of securities as security, the Pledgor and Pledgee agree for TSD to deliver the dividend, interest or other benefits stemming from the securities pledged as security to:

Pledgor

Pledgee as payment of interest which has not been paid by the Pledgor and in case of no outstanding interest, as payment of principal which has not been paid by the Pledgor.

3. In case the registration of pledge of securities is made after the date such company/ mutual fund closes the register of securities holders for the conferral of right to receive dividend, interest or other benefits stemming from the securities pledged as security and the company/ mutual fund has not paid the dividend, interest or other benefits stemming from the securities pledged as security, the Pledgor and Pledgee agree for TSD to deliver the dividend, interest or other benefits stemming from the securities pledged as security to the Pledgee. In case of the revocation of the pledge of securities is made after the date such company/ mutual fund closes the register of securities holders for the conferral of right to receive dividend, interest or other benefits stemming from the securities pledged as security and the company/ mutual fund has not paid the dividend, interest or any other benefits pursuant to such right, the Pledgee and Pledgor agree for TSD to deliver the dividend, interest or other benefits stemming from the securities pledged as security to a person as agreed in the Clause.

4. In enforcing the pledge, the Pledgee shall determine the conditions for the purchase of securities from public auction to be governed by the articles of association of such company/ mutual fund. If it turns out that the person entitled to receive the securities from public auction cannot be registered as a securities holder pursuant to the articles of association of such company/ mutual fund, the enforcement of pledge by public auction shall be deemed cancelled and the Pledgee shall proceed with the public auction of securities again so that the transfer of securities complies with the articles of association of such company/ mutual fund.

5. The Pledgor and Pledgee have acknowledged the content of the articles of association of the company/ mutual fund with regard to the conditions for securities holding by persons of non-Thai nationality.

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## Request for Registration of Pledge of Securities

Highly Confidential

6. In case of the issuance of new securities certificate to replace the original securities certificate under pledge because the company has amended the information on the securities certificate such as the par value of share, registered capital, company name etc., the Pledgor agrees for the Pledgee to contact TSD in applying for the issuance of a new securities certificate.

7. The Pledgor and Pledgee agree for the Pledgee to contact TSD in registering the pledge of securities.

8. The Pledgor and Pledgee 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 our personal data, and any third party's personal data We have provided to TSD (if any) will be processed and protected under such privacy notice. In this regard, we hereby confirm and represent that I 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, 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 request, 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.

The Pledgor and Pledgee have read and understood the content of this request and, seeing that it is correct pursuant to the objective, hereby affixed their signatures as evidence.

Signature \_\_\_\_\_  
 ( \_\_\_\_\_ )  
 (Pledgor)

Signature \_\_\_\_\_  
 ( \_\_\_\_\_ )  
 (Pledgee)

**(If a proxy has been assigned, please sign as both the pledgee and the grantor)**

Stamp Duty  
THB 10

I/We here by authorize \_\_\_\_\_ as my/our representative,  
 with full authority to file this request.

Signature \_\_\_\_\_ Grantor      Signature \_\_\_\_\_ Grantee  
 ( \_\_\_\_\_ )                                      ( \_\_\_\_\_ ) Phone no. \_\_\_\_\_

## For the registrar use only

The pledge of the securities has been recorded in the register of securities holder with pledge registration no. \_\_\_\_\_

Recorder \_\_\_\_\_

Signature \_\_\_\_\_  
 ( \_\_\_\_\_ )

(Authorized Signature)

Date \_\_\_\_\_

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## Supporting Documents for the Request for the Registration of Pledge of Securities

1. **Request for the registration of pledge of securities** with the details filled in and signed by the pledgor and pledgee correctly and completely.
2. **Copy of pledge certificate** as specified in the request for the registration of pledge of securities.
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 request form or <https://media.set.or.th/rulebook/form/SupportingDocumentsforIndividuals-JuristicPersons.pdf>
4. 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
<b>Individual Person</b> - Thai Nationality	A Copy of Thai ID Card which has been certified as true and correct copy of the original document by the document owner.
<b>Individual Person</b> - Other Nationalities	A Copy of alien identification card / passport which has been certified as true and correct copy of the original document by the document owner.
<b>Juristic Person</b> - Thai Nationality	<ol style="list-style-type: none"> <li>1. A copy of an affidavit issued by the Ministry of Commerce (issued no more than 1 year from the date of issuance) certified by the authorized director(s) of such juristic person.</li> <li>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.</li> </ol>
<b>Juristic Person</b> - Other Nationalities	<ol style="list-style-type: none"> <li>1. A copy of the juristic person registration certificate issued by the regulating government agency in the country where such juristic person is domiciled.</li> <li>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.</li> <li>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.</li> </ol> <p><u>All documents for "Other Nationalities" above, must have been:</u></p> <ol style="list-style-type: none"> <li>(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. (The certification must be issued not more than 1 year before the date of submission as part of this application.)</li> <li>(2) certified by the Thai Embassy or Thai Consulate in the country where such documents were prepared or certified or 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.)</li> </ol> <p>■ The documents prepared in any other foreign languages other than English must be translated into English.</p>

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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