

Application for Registration / Change of Information in Company Account

Date: **[Input date]**

Attn: Secretary-General

The Office of the Securities and Exchange Commission (SEC Office)

We hereby wish to submit an application for registration / change of information in Company Account with details as follows:

1. Name of the Applicant **[Describe the Legal Entity name and identification]**
 (In Thai): **[Input the Legal Entity Name in Thai (If any)]**
 (In English): **[Input the Legal Entity Name in English (If any)]**
 Company Registration No. (if any): **[Input Legal Entity Registration Number (If any)]**
 Tax Identification No. (if any): **[Input Tax ID (If any)]**
 Nationality: **[Input the nationality of the Legal Entity]**

[Fill in name(s) of ALL representative(s)]

Through the Representative(s) of the juristic person / non-juristic group of persons as follows:

- (1) **[Input name of representative]**
- (2) **[Input name of representative]**
- (3)
- (4)
- (5)

2. Type of the Applicant: **[Indicate the Legal Entity type, at least one]**

Juristic person established under Thai Law

Limited company

Public limited company

Stock Exchange of Thailand

Over-the-counter trading center

Association related to securities business

Others (Please specify):

Foreign juristic person (Please specify the type thereof): **[In case of Non-Resident Legal Entity, select this type and fill some more description]**

Branch of a foreign commercial bank

[Select this one for other types, and fill some more description]

Others (Please specify, ex., non-juristic group of persons)

3. Applicant's address: [Fill in head office address]

Head Office No: Building:Floor No. /Room No.

Residence No.: Ally/Lane:

Road:Sub-district:District:

Province: Zip code: E-mail: [*** Fill in Corporate E-mail only.
The SEC will send the company account activation link to the E-mail ***]

Telephone:Facsimile:

4. Financial period: (Please specify the beginning and end dates and months thereof):

[Input accounting period (day/month)]

[Select here for the first time company account registration]

Wish to apply for Company Account from the SEC Office in the following manners:

Not an urgent application (normal case)

An urgent application (a 30-day expiry from the SEC Office's approval date of the registration of Company Account). Please specify the reason(s) for the urgency:

[Indicate, the reason for urgency]

.....
.....

(Upon the SEC Office's approval of the registration of Company Account in an urgent case, the Applicant must submit the hardcopy documents according to the Licensing Manual for the Public in full within 30 days from the approval date. The SEC Office will consider the registration of Company Account in a normal case (no expiry) in due course).

[Select here for next time, when informing company account profile change]

Wish to apply for change of information in Company Account as follows:

E-mail address

Others (Please specify):

With the binding agreement as follows:

1. We wish to express an intention to submit information electronically to the SEC Office and agree to abide by the following conditions:

1.1 We fully understand and acknowledge the SEC Office's Standard Procedures for Electronic Transmission of Information B.E. 2564 (2021) ("Standard Procedures") and the Usage

Manual on Electronic Transmission of Information or other related manuals provided on the SEC Office's website ("Manuals") and we agree to abide by the Standard Procedures and the Manuals in all aspects.

In the event that the SEC Office revises the Standard Procedures or the Manuals and notifies us in advance as deemed appropriate before such revision becomes effective, we agree to abide by the revised Standard Procedures or the Manuals as well.

1.2 We acknowledge and agree that upon electronic submission of information to the SEC Office's Electronic System in accordance with the Standard Procedures through Company Account which we have received from the SEC Office, and when the authorized person(s) of the company has affixed an electronic signature, as the case may be, it shall be deemed that:

(1) the information has been submitted by us according to our expressly demonstrated intention, and we assume the responsibility towards the completeness and accuracy of such information; and

(2) in the case where any laws or regulations enforced by the SEC Office require the affixing of the company's seal (if any), it shall be deemed that such seal has already been affixed electronically.

1.3 We agree to abide by the fact that the information which is deemed to have been submitted electronically by us under 1.2 can be referred to as evidence in legal proceedings and we shall not deny the existence of such information only because it is in an electronic form.

2. We acknowledge and agree that if we change the information on the names of the persons (only in the case where the Applicant is a non-juristic group of persons) or the email address, as specified herein, we shall submit an application for change of information in Company Account to the SEC Office for updating the information at all times.

3. We acknowledge and agree that we have the duty to oversee and keep confidential the Username and the Password of Company Account which we have received from the SEC Office without disclosing them to any unauthorized persons. In any case, if the Username and the Password become known or used by any persons who do not have the authority or relevant responsibilities and such use causes damage, we shall assume the responsibility towards the incurred damage in all aspects.

We hereby acknowledge, understand and agree to abide by the binding agreement above as well as the Agreement on the Registration/Change of Information and the Terms of Use of Company Account attached herein in all aspects. We therefore affix our signature hereunder as evidence.

Signature:
[Authorized Director Sign here]
[Input name of Authorized Director]
Authorized person
Date:
[Input date]

Signature:
[Authorized Director Sign here]
[Input name of Authorized Director]
Authorized person
Date:
[Input date]

Signature:
(.....)
Authorized person
Date:

Signature:
(.....)
Authorized person
Date:

Signature:
(.....)
Authorized person
Date:

Company's seal
(if any)
[Stamp Corporate Seal (if any)]

- Remarks: 1. In case of authorization for submission of documents, a power of attorney is required.
2. In case of a juristic person, the authorized person(s) shall affix signature and the company's seal (if any)
3. In case of a non-juristic group of persons, every authorized person shall affix signature.

Coordinator:
[Input contact person name]
Telephone:
[Input contact person phone number] E-mail Address:
[Input contact person E-mail]

**Agreement on Registration / Change of Information and
Terms of Use of Company Account**

1. The Applicant for registration / change of information in Company Account can download the Application Form at <https://www.sec.or.th/ca>, fill in, sign and submit the Form to the SEC Office according to the methods and procedures prescribed in the Licensing Manual for the Public;
2. In case of applying for registration of Company Account, if the SEC Office approves the application, the SEC Office shall send an email with a link for the first-time signing in to Company Account to the email address the Applicant has specified in the Application Form. The Username and the Password of the Applicant will be used in lieu of the company's seal (if any) and when the company authorizes another person to submit information electronically to the SEC Office according to the Standard Procedures;
3. In case of applying for change of information in Company Account, if the SEC Office approves the application, the SEC Office shall send an email notifying the result of the change of information to the email address the Applicant has specified in the Application Form;
4. The Applicant shall keep confidential the Username and the Password of Company Account. In the event that any other persons know and are able to log into Company Account, the SEC Office shall not be liable for any damage incurred in all cases;
5. Upon occurrence of any suspicious ground that the Password becomes known to other persons who have no authority or relevant responsibilities, the Applicant shall change the Password immediately;
6. The SEC Office's privacy policy requires that the Applicant's information be kept confidential. The SEC Office may consider disclosing such information in compliance with the authority and responsibility or as required by the provisions of law;

7. The Applicant and the Administrator of Company Account shall strictly comply with the Terms of Use under this Agreement as well as the SEC Office's Standard Procedures for Electronic Transmission of Information as well as the laws and subordinate regulations that are currently effective or will be in the future. For example, the Computer Crimes Act B.E. 2550 (2007) and the Electronic Transactions Act B.E. 2544 (2001), etc.; and
8. The Applicant has studied, acknowledged and understood the Personal Data Protection Policy for internal administration (as disclosed on the SEC Office's website) as well as the SEC Office's methods for collecting, using and disclosing personal data. (To view the Personal Data Protection Policy, please scan the QR Code below).

