

Application for Registration / Change of Information in SEC Account

Date: **[Input date]**

Attn: Secretary-General

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

In this Application, we **[Fill in ALL latest applicant's profiles]**

Full name (in Thai)	
Full name (in English)	
Passport No.	
E-mail Address	
Mobile phone	

Status of the Applicant **[Indicate the status, at least one]**

General investor. Please specify the name of the intermediary / financial advisor

[When selecting this one, fill some more description]

Director. Please specify the name of the listed company / issuer

[When selecting this one, fill some more description]

Employee. Please specify the name of the employer

[When selecting this one, fill some more description]

Please specify the type of the employer:

Intermediary **[Indicate type of the employer at least one]**

Listed company / issuer

Auditor / audit firm

Capital market professional. For example, financial advisor, asset appraiser, credit rating agency, trust manager, etc.

- Institutional investor. Please specify the name of the intermediary / financial advisor

 [When selecting this one, fill some more description]
- Back office service provider (outsourced). Please specify the name of the outsourcing company

 [When selecting this one, fill some more description]
- Others.
 [When selecting this one, fill some more description]

The purpose for the use of SEC Account is as follows: (Please specify the name of the system and the name of the transaction / application / report)

[Input purpose]

Wish to express an intention to apply for an SEC Account from the SEC Office in the following manners: [Select here for the first time SEC Account registration]

Not an urgent application (normal case)

An urgent application (a seven-day expiry from the SEC Office's approval date of the registration of SEC Account. Please specify the reason(s) of the urgency.....
 [Indicate the reason for urgency]

(Upon the SEC Office's approval of the registration of SEC Account in an urgent case, the Applicant shall submit the hardcopy documents according to the Licensing Manual for the Public within 30 days from the approval date in the urgent case before the SEC Office commences to consider registration of SEC Account in a normal case. In any case, SEC Account in a normal case will expire no later than the expiry date of the Passport submitted as a supporting document for the application).

[Select here for next time, when informing SEC Account profile change]

Wish to apply for change of information in SEC Account, having submitted Passport No. [Input the Passport No. submitted to SEC previously] as a supporting document to the SEC Office, as follows:

[Indicate the latest information such as Passport No. from renewal]

With the binding agreement as follows:

Clause 1 We wish to express an intention to submit information electronically to the SEC Office and/or the back office service provider 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 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 the SEC Account which we have received from the SEC Office, 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 in the case where we have the duty to submit information electronically to the SEC Office, or

(2) the information has been submitted by us, as an authorized person acting on behalf of the juristic person, as expressly demonstrated by the intention of the juristic person or the non-juristic group of persons and such juristic person or the non-juristic group of persons assume the responsibility to the completeness and accuracy of the information in the case where such juristic person or the non-juristic group of persons has the duty to submit information electronically to the SEC Office;

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 the legal proceedings and we shall not deny the existence of such information only because it is presented in an electronic form.

Clause 2 We acknowledge and agree that if we change the information as specified herein, we shall submit an Application Form for change of information in SEC Account to the SEC Office for updating the information at all times.

Clause 3 We acknowledge and agree that we have the duty to oversee and keep confidential the Username and the Password of the SEC Account which we have received from the SEC Office without disclosing and allowing them to be used by 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 SEC Account attached herein in all aspects. We therefore affix our signature hereunder as evidence.

Signature: [Applicant sign here]

(..... [Input name of Applicant])

Applicant
Date: [Input date]

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

1. The Applicant for registration/change of information in SEC 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 SEC 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 SEC Account to the email address the Applicant has specified in the Application Form.
3. In case of applying for change of information in SEC 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 SEC Account. In the case where other persons know and are able to log into SEC 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 submission of the Application Form for registration/change of information/termination of SEC Account is part of the proceeding under the SEC Office's Standard Procedures for Electronic Transmission of Information B.E. 2564 (2021). The SEC Office has the duty to collect, use or disclose personal data on the legal basis of public interest pursuant to Section 24(4), Paragraph 1(2) of Section 25, and Section 27 of the Personal Data Protection Act B.E. 2562 (2019). 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);



7. The Applicant shall give information or related details truthfully. If the SEC Office finds that such information or related details is not based on facts or any part of it is false or in violation of the conditions prescribed by the SEC Office, the SEC Office has the right to cease or revoke the use of SEC Account without prior notice;
8. The Applicant shall not falsely claim or act in any way that violates personal rights by using data of other persons to submit the Application Form for registration of SEC Account or using the Username of SEC Account for personal gain or causing damage to other persons without consent from the data subject. Any violator in such manners above shall be subject to penalties as prescribed by law;
9. The SEC Office's Personal Data Protection Policy requires that the Applicant's information be kept confidential. The SEC Office may consider disclosing such information in compliance with the authority and responsibilities or as required by the provisions of law;
10. The Applicant shall strictly comply with the conditions under this Agreement as well as the SEC Office's Standard Procedures 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.