

Investor's Suitability Test


According to the Securities and Exchange Commission and the association of Securities Companies require all investors to complete the suitability test in order to assess investors' risk-taking capability. Thus, Bualuang Securities Public Company Limited (the "Company") hereby would like to request for your kind cooperation to provide a genuine answer in order to obtain a proper assessment of the investors' risk profile.

Client's Name : _____

Account Number : _____

<p>1. Age (1) Over 60 years (2) 35-60 Years (3) Below 35 Years</p> <p>2. Education (1) Below Bachelor Degree (2) Bachelor Degree or Above</p> <p>3. Value of assets and savings for the purpose of investment in unit trust, debenture, equities, government bond or derivatives. (1) Less than Baht 1 Million (2) Baht 1 – 3 Million (3) More than Baht 3 Million</p> <p>4. Your prior investment experience in unit trust, debenture, equities, government bond or derivatives. (1) No experience (2) Less than 1 year (3) 1-5 years (4) More than 5 years</p> <p>5. Your investment objective is to earn the income from the return of your investment for your regular expenses? (1) Highly need (2) Slightly need (3) No need</p> <p>6. The period of your investment target. (1) Less than 1 year (2) 1 – 3 years (3) More than 3 years</p> <p>7. Appropriate Acceptable Risk Level (Investment in high-risk securities usually provides high return in long term, however, price volatility may result in some loss in short term.) (1) Cannot accept any risk and require safe investment with initial investment</p>	<p>fund protected and expected regular return on investment despite of low returns.</p> <p>(2) Moderate/medium risk is acceptable if the investment provides prospects of achieving higher return over long term.</p> <p>(3) High risk is acceptable if the investment provides prospects of achieving a higher/better return over long term.</p> <p>(4) Highest risk is acceptable in order to invest where there is potential of achieving the highest return over long term.</p> <p>8. Your acceptable amount of loss on your investment at a time? (0) Cannot take any loss (1) Less than 10 % of investment amount (2) 10%– 30% of investment amount (4) More than 30% of investment amount</p> <p>9. Through successful derivatives investment, <u>you can have higher /more return</u>. On the other hand, <u>you can lose all of your investment</u> and possible required additional capital. Can you accept this? (a) Not acceptable (b) Slightly acceptable (c) Acceptable</p> <p>10. In addition to investment risks, are you able to accept foreign exchange risk? (a) Not acceptable (b) Moderately acceptable (c) Total risk is acceptable</p> <p style="text-align: right;">Total Score _____</p>
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- Client agrees to provide information to the Company's officer who will use to conduct Suitability Assessment. Client also acknowledges that this questionnaire is used for the benefit of his/her investment risk awareness.
- Client's investment risk level is assessed from information clarified by himself/herself. However, this does not represent that the Company shall accept the accuracy, completeness or liability of such information provided by client and the assessment result.
- After the Company's officer finishes the client's investment risk level assessment (Suitability Assessment) and informs the assessment result to him/her, the Company shall assume that client has already realized his/her investment risk assessment result (which is evaluated from information provided by client) at a certain level.
- Client should study relevant investment information, investment and risk warning as well as requests for investment advice from investment consultant who can provide investment recommendation to client carefully. In addition, client should thoroughly study his/her investment risk assessment result in order to support his/her decision making to invest in securities, futures, financial instrument or other types of investment suitable to client. Information relevant to investment or other financial instruments received from the Company's representatives (if any) is only a partial factor to assist in decision making on investment by client.
- Decision making on investment depends on client's own decision which shall not bind with investment assessment result and may not follow investment risk level assessment under this assessment. Client also agrees to bear risk arising from investment. In case that client decides to invest in higher risk level than the investment risk level assessment, the Company hereby agrees to assume that client agrees to bear all risk arising from such investment himself/herself. Besides, client accepts that his/her investment may not be in accordance with the assessment result, not in line with his/her suitability assessment and may change from the assessment result.
- The Company, management officer, employee, and the Company's officer shall not take any liability, obligation or be in charge of any damages arising from the investment by client.
- The Company reserves its right to amend, edit or change suitability test form in order to assess client's investment risk level and any relevant information without prior notice.
- Suitability Assessment, any related action and information are applied only to the investors in Thailand only. Client has to read and understand the above warning, relevant information and agrees to abide by such warning and relevant obligation.

Score and Investment Risk Tolerance	Suitable Type of Financial Instrument	Investment Limitation (if any)
<u>Below 9</u> - Low-risk investor: This type of investor has small tolerance for investment risk. You require an investment return slightly higher than bank deposit rates and aim to invest over the short term.	Debt instruments / Equity instruments (small portion) / Fund Risk Level 1 / might invest in Fund Risk Levels 2-8 but the investment should not exceed 20% of the total investment.	() No () Yes (Please specify) _____ _____
<u>9 – 10</u> - Medium-to-moderate-low-risk investor: This type of investor has rather small investment risk tolerance. You emphasized on capital protection and aim for regular income generated from investment	Debt instruments / Equity instruments (partial portion) / Fund Risk Levels 1-4 / might invest in Fund Risk Levels 5-8 but the investment should not exceed 20% of the total investment	Signed  _____ Investor ()
<u>11 – 15</u> - Medium-to-moderate-high-risk investor: This type of investor is able to accept investment loss occasionally.	Debt instruments / Equity instruments (moderate portion) / Fund Risk Levels 1-5 / might invest in Fund Risk Levels 6-8 but the investment should not exceed 20% of the total investment	Investment Consultant's Comment _____ _____ _____
<u>16 – 20</u> - High-risk investor: This type of investor is able to accept high investment risk, high market volatility and can accept investment loss with an aim for investment value to grow over the long term.	Debt instruments / Equity instruments (quite a large position) / Derivatives (partial portion) / Fund Risk Levels 1-7 / might invest in Fund Risk Level 8 but the investment should not exceed 20% of the total investment	_____ signed ()
<u>Over 21</u> - A very-high-risk investor: This type of investor is keen for opportunities to generate a high return and is able to accept substantial risk and can accept quite high investment loss.	Debt instruments / Equity instruments / Derivatives (partial portion)/ Fund Risk Levels 1-8	