



Thailand Prohibited Characteristics – Declaration Form

Full Name as per ID/Passport (Thai):
Full Name as per ID/Passport (English):
Nationality:
Legal Entity: UBS Securities (Thailand) Ltd.

As a UBS Persons, you are required to answer the following

No.	Questions	Yes	No
1	Have you been subject to the court's receiving order or declared by any court as an insolvent person?		
2	Have you been an incompetent or a quasi-incompetent person?		
3	Have you been named in any criminal complaint filed by the SEC Office; or subject to any legal proceeding following the criminal complaint initiated by the SEC Office; or sentenced to imprisonment by the court's final judgment and it has not yet surpassed the three-year interval time after either you completed the term of imprisonment or the suspension of sentence period was over, <i>provided that</i> the action taken hereto shall base upon the violation of the law on securities and exchange, the law on derivatives, or the law on trust for transactions in capital market ?		
4	Have you been declined to be listed or removed from the database of directors and executives of the listed company due to the possession of untrustworthy characteristics and not qualified to be directors or executives?		
5	Have you been named in any criminal complaint filed by a financial regulatory authority, whether in Thailand or in foreign countries, or subject to any legal proceeding following the criminal complaint initiated by such financial regulatory authority, or sentenced to imprisonment by the court's final judgment and it has not yet surpassed the three-year interval time after either you completed the term of imprisonment or the suspension of sentence period was over, <i>provided that</i> the action taken hereto shall base upon the commission of offences regarding deceitful, fraudulent or dishonest management of assets ?		
6	Have you been sentenced to imprisonment by the court's final judgment and it has not yet surpassed the three-year interval time after either you completed the term of imprisonment or the suspension of sentence period was over, <i>provided that</i> the action taken hereto shall base upon the commission of public offences regarding deceitful, fraudulent or dishonest management of assets?		
7	Have you been subject to the court's order of asset seizure under the Counter Corruption Act, the Anti-Money Laundering Act or any other similar law and it has not yet surpassed the three-year interval time after the date on which the court issued such order?		
8	Have you been considered by the financial regulatory authority or other agencies with legal authority, whether in Thailand or in foreign countries, as those who have prohibited characteristics and not qualified to be director, manager or person with power of management, or executive of financial institution, or personnel responsible for advising of financial services, management or receiving of client's money, <i>provided that</i> the action taken hereto shall base upon the commission of offences regarding deceitful, fraudulent or dishonest management of assets?		
9	Have you been taken action and unable to perform the duties as personnel in the capital markets industry in the following manners. (a) being suspended or revoked an approval or having any characteristic causing termination of approval, or being taken similar action and unable to perform the duties as capital market personnel or director of derivatives exchange, or derivatives clearing house; and (b) the action taken according to (a) due to the performance of duty as a		



	<p>staff holding a position that affects the appropriateness of the position under consideration; and</p> <p>(c) the cause of the action taken according to (a) shall be based upon the commission of offences under the law on securities and exchange or the law on derivatives and the notifications issued thereunder, regarding deceitful, fraudulent or dishonest management of assets, failure to discharge the duty of care or duty of loyalty, or lacking of fiduciary duties of professionals.</p>		
10	Have you had or used to have any behavior that, if considered on a reasonable ground, indicates failure to honestly and fairly perform duty in providing financial services, lacks professional accountability or due care, or aids or abets or used to aid or abet the others in connection with such behavior?		
11	Have you had or used to have any behavior that, if considered on a reasonable ground, indicates unfair practices or disadvantage to investors in securities or derivatives trading, or aids or abets or used to aid or abet the others in connection with such behavior?		
12	Have you had or used to have any behavior that, if considered on a reasonable ground, indicates disclosure or dissemination of false or misleading information or documents, or concealment of any material facts which should have been expressly disclosed to investors, shareholders, or relevant persons for making investment decisions, whether it be information or documents submitted or delivered to the SEC Office, the Capital Market Supervisory Board, the Securities and Exchange Commission, the financial supervisory authority, or the investors, or aids or abets or used to aid or abet the others in connection with such behavior?		
13	Have you had or used to have any behavior that, if considered on a reasonable ground, indicates failure to discharge properly the duty to supervise a juristic person or a company under its management, or any personnel under its supervision (if any) in preventing from any act or refraining from acting in violation of the law on securities and exchange, the law on derivatives, or the law on trust for transactions in capital market, or the notification issued thereunder, which may affect the confidence in securities, derivatives or trust business in general, or cause damage to its reputation, position, business operation or its client?		
14	Have you had or used to have any behavior that, if considered on a reasonable ground, indicates lack of ethics or standards of conduct in connection with securities or derivatives business set by an association related to securities business, a derivative regulatory association or any other organizations in securities business or derivative business accepted by the SEC Office, or aids or abets or used to aid or abet the others in connection with such behavior?		

I hereby acknowledge that all the information provided herein is to the best of my knowledge true, complete and accurate.

I fully understand that any false or misleading answers or statements or omissions made by me on this declaration or discovered to be false or misleading or intentionally omitted subsequent thereto, or in connection with the abovementioned investigation, will be sufficient cause to justify a disciplinary action.

Print Name:.....Signature.....Date.....

NOTE TO LINE MANAGERS: Please send a scanned copy of this form to Thailand Compliance: Aree.Boripon@ubs.com (ext: 19 356 5788) for approval.