The purpose of this assessment is to find acceptable investment risk level that suits your investment. TISCO Financial Group will use your risk level in order to give you a proper investment advice. Hence, please carefully select the answer that most suit yourself in following questions.

<table>
<thead>
<tr>
<th>Name</th>
<th>Registration Number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Contact Person Name

**Part 1 : General Investment**

1. Value of assets and savings for the purpose of investment
   - (Assets mean unit trust, debenture, shares, government bond, or derivatives)
     - (1) Less than 1 Million Baht
     - (2) 1-3 Million Baht
     - (3) More than 3 Million Baht

2. What is the proportion of investment when compared to your total asset?
   - (1) More than 60%
   - (2) 30 – 60%
   - (3) 10 – 30%
   - (4) Less than 10%

3. Investment Experience (Securities mean unit trust, debenture, shares, government bond, or derivatives)
   - (1) No experience
   - (2) Less than 1 year
   - (3) 1 – 5 years
   - (4) More than 5 years

4. 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

5. How much loss can you tolerate?
   - (1) Less than 10%
   - (2) 10 – 20%
   - (3) 20 – 50%
   - (4) More than 50%

6. Risk preference
   - (Investment in high-risk securities usually provides high return in long-term, however, price volatility may result in some loss in short term)
     - (1) Avoid loss at all cost.
     - (2) Moderate/medium risk is acceptable if the investment provides prospects of achieving higher return over long term.
     - (3) High risk is acceptable if the investment provides prospects of achieving a higher/better return over long term.
     - (4) Highest risk is acceptable in order to invest where there is potential of achieving the highest return over long term.

7. The period of your investment target
   - (1) Less than 1 year
   - (2) 1 - 3 years
   - (3) 3 - 7 years
   - (4) More than 7 years

8. Do you know any types of the below investment products?
   - (1) Deposit
   - (2) Deposit, Bond, Bill of Exchange, Debenture, Mutual Fund
   - (3) Deposit, Bond, Bill of Exchange, Debenture, Mutual Fund, Common Stock
   - (4) Deposit, Bond, Bill of Exchange, Debenture, Mutual Fund, Common Stock, Gold, Oil, Derivative

**Part 2 : Derivatives Investment**

Through successful derivatives investment, you can have higher/more return. On the other hand, you can lose all of their investment and possible required additional capital. Can you accept this?

- [ ] Not acceptable
- [ ] Moderately acceptable
- [ ] Acceptable

**Part 3 : Foreign Investment**

In addition to investment risks, are you able to accept foreign exchange risk?

- [ ] Not acceptable
- [ ] Moderately acceptable
- [ ] Acceptable

**Part 4 : High Risk or Complex Product**

Do you have any internal entities which are responsible for investment or investment recommendation?

- [ ] No
- [ ] Yes

Investment experience in capital market with high risk or complex product (e.g. oil Fund, mutual fund which invests in exotic derivatives, Hedge Fund, mutual fund with return payment varies in line with the formula calculation)

- [ ] No
- [ ] Yes

---

**Condition & Agreement**

- Decision making on investment depends on your own decision which shall not bind with investment assessment result and may not follow investment risk level assessment under this assessment. You also agrees to bear risk arising from investment. In case that you agrees to bear all risk arising from such investment yourself. Besides, you accepts that your investment may not be in accordance with the assessment result, not in line with your suitability assessment and may change from the assessment result.
- Please provide true and present information which will be beneficial for you to get any advice.

Sign ................................................................. Client Date ............/............/.........

---

**For Officer Use Only**

<table>
<thead>
<tr>
<th>For Officer Use Only</th>
<th>Total Scores</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sign .......................</td>
<td>Officer</td>
</tr>
<tr>
<td>Company ....................</td>
<td>Branch ...............</td>
</tr>
<tr>
<td>Date ......................</td>
<td>mustard .............</td>
</tr>
</tbody>
</table>

Unitholder ID (For Mutual Fund Only) ..................................................
### Investment Type and Risk Level

<table>
<thead>
<tr>
<th>Group</th>
<th>Score</th>
<th>Type of Investor</th>
<th>Investment Risk Tolerance and Suitable Type of Financial Instrument</th>
<th>Suitable Type for Private Fund</th>
</tr>
</thead>
</table>
| 1     | Less than 13 | Low-risk Investor: This type of investor has small tolerance for investment risk. You require an investment slightly higher than bank deposit rates and aim to invest over the short term. | - Security Risk Level 1  
- Fund Risk Level 1  
- Fund Risk Level and Security Risk Level 2-8 but should not exceeding 20% of the total investment. | Invest in bond only |
| 2     | 13 - 17 | 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. | - Security Risk Level 1-4  
- Partial equity instrument  
- Fund Risk Level 1-4  
- Fund Risk Level and Security Risk Level 5-8 but should not exceeding 20% of the total investment. | Invest in risky assets* not over than 25% |
| 3     | 18 - 22 | Medium-to-moderate-high-risk Investor: This type of investor is able to accept investment loss occasionally. | - Security Risk Level 1-5  
- Moderate equity instrument  
- Fund Risk Level 1-5  
- Fund Risk Level and Security Risk Level 6-8 but should not exceeding 20% of the total investment. | Invest in risky assets* not over than 50% |
| 4     | 23 - 27 | 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. | - Security Risk Level 1-7  
- Moderately high equity instrument  
- Partial Derivatives  
- Fund Risk Level 1-7  
- Fund Risk Level and Security Risk Level 8 but should not exceeding 20% of the total investment. | Invest in risky assets* not over than 75% |
| 5     | Over 27 | 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. | - Security Risk Level 1-8  
- Equity instrument  
- Partial Derivatives  
- Fund Risk Level and Security Risk Level 1-8 | Invest in risky assets* not over than 100% |

*Risky assets means Equity, Collective Investment Scheme, Alternative Investment Asset or others Specified by the SEC

### Security Risk Levels that might be considered

<table>
<thead>
<tr>
<th>Security Risk Level</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Security Risk Level 1</td>
<td>- Government Bond with remaining maturity not exceeding 1 year</td>
</tr>
</tbody>
</table>
| Security Risk Level 2 | - Government Bond with remaining maturity between 1-5 years  
- Corporate Bond which has credit rating at least AA- and has remaining maturity not exceeding 1 year |
| Security Risk Level 3 | - Government Bond with remaining maturity over 5 years  
- Corporate Bond which has credit rating at least A- and has remaining maturity not exceeding 1 year |
| Security Risk Level 4 | - Corporate Bond which has credit rating at least AA and has remaining maturity exceeding 5 years  
- Corporate Bond which has credit rating A+/A+/A+ and has remaining maturity exceeding 1 year  
- Corporate Bond which has credit rating BBB(BBBB), BBB(BBBB) and some local underlying not exceeding 1 year |
| Security Risk Level 5 | - Hybrid Bond  
- Bond which issuer has right to redeem the bond before the maturity. |
| Security Risk Level 6 | - Corporate Bond which has credit rating below investment Graded (Non-Investment Graded)  
- Corporate Bond which does not has credit rating |
| Security Risk Level 7 | - Corporate Bond which has credit rating below investment Graded (Non-Investment Graded)  
- Corporate Bond which does not has credit rating |
| Security Risk Level 8 | - Derivative Bond which do not have principal guarantee or has principal guarantee less than 100%  
- Derivative or Exotic Bond which has underlying other than well known local underlying such as equity or bond index as benchmark. |

### Fund Risk Levels that might be considered

<table>
<thead>
<tr>
<th>Fund Risk Level</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fund Risk Level 1</td>
<td>Domestic money market funds</td>
</tr>
<tr>
<td>Fund Risk Level 2</td>
<td>Money market funds</td>
</tr>
<tr>
<td>Fund Risk Level 3</td>
<td>Government bond funds</td>
</tr>
<tr>
<td>Fund Risk Level 4</td>
<td>Fixed income funds</td>
</tr>
<tr>
<td>Fund Risk Level 5</td>
<td>Mixed funds</td>
</tr>
<tr>
<td>Fund Risk Level 6</td>
<td>Equity funds</td>
</tr>
<tr>
<td>Fund Risk Level 7</td>
<td>Sector funds</td>
</tr>
<tr>
<td>Fund Risk Level 8</td>
<td>Alternative investment funds</td>
</tr>
</tbody>
</table>

### Basic Asset Allocation Recommendation

<table>
<thead>
<tr>
<th>Investor Types</th>
<th>Investment Proportions</th>
</tr>
</thead>
</table>
|               | Deposit and Bill  
|                | Government Bond  
|                | Private Fixed Income  
|                | Equity  
|                | Alternative Investment** |
| Low Risk       | 80% ≤ 100%  
| Medium to Low Risk | 20% ≤ 80%  
| Medium to High Risk | 10% ≤ 60%  
| High Risk      | 10% ≤ 40%  
| Very High Risk | 5% ≤ 30% |

**Including Commodities and Derivatives**