

Market Data Subscription Questionnaire (POEMS Global TH)

Please read below questions and choose **Y** or **N**. All questions must be answered

Questions	Yes (Y)	No (N)
Are you registered and pay under a corporate name, association or any legal entity registered with the Registrar of Companies		
Use Market Data solely for business use		
Receive Market Data for your business or any other entity		
Currently be registered or qualified with the SEC or the CFTC		
Currently be registered or qualified with any securities agency, any securities exchange, association or regulatory body, or any commodities or futures contract market, association or regulatory body, in the United States or elsewhere Examples of Regulatory bodies include, but are not limited to, <ul style="list-style-type: none"> • The Securities and Exchange Commission of Thailand (SEC) • Association of Thai Securities Companies (ASCO) • Monetary Authority of Singapore (MAS) • US Securities and Exchange Commission (SEC) • US Commodities Futures Trading Commission (CFTC) • UK Financial Service Authority (FSA) • Japanese Financial Service Agency (JFSA) Examples of Self-Regulatory Organization (SROs) include, but are not limited to: <ul style="list-style-type: none"> • SGX • US NYSE • US FINRA • Swiss VQF 		
Perform any functions that are similar to those that require an individual to register or qualify with the SEC, the CFTC, any other securities agency or regulatory body, any securities exchange or association, or any commodities or futures contract market, association or regulatory body, no matter locate within or outside of the United States		
Engaged to provide investment advice to any individual or entity		
Engaged as an asset manager		
Engaged as a fund manager of funds which do not belong to you		
Engaged as a remisier or dealer with any broking house		
Use the capital of any other individual or entity in the conduct of your trading		
Conduct trading for the benefit of a corporation, partnership, or other entity		
Entered into any agreement to share the profit of your trading activities or receive compensation for your trading activities		
Receive office space, and equipment or other benefits in exchange for your trading or work as a financial consultant to any person, firm or business entity		
Distribute or provide Market Data from this service to any third party in any manner		
Distribute or provide Market Data from this service to any third party in any manner		

I/We hereby confirm that the information provided herein is accurate, correct and complete. I /We undertake to inform Phillip Securities (Thailand) PCL. in writing of any changes to the information already provided and to update the information on this form whenever requested. I/We indemnify Phillip Securities (Thailand) PCL. for all liabilities, losses, claims in connection with my/our inaccurate answers or omissions. I/We understand and agree that this declaration is final and irrevocable, and that it is not subject to cancellation or amendments.

I/We _____, Account Number _____, hereby declare and certify that I /We fall within "Nonprofessional Subscriber Definition" and that the personal and employment information that I/We have included above is truthful and accurate

NONPROFESSIONAL SUBSCRIBER DEFINITION - "Nonprofessional Subscriber" means any natural person who receives market data solely for his/her personal, non-business use and who is not a "Securities Professional." A "Securities Professional" includes an individual who, if working in the United States, is:

- a) Registered or qualified with the Securities and Exchange Commission (the "SEC"), the Commodities Futures Trading Commission, any state securities agency, any securities exchange or association, or any commodities or futures contract market or association.
- b) engaged as an "investment advisor" as that term is defined in Section 202 (a) (11) of the Investment Advisor's Act of 1940 (whether or not registered or qualified under that Act), or
- c) Employed by a bank or other organization exempt from registration under Federal and/or state securities laws to perform functions that would require him or her to be so registered or qualified if he or she were to perform such functions for an organization not so exempt.

A person who works outside of the United States will be considered a "Securities Professional" if he or she performs the same functions as someone who would be considered a "Securities Professional" in the United States.

Phillip Securities (Thailand) PCL. reserves the right to impose retroactive penalties charges on subscriber at professional rates should the subscriber fail to declare accurately and truthfully, as determined by the Exchanges.

Subscriber's Name

Subscriber's signature

SIGN HERE ► _____

Date: _____