

(Unofficial Translation)

This translation is for the convenience of those unfamiliar with the Thai language.

Please refer to the Thai text for the official version

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**AIMC Logo**

**Notification of the Association of Investment Management Companies**

**No. SorJorKor. KorChor. 1/2556**

**Re: Risk Assessment for Suitable Investment Policy/Investment Plan of Provident Fund  
Member (Member Risk Profile)**

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To set standards and guidelines for members to apply the proper form and method to conduct a risk assessment for suitable investment policy/investment plan of provident fund member, by virtue of clause 25 of the Regulations of the Association of Investment Management Companies, the board of directors of the Association of Investment Management Companies hereby issues regulations as follows:

Clause 1 In this Notification,

“Office of the SEC” refers to the Office of the Securities and Exchange Commission.

“Association” means Association of Investment Management Companies.

“Member” refers to a company which is a member of the Association of Investment Management Companies licensed to operate a securities business involving private fund management and a member of the provident fund management business group.

“Fund member” refers to member of a provident fund.

“Fund” refers to a provident fund that is voluntarily established by an employer and its employees according to the Provident Fund Act.

Clause 2 To collect information about a provident fund member to assess a suitable investment policy/investment plan pursuant to the Office of the SEC’s regulation, the member shall use a risk assessment form to appropriately determine the suitable investment policy/investment for the provident fund member (Member Risk Profile) and use an assessment method to determine the suitable for investment policy/investment according to instructions attached herewith.

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Clause 3 Form and method prescribed by the association in clause 2 (Guideline) are to be adopted by the member; the member is also permitted to adjust or add as necessary to make the assessment more relevant to the investment policy/investment plan which the member is proposing to the provident fund member. Preserve the principles necessary to assist the provident fund member select a suitable investment policy/investment plan that fits one's investment expertise, investment experience, financial status, investment objectives, and acceptable risk level.

Clause 4 This Notification shall be effective on 1 January B.E.2557 onwards.

Announced on 16 December B.E.2556

-Signature-

(Mr. Somjin Sornpaisarn)

Chairman

Association of Investment Management Companies