**Exam application form for IC Examination**

**(English version of the exam)**

The exam application form is designed for an exam candidate to provide necessary information to be considered for taking the appropriate exam papers that suit the candidate. The purpose of the form is only to facilitate and help the industry and the candidate save time in applying for the most suitable exam and will not be used for any other purposes. The candidate should follow the procedures of the exam application process announced by the testing centre, which includes self-checking their current status and qualifications as well as contact the SEC or other relevant regulators regarding those licenses/qualifications that the candidate holds (if any) before submitting this form, to the testing center.

Please mark the applicable case:

…… I’m taking an exam for the first time.

…… I wish to retake the same exam or I wish to change the exam date.

**Candidate profile:**

|  |  |
| --- | --- |
| Title |  |
| Name |  |
| Surname |  |
| Passport number | *(Please also attach a copy of your passport with the application)* |
| Date of birth |  |
| Nationality |  |
| Residence address |  |
|  |  |
| Mobile phone number |  |
| Telephone number |  |
| Email address |  |
| Educational level | *Education level: Faculty: Major:* |
| University |  |
| Date of graduation |  |

**Contact person:**

…… I want TSI to contact me directly

…… I want TSI to contact the following person (a representative or coordinator)

|  |  |
| --- | --- |
| Title |  |
| Name |  |
| Surname |  |
| Mobile phone number |  |
| Company name |  |
| Telephone number |  |
| Email address |  |

**Information for IC exam** (Please check the validity of your licenses/qualifications with the SEC before providing this information)

1. Do you have any license or exam result for the investment profession? (Please specify the license/qualification details)
   1. License:

|  |
| --- |
|  |

* 1. Exam result

|  |
| --- |
|  |

Valid until

|  |
| --- |
|  |

* 1. Financial products that the license/qualification covers, as confirmed by the Thai SEC or the issuing regulator/organization (if applicable)

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| --- |
|  |

1. Please specify the capital market products you intend to provide advice on and the clients under your scope of work.

|  |  |
| --- | --- |
| **Products** | **Clients** |
| 🞎 Plain products:  Equity  *i.e. Stocks, REITs, warrants, derivative warrants, infrastructure fund, infrastructure trust)*  Non-complex bonds  *i.e. straight bonds, callable bonds, puttable bonds, convertible bonds, securitizations, sukuk bonds, subordinate bonds*  Non-complex funds  *i.e. Money market funds, fixed income funds, mixed fund, equity fund, ETF, commodity funds (track spot), high yield funds, GMS funds* | 🞎 Institutional clients  🞎 Individual clients (retail clients) |
| 🞎 Complex products:  Complex bonds  *i.e. hybrid securities, equity-linked notes, interest rate-linked notes, foreign exchange rate-linked notes, commodity-linked note, non-investment grade bonds, unrated bonds*  Complex funds  *i.e. Funds with high net exposure to non-investment grade or unrated bonds, complex return funds, funds with net exposure to commodities or commodity-linked derivatives, hedge funds* |
| 🞎 Derivative products  *i.e. Forwards, futures, swaps, options* |  |

1. I wish to take the following examination:

…… P1 : Plain Products (Full Paper) 3,000 baht

…… P2 : Complex Products (Bond and Mutual Fund) 1,600 baht

…… P3 : Complex Products (Derivatives) 2,000 baht

…… E1 : Ethics Rules and Suitability 1,600 baht

…… E2 : Ethics and Rules 1,600 baht

On date ………/……./……. Time………………….

Place ………………………

Signed …………………………………………………..

Date ……………/…………………./…………………..

(END OF APPLICATION FORM)

**TSI comments:**

|  |
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*Note: Suggestions and comments by TSI are based only on the information received and are used only as a guideline for the candidate in taking the IC License exam.*

In case TSI recommends changes in exam paper or changes in exam date, candidates may use the original application form and complete only this last section in addition:

Request of the Candidate:

I wish to take the following examination:

…… P1 : Plain Products (Full Paper) 3,000 baht

…… P2 : Complex Products (Bond and Mutual Fund) 1,600 baht

…… P3 : Complex Products (Derivatives) 2,000 baht

…… E1 : Ethics Rules and Suitability 1,600 baht

…… E2 : Ethics and Rules 1,600 baht

On date ………/……./…….

Place ………………………

Signed …………………………………………………..

Date ……………/…………………./…………………..