Application form for Opening an Account

(For Securities company)

( Name of Applicant )

hereby apply to open an account, under a vow to comply with the Securities-related Laws and Regulations, rules, practices, and actions governing deposit, withdrawals, book-entry deliveries, and other matters concerning securities owned by our corporation or deposited by its customers.

1. Company registration No ：

2. Tax registration No :

3. Name(L) ：

4. Name(E) ：

5. General Director Name(L) ：

6. General Director Name(E) ：

7. Address(L) ：

8. Address(E) ：

9. Phone No ：

10. Fax No ：

11. Email :

12. Contact person :

13. Established Date ：

14. Account No in the BOL ：

15. Account Name in the BOL :

16. Correspondent Bank Name ：

17. Correspondent Bank Account No(P) ：

17-2. Correspondent Bank Account No(A) ：

18. Correspondent Bank Account Name(P) :

18. Correspondent Bank Account Name(A) :

19. Ledger Member No： LSX provided ID(for interface purpose)

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| --- | --- |
| Name of CompanyGeneral Director (or Representative)Address: | Seal ImpressionOn Certificate of Seal Impression |
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※Attached Documents: (1 copy each)

1. A copy of Company Register Certificate (Documentary evidence if other than a legal company)

2. A copy of Certificate of Corporate Seal Impression

 (Representative’s Certificate of Seal Impression if other than a legal person)

3. A copy of Business license Certificate

4. A copy of Tax registration Certificate

5. A copy of Correspondent Bank Agreement

6. A copy of Passbook on correspondent bank

※ Related Regulations

1. Depository Reg. Article 6

(Reverse side)

Agreement for Securities Deposits (for LSX.)

I**, [Name] [Address],** hereby agree and confirm the following:

1. (Deposit): I will not raise any objection to depositing my customer's securities with the Depository, without delay, provided that I have acquired my customer’s prior consent;

2. (Blanket Deposit): I will deposit the entire securities that have been issued by public offering of new issues or outstanding stocks with the Depository by deeming that there is a proper application pursuant to the relevant provisions of the law of the Lao PDR, provided that the customer does not separately object to the issuance or registration of those securities in the Depository's name at the time of subscription;

3. (Custody): I will not raise any objection in cases where the Depository keeps the securities in custody on a fungible basis and transfers or registers such securities in the name of the Depository.

4. (Exercise of Rights): I will not raise any objection to the Depository's receipt of en bloc payments of dividend and principal or securities certificates issued by capitalization of reserve or assets revaluation reserve, stock dividend, exercise of subscription rights related to deposited securities, pursuant to the provisions of the applicable laws.

5. (Withdrawal): I will not raise any objection to receiving withdrawals of other securities provided that they are of the same kind and issue of securities that I have deposited with the Depository.

6. (Stolen or Lost Securities): I will immediately replace securities that I have deposited if they are found to have been reported lost or stolen, and shall raise no objection if the Depository deducts the corresponding quantity from my existing deposit balance. In case where I fail to immediately replace such securities, I will provide the Depository with collateral to the level set by the Depository, and if I fail to provide such collateral, I shall not raise any objection to the utilization of any money or securities deposit that are deposited to my account at the Depository at its own discretion. In case where I fail to fill up the shortage for a stated period, I shall not raise any objection to the Depository’s disposal of the collateral that has already been submitted to the Depository, in order to address such shortage.

7. (Submission of Materials): I will respond and satisfy the requests made by the Depository for a report or submission of materials in relation to the securities deposit business or if the Depository intends to review the relevant ledgers or inspect the status of the securities that are under my custody pursuant to the relevant laws of the Lao PDR, unless there are reasonable and appropriate reasons to decline such request.

(Reverse side) Form 2

To:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Written Acceptance for Securities Deposit and Settlement (for Sec. company Customer)

I hereby submit this Written Acceptance for Securities Deposit and Settlement to confirm that I agree to deposit my securities with the SDC pursuant to the Securities-related Laws and Regulations of the Lao PDR. Furthermore, I hereby confirm that:

1. (Deposit): I have no objection to your company depositing with the SDC(Securities Depository Center) the securities that I have deposited with you.

2. (Issuance or Registration in SDC’s Name): I have no objection to issuing or registering in SDC’s name the securities that have been issued by public offering of new issues or outstanding stocks at the time of subscription or underwriting pursuant to the applicable laws of the Lao PDR provided that I have not separately objected to your company receiving and crediting those securities to my account.

3. (Receipt of New Issues): I have no objection to your company receiving and crediting to my account the securities that have been issued or registered in SDC’s name through capital increase with/without consideration, stock dividend and exercise of subscription right on deposited securities.

4. (Dividend): I have no objection to your company receiving and depositing in my account the dividends or principal and interest (including principal and income dividend of beneficiary certificates) on deposited securities.

5. (Custody): I have no objection to having my securities placed in custody on a fungible basis and transferring or registering them in SDC’s name.

6. (Withdrawal): I have no objection to your company returning different securities certificates provided that they are of the same issue of the securities that I have previously deposited.

7. (Lost or Stolen Securities): I will replace the securities if any of the securities that I have deposited are found to have been reported stolen or lost, and I have no objection to your company deducting the corresponding quantity from my deposit balance. In cases where I fail to provide replacement securities in a prompt manner, I will provide your company with collateral to the level determined by your company, and if I fail to provide you with such collateral, I will not raise any objection against the disposal of cash or securities that are deposited into my account by your company. Furthermore, if I fail to cover the securities balance shortage within stated period, I shall not raise any objection to your company’s disposal of the collateral to cover such shortage.

Account Number:

Resident Registration Number, Tax Payment Number or Own Identification Number:

Address:

Name: (Name Seal Impression or Signature)

Participant Application form

1. Participant Name(L) ：

2. Participant Name(E) ：

3. Company registration No ：

4. Tax registration No :

5. Established Date ：

6. Equity Capital :

7. General Director Name(L) ：

8. General Director Name(E) ：

9. Address(L) ：

10. Address(E) ：

11. Phone No ：

12. Fax No ：

13. Email :

14. Contact person :

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| --- | --- |
| Name of CompanyGeneral Director (or General)Address: | Seal ImpressionOn Certificate of Seal Impression |
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Official Seal Submit form

**To : Lao Securities Exchange**

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| **Official Seal** |
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( Company Name ) confirms that the above seal is our company’s official seal. We submits this seal for the use of securities depository matters. In case where the above seal is stamped, ( Company Name ) confirms that all responsibilities belong to ( Company Name ).

/ Dec / 2010

000 Co. (Company Name)

General Director (Seal Impression)

Attached file

A copy of official seal issuing

Depository Representative

**To : Lao Securities Exchange**

( Company Name ) shall comply with the Securities-related laws and regulations governing depository and designate below person as the Depository Representative for our company’s work on securities deposit, withdrawal and transfer in Lao Securities Exchange as follow

1. Company
	* Company Name :
	* Depository Account Name :
	* Depository Account Number :
2. Representative
	* Classification : New appointment/cancellation/change
	* General Director Name :
	* Representative Identification number :
	* Representative Department :
	* Representative Title :
	* Representative Contact Number & email :
	* LSX training date :
	* Representative Photo(size : )

/ Dec / 2010

000 Company (Company Name)

General Director (Seal Impression)

Change Report

|  |  |  |
| --- | --- | --- |
| Classification | Before | After |
| Company Name |  |  |
| Correspondent bank |  |  |
| Correspondent Account No. |  |  |
| General Director |  |  |
| Company registration No |  |  |
| Address |  |  |
| Official Seal(Name change, General Director change, etc) |  |  |

/ Dec / 2010

000 Company. (Company Name)

General Director (Seal Impression)

Attachments : Related documents