

## Company Announcement

### No. OS 012/2565 (No. 2) Subject Privacy Policy for Customers

Globlex Securities Co., Ltd. realizes the importance of protecting your personal information, and to comply with personal data protection laws The company has made a privacy policy, by setting objectives Methods for collecting, using or disclosing personal information as defined below. It is the Company's duty and responsibility to the personal information of individuals and legal entities involved in the Company's business operations. Which has set standards in accordance with the Personal Data Protection Act B.E. 2019 To ensure that personal data subjects are protected They are used and managed appropriately.

Globlex Securities Co., Ltd. will be called " company "

Individuals are referred to as " sir " Individual customers and corporate customers are collectively referred to as " customer "

**Privacy Policy This applies to the personal information of the following persons:**

- (1) Individual customers means to include natural persons who use or have used the company's products or services
- (2) an individual who does not use the product or service or not being a customer of the company But the company may need to collect, use or disclose personal information such as investors who subscribe for the initial public offering ( Initial Public Offering (IPO) , investors who exercise their rights in proportion to their initial public offering). Holding shares through the company ( Right Offering: RO) , including people who have visited or use the Company's website, platform, application or have attended a training seminar with the company including any person related to transactions with the Company or provide personal information to the company in any way, etc.
- (3) any person who is related to a juristic person customer such as an employee, employee, personnel, officer, juristic person representative, shareholder, authorized person, director, contact person, agent, including any other natural person whose personal information is disclosed to the company, etc. or contact the company Both are corporate customers who use or have used the company's products or services.

Privacy Policy Applies to businesses, websites, mobile applications. Call center, events and exhibitions Online Contact other locations (locations) and any methods that the Company collects, uses or discloses your personal information

#### 1. Personal information that collecting company

"personal information" means information about you that identifies or enables you to be identified. as stated below for the company to provide services to customers The Company may collect your personal information directly from you. or through other methods such as through investment advisors investment planner branch manager or the Company's call center , or from other sources indirectly such as social media, third-party online platforms. or other public sources and through affiliates, service providers, business partners official agency or a third party such as a third party custodian custodian and brokerage The type of information the Company collects depends on the customer's relationship with the Company. and services or products that customers want from the company

"sensitive information" means personal data that is legally classified as sensitive information such as religious, ethnic, biometric information ( such as facial image data, Fingerprint data), criminal history data, health data, disability data, etc. The collection must be done in accordance with the law. which may include Your consent is requested for the collection, use or disclosure of your personal information in order to provide you with the best benefit and/or to enable the Company to provide services that meet your needs.

#### Individual Customers

personal information of You whom the company will collect, use, disclose personal information including but not limited to the following types of personal data:

- (a) **personal data** such as title, name, gender, age, occupation, job title, salary, work placement, education, nationality, date of birth, marital status; Information on government-issued cards (for example, identity card number passport number Tax Identification Number driving license information, etc.), signature, audio recording phone call recording Recording of CCTV footage, house registration and other identity information
- (b) **contact information** such as address, telephone number mobile number Fax number Email address Personal code ID Line for other electronic communications
- (c) **Account and financial** information such as credit and debit card information, account numbers and type of account, prompt pay information , current assets income and expenses as well as payment information and subscription and product information
- (d) **transaction information** such as type of product (e.g. securities, derivatives, price and quantity Order number Broker number, conditions (if any), trading history and balance. Payment history and transactions related to your assets, financial statements, liabilities, taxes, income, profits and investments. source of wealth and capital representation trading information history of default Margin balance and margin loan information

- (e) **Technical information** such as IP address or Internet Protocol . (IP address ) Web beacon ( Log ) Device ID , device model and device type, network, connection information access information Single sign -on (SSO) login information Login log Access time Length of time spent on company pages Cookies Login information search history Browsing information Browser type and version Time zone settings setting) and its location, type and version of the plug- in, browser, operating system and platform. and other technologies on the device you use to access the Platform.
- (f) **Personal details** such as Account name (account identifiers ) Username and password, PIN ID code for trading. Interests and satisfactions, activities, investment goals Investment knowledge and experience and risk tolerance
- (g) **Usage Data**, such as information about your use of the Website, Platform, use of products and services. Your contact information to the company
- (h) **Your Sensitive Information which the Company will collect, use, disclose and/or transfer to foreign countries include:**
  - (1) Biometric data such as face image, mockup , fingerprint
  - (2) Disability information
  - (3) Criminal record

#### **Corporate Customers**

Personal information of customers , which the Company will collect, use, disclose, including but not limited to the following types of personal information.

- (a) **personally identifiable information** such as first name, last name, title, age, gender, photograph, personal profile information, education, job information (e.g. status, job title, occupation, job title, company you work for, or as an employee; or holds) information on government issued cards (eg ID card number Passport number), your shareholding ratio, your signature and other identity information.
- (b) **Contact information** such as telephone numbers, addresses, countries, email addresses and other information. in the same way
- (c) **Personal data generated in connection with the Client's relationship with the Company** , such as account opening, administration, operations, payments, settlements, processing and reporting on behalf of the Client. Such personal data may include signatures and correspondence with the Company.
- (d) **Other information** that is collected, used or disclosed in connection with the relationship with the Company, such as information you provide to the Company in a contract. form or survey or information collected at the time of your participation in the Company's business activities, seminars or social events.

## **2. Objectives The Company collects, uses or discloses your personal information.**

### **2.1 The Company may collect, use or disclose personal information. of your consent To provide you with the best benefits and/or to enable the Company to provide services that meet your needs**

- (a) Marketing communications offering a special offer promotional materials related to the Company's products and services Affiliates and Subsidiaries of the Company and third parties to whom the Company cannot rely on other legal criteria or bases.
- (b) Collection, use and/or disclosure of your sensitive information. for the following purposes
  - ( 1) Biometric data such as facial images fingerprint mockup for subscription Verification and identification
  - (2) Disability information For the benefit of contacting and providing services to you appropriately
  - (3) criminal record To prove and verify your identity before making a transaction and proceeding to get to know customers ( Know Your Customer)

Where the basis or legal base is to seek consent You have the right to withdraw your consent at any time. You can contact the Company in accordance with Article 9 . To withdraw your consent . withdrawal of consent will not affect the liking with the laws of collection, use and disclosure Your personal and sensitive information, subject to your consent, prior to requesting withdrawal.

### **2.2 Objectives The Company may operate on the basis of other legal basis or basis. To process your personal data**

The Company may rely on the following rules or legal bases to collect, use, disclose and/or transfer your personal data abroad, namely:

- (1) It is necessary for the performance of the contract. for entering into a contract or performing a contract with you;
- (2) It is the performance of duties according to the law.
- (3) It is necessary for the legitimate interests of the Company and third parties. To balance the interests and fundamental rights and freedoms in relation to the protection of your personal data.
- (4) for the prevention or suppression of danger to life, body or health of a person;
- (5) public interest for carrying out missions in the public interest or performing duties in the exercise of state power

The Company will rely on the rules or legal bases in (1) to (5) above for the collection, use, disclosure and/or transfer of your personal information to foreign countries. for the following purposes

#### **Individual Customers**

- (a) Contacting you before you enter into a contract with the Company

- (b) Processing an account opening request, maintaining an account and processing your account, including but not limited to: Processing requests or requests for services or products Processing your transactions issuing a report showing the movement of your account (account statement) and the processing and closing of your account;
- (c) providing services to you such as financial advisors stock broker securities trading underwriting investment advisor Securities lending and borrowing derivatives trading Derivatives Broker Derivatives Consulting and managing all matters related to these services.
- (d) Procurement of investment products offering an alternative to You include third party investment products. from time to time and managing all matters relating to these investment products.
- (e) management of the relationship between you and the company and management of the accounts you have with the Company
- (f) Protection of customers from certain restrictions, such as protecting the elderly from entering certain types of transactions on their own. for damage control purposes
- (g) Executing your instructions or responding to your inquiries or comments. and resolution of your complaint
- (h) Identity Verification and Credit Check the process of getting to know customers Know-your-customer (KYC) and customer due diligence (CDD) checks, other audits and screenings, and ongoing monitoring that may be required by applicable law.
- (i) Prevention, detection and investigation of fraud, misconduct or unlawful activities Whether requested by government agencies or regulators and analysis and risk management
- (j) Compliance with laws, rules, regulations, guidelines, orders, advice and requests from government agencies. tax agency law enforcement agencies or other agencies or regulators whether in the country or abroad, such as the Stock Exchange of Thailand Thailand Futures Exchange, Thailand Securities Depository Company Limited, Thailand Clearing House Company Limited, Thai Bond Market Association Office of the Securities and Exchange Commission of Thailand Anti-Money Laundering Office, Revenue Department and Bank of Thailand
- (k) Management of Company Infrastructure , Internal Controls internal audit and business operations and compliance with Company policies and procedures that may be required by applicable laws and regulations. including laws and regulations related to risk control. Security, Auditing, Finance and Accounting, Systems, and Business Continuity
- (l) management or investigation Any complaint, claim or dispute
- (m) marketing communications, information, special offers and promotional materials about the Company's products and services; Affiliates and Subsidiaries of the Company and outsiders
- (n) development of new services and products and providing up-to-date information to you about your services and products from time to time
- (o) Conducting research, planning and statistical analysis, for example your investment limit and investment behavior for the purpose of developing the Company's services and products.
- (p) the organization of promotional projects or activities, meetings, seminars and company visits of the Company ;
- (d) Enforcement of legal or contractual rights of the Company, including but not limited to Follow-up for any amount All owed to the company
- (t) Facilitating financial audits to be performed by the auditor. or obtaining legal advisory services from legal counsel appointed by you or company
- (q) performance of the obligations of Company under any contract to which the Company is a party, such as a contract with a business partner of the Company, a vendor or other asset management company. or under a contract in which the company acts as an agent However, if the personal information the Company collects from you is necessary for the performance of our legal obligations. or entering into a contract with you The Company may not be able to provide you with products and services if the Company is unable to collect your personal information upon request.

#### **Corporate Customers**

- (a) Business communications, such as communicating with customers about the Company's products or services, for example by responding to inquiries or requests.
- (b) selection of customers, such as verifying the identity of you and customer status Due diligence or other forms of background checks or identifying risks relating to you and your customers This includes screening against publicly disclosed government and/or official sanction lists . as required by law Assessing the suitability and qualifications of you and your customers Issuing a Request for Quotation and Calling for a Tender Entering into a contract with you or a customer
- (c) Management of customer information such as maintaining and updating customer names/names. This includes your personal data, storage of contracts and related documents that may be referred to you.
- (d) relationship management, such as planning, executing, and managing (contractual) relationships with customers, for example by transacting and executing orders for products or services; payment processing Conducting accounting, auditing, billing and collection activities Shipping and delivery management support service
- (e) Business analysis and improvement, such as conducting research, data analysis, assessment, survey and reporting on the Company 's products and services and the performance of you or your customers. Developing and improving marketing strategies and products and services

- (f) Information technology and support systems, such as providing information technology and helpdesk supports , creating and maintaining code and personal information for you. Management of access to any system that the company has allowed you to access Withdrawal of inactive accounts , business controls to keep the company's business running. and helping companies identify and resolve issues in the company's information technology system and to ensure the security of the Company's systems; development, use, operation and maintenance of information technology systems.
- (g) Security and system monitoring, such as authentication, control and recording of access to the system. Monitoring of systems, devices and internet systems Information Technology Security Audit Prevention and remediation of crime as well as risk management and fraud prevention.
- (h) Dispute management, such as dispute resolution. Enforcement of a company contract , defining, exercising or fighting legal claims.
- (i) internal investigations, investigations, prevention of complaints and/or crime or fraud ;
- (j) Compliance with internal rules such as compliance with internal policies and applicable laws, rules, orders and guidelines of regulatory bodies.
- (k) compliance with laws and government agencies, such as coordination , interaction and responses to government agencies or courts
- (l) marketing purposes such as company announcements, news and public relations that may be of interest to you , activities, new service offerings; conducting a survey
- (m) Compliance with reasonable business requirements such as management, training, audit, reporting, control or risk management, statistics, trend analysis and planning. or other related or similar activities

### 3. How the Company may disclose or transfer your personal information

The company may disclose or transfer your personal information to a third party including personnel and representatives of third parties. Within Thailand or outside Thailand as follows which processes personal data for the purposes in accordance with this Privacy Policy You can read those third party privacy policies to learn more about how such third parties process your personal data.

#### Individual Customers

##### 3.1 Group of Companies

Globlex Securities Co., Ltd. is part of the Globlex Holding Management Public Company Limited group, the Company may need to transfer your personal information to other companies . within the group of Globlex Holding Management Public Company Limited or allow other companies within the group to access your personal information. for the purposes stated above. You can find a list of companies and scope of activities within the Globlex Holding Management Public Company Limited group at <http://www.globlexholding.co.th>

##### 3.2 Company service provider

The company may use an agency or contractors for the provision of various services on behalf of the company or to assist in providing you with products and services. The Company may share your personal information with these service providers. including but not limited to (a) information technology providers; (b) research agents; (c) analytics service providers; (d) survey agents; (e) marketing agents. Advertising and Communications Materials; (f) Payment Service Providers; and (g) Administrative and Operations Service Providers.

in providing these services Service providers may access your personal data. However, the Company will provide personal information to its service providers only as necessary to provide the services provided by these service providers. And the company will ask these service providers not to use your personal information for any other purpose. We will ensure that all service providers we work with will keep your personal information safe.

##### 3.3 Company business partners

The Company may transfer your personal information to individuals acting on your behalf or involved in providing any type of product or service you receive from the Company. including the payee beneficiary account representative (account nominees) intermediaries such as third-party securities companies or asset management company Custodians, agents banks, agents, sellers, co-brand partners, market counterparties , product issuers or global trade repositories where the Company discloses personal data in order to provide you with products and services. and that you allow the company to disclose your personal information However, the recipients of these data must agree to treat your personal data in accordance with this Privacy Policy.

##### 3.4 Third parties as permitted by law

in some situations The Company may be required to disclose or share your personal information with third parties. To comply with statutory or regulatory obligations, including compliance with law enforcement agencies, courts, regulators, government agencies or other third parties where the Company believes that disclosure or transfer is necessary in order to: will comply with legal or regulatory obligations or for the protection of the rights of the company , the rights of others or for the safety of any person or third party, or to investigate, prevent or address fraud issues. or in terms of security or safety

##### 3.5 Professional advisor

The Company may disclose or transfer your personal information to the Company's professional advisors in relation to auditing, legal, accounting and taxation services, which assists in business conduct and defense. or handle legal claims

### 3.6 Third parties such as the assignee, assignee or debt converter

The Company may assign, transfer or convert its debts, rights or obligations to third parties, to the extent permitted by the terms and conditions of any contract entered into between you and the Company. The Company may disclose or transfer your personal information to the assignee, transferee or debtor, including persons who may be assignees, assignees or debt converters. However, these recipients must agree to treat your personal data in accordance with this Privacy Policy.

### 3.7 Third parties involved in business transfers

The Company may disclose or transfer your personal information to business partners, investors, key shareholders, assignee. Persons who may be assignees. Transferee or a person who may be a transferee of the company. In the event of business rehabilitation, business restructuring, merger, Acquisitions, sales, acquisitions, joint ventures, transfers, liquidation or any similar event related to the transfer or disposition of all business, assets or shares or any part of the Company if any of the aforementioned events occur. Recipients will comply with this Privacy Policy with respect to your personal data.

## Corporate Customers

The Company may share your personal information with other parties. For the purposes set out in Clause 3 above, such as the Globlex group of companies, the Company's other business partners, third-party service providers hired by the Company, in certain circumstances. The company shares your personal information with government agencies, Law enforcement agencies, courts, regulators or other third parties. Where the Company believes that sharing is necessary in order to comply with legal or regulatory obligations or for the protection of the rights of the company, the rights of others or for the safety of any person or third party, or to investigate, prevent or address fraud issues, or in terms of security or safety.

When the Company transfers personal information to a third party, The Company will take steps to ensure the protection of your personal information such as confidentiality agreements, or other appropriate security measures as required by law.

## 4. Transfer of personal data of international person

The Company may need to transmit or transfer your personal information abroad, or to other recipients as part of the Company's normal business operations, such as sending or transferring personal data to a platform, cloud or server located abroad, business partner both co-operating in providing products and/or services and business partners that jointly issue products as **co- brands**, social media service providers, Overseas government agencies and/or persons involved in your transactions abroad, etc.

In the event that the destination country has insufficient standards for personal data protection, The Company will take measures to protect personal data that it deems necessary and appropriate in accordance with confidentiality standards, such as having agreements with recipients in such countries to confirm that your personal data will be protected under Standards for personal data protection that are equivalent to that of Thailand. And the company will ensure that the transmission or transfer of personal information is in accordance with the law, including:

- 1) It is in compliance with the law that requires the company to send or transfer personal information abroad.
- 2) has informed you and obtained your consent in the event that the destination country has insufficient standards for personal data protection. However, according to the announcement of the list of countries announced by the Personal Protection Board.
- 3) It is necessary to perform the contract with which you are a party to the Company, or is made at your request before entering into that contract.
- 4) It is an act according to the Company's contract with another person or juristic person, for your benefit.
- 5) To prevent or suppress a danger to your life, body or health or that of another person, when you are unable to give consent at that time.
- 6) It is imperative to carry out missions for the benefit of the public that matter.

## 5. Length of time The company collects your personal information.

The Company will retain your personal information for as long as reasonably necessary, in order to achieve the purposes for which the Company received the personal data as stated in this Privacy Policy, and to comply with various legal and regulatory obligations. However, the Company may retain your personal information for longer if required by applicable law.

## 6. Other important information About your personal information

### 6.1 Cookies and how to use them

If you visit the Company's website, The Company automatically collects certain information from you through the use of cookies. Cookies are a type of tracking technology used to analyze trends, Website Management, Track the movement of the Company's website or to remember the preferences of Internet users. Most browsers allow you to control whether or not to accept cookies. If you opt out of tracking by cookies, Your ability to use all or part of the features or areas of the Website may be limited.

### 6.2 Personal data used by minors

In general, Company activities are not targeted at minors. And the company will not collect personal information from customers who are minors. (A person who has not reached the age of 20 or by marriage) without the consent of the exercise of parental power if necessary, or from a quasi-incompetent or incompetent person. Without the consent of the legal guardian if you are a minor, a quasi-incompetent person or an incompetent person who wishes to have a contractual relationship with the Company. You must obtain the consent of the user of parental authority or your legal guardian before contacting the Company or providing your personal information to the Company. If the Company becomes aware that it has inadvertently collected personal information from a minor without the consent of the user of parental authority if necessary, or from a quasi-incompetent or incompetent person without the consent of the legal guardian, The company will

delete that personal information immediately. or continue to process such personal data if the Company is able to rely on Criteria or legal bases other than obtaining consent

### 6.3 Relevant personal data with outsiders

If you provide personal information of any third party such as your spouse and children, shareholders, directors, real beneficiaries, attorneys, Emergency contact details such as their names, surnames, email addresses and telephone numbers. You should ensure that you have the authority to provide such personal data. and allow the Company to use such personal data in accordance with this Privacy Policy. You are also responsible for notifying those third parties of this Privacy Policy. and obtain the consent of the relevant third party, if necessary, or rely on other legal basis or base.

## 7. Your right to personal data

Your rights under the Personal Data Protection Policy set out in this Article mean your rights in accordance with the Personal Data Protection Act. You may exercise the rights stated below in relation to your personal data to the Company. and privacy policy specified by the company And that will be in the future. In addition, in the event that you are not yet 20 years old or are a person with limited ability to do juristic acts You may assign them to parents. ruler or an authorized person to act on your behalf

Subject to the provisions of the law and the relevant legal exemptions You may have the rights set out below in relation to your personal data.

- (a) **Access** : You may have the right to request access to or obtain a copy of the personal data the Company processes about you.
- (b) **Data Transfer** : You may have the right to obtain personal information that the Company holds about you in an organized and readable electronic format. and to transmit or transfer such information to another Personal Data Controller.
- (c) **Objection** : In some cases, you may have the right to object to the way the Company processes your personal data in certain activities described in this Policy.
- (d) **Deletion or Destruction of Information** : You may have the right to request the Company to delete or destroy it. or cause your personal data that the company processes about you It is information that does not identify the person who owns the data, for example, if the data is no longer needed for the purposes of data processing.
- (e) **Restrictions** : You may have the right to restrict the processing of your personal data. If you believe that the information is inaccurate or your processing is unlawful or you no longer need to process that data for a particular purpose.
- (f) **Correction** : You may have the right to request the rectification of incomplete, inaccurate, misleading, misleading personal data. or not current
- (g) **Withdrawal of Consent** : You may have the right to withdraw the consent you have given to the Company for the processing of your personal data. Unless there are restrictions on the right to withdraw consent as required by law. or have a contract that benefits you
- (h) **Filing a Complaint** : You may have the right to lodge a complaint with the competent authority in the event that you believe that you are unlawful or inconsistent with the processing of your personal data. enforce

## 8. Policy Changes This privacy issue

The Company may change or update this Privacy Policy from time to time. We recommend that you read this Privacy Policy carefully. and check for any changes that may occur in accordance with the terms of this Privacy Policy at [www.globlex.co.th/PDPA](http://www.globlex.co.th/PDPA) From time to time, the Company will notify you or seek your consent again if there is a material change in this Privacy Policy. or if the Company is required by law to make material changes to this Privacy Policy.

## 9. Company contact details

If you wish to exercise your rights in relation to your personal data or if you have any questions or complaints about your personal data under this Privacy Policy Please contact the Company or the Company's Personal Data Protection Officer. at

Globlex SecuritiesCo., Ltd. 87/2 CRC All Seasons Place, 12th Floor, Wireless Road  
Lumpini, Pathumwan, Bangkok 10330  
Tel. 02-672-5999 ext. 5907, 5921 Email : [dpo@globlex.co.th](mailto:dpo@globlex.co.th)

## 10. APPLICATION OF THE PRIVACY POLICY

You agree and acknowledge that This Privacy Policy This applies to all personal data collected by the Company. and you agree that the company has the right to keep and take your personal information that the company has already collected (if any) as well as your personal information that the company currently collects and that will be stored in the future, used or disclosed to other persons To the extent specified in this Privacy Policy

This Privacy Policy Effective from 1 June 2022



(Mr.Thanapisal Koohapremkit)  
Chief Executive Officer