

Vision Mission and Business Objectives

Vision

“Our securities company determines to deliver better than average market returns to stakeholders under an umbrella of good corporate governance.”

Mission

- To be a financial and investment advisor striving to generate profits for clients
- To manage the Company’s business in a way that provides incremental values to shareholders
- To enhance caliber of and provide appropriate remunerations to the Company’s staff
- To manage the Company by observing good corporate governance under ethical rules
- To be in charge of and participate in any socially-beneficial activities

Business Objectives

The company and its subsidiaries “the Company” strive to engage in a securities business that can offer a comprehensive or all-in-one service to its clients. To achieve this objective, in the primary market, the Company offers a financial advisory service for a company’s structuring and raising capital, including being an advisor in setting up internal system and in services in the secondary market. The Company offers investment advisory service which is supported by the information and analytical research on securities and derivatives prepared by the company’s research department. Apart from the above services, the Company offers a derivative brokerage service in which the Company’s clients can invest in new and innovative derivatives for both investment and hedging purposes. The Company’s objectives classified by their business activities are outlined below.

Investment Business

For this business, the Company intends to make long-term investments in securities business or any business with high growth potential so that the company can regularly enjoy income in form of profit share from subsidiaries or affiliates of such company on a long term basis. As for short-term and medium-term investments, it is the Company’s policy to invest in available-for-sale securities, both equity and debt securities, which have high trading volumes and liquidities and which can generate profits to the Company. In making the above investments, the Company always employs a variety of investment strategies.

Lending business by pledging listed securities as collateral

The company targets to increase lending to customers who require long-term loans by pledging listed securities as collateral, for the Company continually earns interest. The Company focuses on the major shareholders in listed companies that have strong fundamentals and high growth potential.

Securities and Derivatives Business

Trinity Securities Co., Ltd. strives to gain larger market shares in securities and derivatives business. To achieve this goal, it plans to maintain its client base through an offer of fully-integrated securities service. For example while introducing investment alternatives e.g. fixed income, unit trusts of mutual funds and derivatives products to clients, the company offers a variety of services which can be performed in parallel e.g. margin loans, expansion of institutional client base, expansion of a new customer base that has not followed the market closely by offering a new service that the company can invest for customers under the investment framework that customers agree, and securities borrowing and lending service via cash account.

These services can be performed quickly and conveniently given that they have already been included in the company's online trading system. In addition, the company has developed investment decision-making tools for its clients and equipped them with analytical research containing information and suggestions useful for quick and efficient investment. The company has also ensured that the investment advice given by its marketing staff is based on quality analytical research. Apart from that, the company regularly organizes seminars for its clients. These seminars are part of the company's marketing activities.

For fixed income trading: Trinity Securities Co., Ltd. plans to focus on the trading with institutional clients and expanded its retail client base at the same time.

For underwriting business: Trinity Securities Co., Ltd. intends to underwrite and jointly participate with other financial institutions in the underwriting of securities which are offered by both private sectors and state enterprises.

For private fund management: Trinity Securities Co., Ltd. intends to increase the number of its clients in this business through an offer of investment packages which are tailor-made to meet each client's requirements.

Financial Advisory Business

Trinity Securities Co., Ltd. and Trinity Advisory 2001 Co., Ltd. intend to provide financial advisory service to clients having high business potential. In providing this service, the companies place strong emphasis on the quality of their advice by ensuring that the advice is useful and practical for the clients' financial management, fund-raising or can enhance the clients' business or financial competitiveness. At the same time, the companies try to maintain relationship with the clients for long-term business relation. In this regard, the companies have expertise in providing advice concerning a listing of company on SET, fund-raising activities, merger and acquisition and issuance of fixed income from securitization. In addition, the companies also act as an independent financial advisor of various companies to provide opinions in relation to such companies' engagement in any transactions which can have significant impacts on their shareholders.