

**UOB FI Plus Plus C AI 3Y2 Fund :**  
**UOBFIPPC AI 3Y2**

*Annual Report*  
*(For the period of 2015/2016)*

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## Message from the Company

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To Unitholders

Comment on investment of the portfolio during the last accounting period November 1, 2015 to October 31, 2016

UOB FI Plus Plus C AI 3Y2 fund aims to invest in domestic and/or foreign debt instruments both investment grade/non investment grade credit rating such as government bond, bank/corporate debt securities, CLNs and deposits. All debt instruments will be matured within the project duration. The fund will invest at least 80% of its net asset value in offshore securities.

This fund is a term fund with specific maturity and auto redemption dates. The fund invests in securities which maturity dates are close to the fund's maturity date and plan to hold them to maturity. Accordingly, interest rate risk is low. Investments in foreign currencies are also hedged so that the foreign exchange risk is also low. There are credit risk and counterparty risk but the credit review of issuers and counterparties which have been done regularly still show qualified results.


Portfolio as of October 31, 2016

EMTN – Aklease	27.96
EMTN – Ziraat	27.70
EMTN – BTG Investment	26.26
CLN linked to Petrobras	18.36
CLN linked to Noble	7.68
T-Bill	0.52
Cash	-0.05
Others	<u>-8.43</u>
Grand Total portfolio	<u>100.00</u>

As we have managed UOB FI Plus Plus C AI 3Y2 Fund for a period of one year on October 31, 2016, we would like to inform the net value to unit holder, UOB FI Plus Plus C AI 3Y2 Fund has a net asset value 1,913,820,817.30 baht in asset value or its earning per unit is at 10.3139 baht

In this connection, we would like to express our sincere thanks to the trust of all Unitholders has been extended to us for your investment. UOB FI Plus Plus C AI 3Y2 Fund Should you have any further question or need more information, You can monitor or follow the announcement the net asset value of the Fund in the newspaper or the company website.

UOB Asset Management (Thailand) Co., Ltd.



(Mr. Vana Bulbon)

Chief Executive Officer

**List of Board of Directors and Management Team**  
**UOB Asset Management (Thailand) Co., Ltd.**

**Board of Directors**

- |    |                                |                  |
|----|--------------------------------|------------------|
| 1. | Mr. Lee Wai Fai                | Chairman         |
| 2. | Mr. Thio Boon Kiat             | Director         |
| 3. | Mr. Sanchai Apisaksirikul      | Director         |
| 4. | Ms. Piyaporn Ratanaprasartporn | Director         |
| 5. | Mr. Vana Bulbon                | Director and CEO |

**Management Team**

- |    |              |              |  |
|----|--------------|--------------|--|
| 1. | Mr. Vana     | Bulbon       | Chief Executive Officer                  |
| 2. | Mrs. Sunaree | Piboonsakkul | Senior Director (Operation Division)     |
| 3. | Mr. Jerdphan | Nithayayon   | Senior Director (Investment Division)    |
| 4. | Ms. Rachada  | Tangharat    | Director (Business Development Division) |

**Office Location**

UOB Asset Management (Thailand) Co., Ltd.

23A, 25 Floor, Asia Centre Building, 173/27-30, 32-33

South Sathon Road, Thungmahamek, Sathon,

Bangkok 10120, Thailand

Tel : +66 2786 2222

Fax : +66 2786 2377

**Mutual Fund Supervisor Report**

To: Unitholders of UOB FI Plus Plus C AI 3Y2 Fund

Whereas Standard Chartered Bank (Thai) Public Company Limited, the Mutual Fund Supervisor of UOB FI Plus Plus C AI 3Y2 Fund A which is managed by UOB Asset Management (Thailand) Co., Ltd. has performed duties as the Mutual Fund Supervisor of the Fund during the fiscal year commencing from 1 November 2015 and ending on 31 October 2016, and the second half of the fiscal year commencing from 1 May 2016 and ending on 31 October 2016.

During that period UOB Asset Management (Thailand) Co., Ltd. has, in our view, managed the Fund, in accordance with the fund investment scheme approved by the Office of the Securities and Exchange Commission, and the commitment to the unitholders under the Securities Exchange Act B.E. 2535 in all material respects.

Standard Chartered Bank (Thai) Pcl.



(Malathip Earsakul)

Assistant Manager

Standard Chartered Bank (Thai) Co., Ltd.  
3 November 2016



ธนาคารสแตนดาร์ดชาร์เตอร์ด (ไทย) จำกัด (มหาชน)  
90 ถนนสาทรเหนือ ซอย บางรัก  
กรุงเทพฯ 10500  
โทรศัพท์ +66 (0) 2724 4000  
โทรสาร +66 (0) 2724 4444  
ทะเบียนเลขที่ 0107536000498

Standard Chartered Bank (Thai) Public Company Limited  
90 North Sathorn Road, Silom  
Bangrak, Bangkok 10500 Thailand  
Tel +66 (0) 2724 4000  
Fax +66 (0) 2724 4444  
Registration No. 0107536000498

## UOB FI Plus Plus C AI 3Y2 Fund

### Name List of Fund Manager

For the period of November 1, 2015 to October 31, 2016

No.	Name List of Fund Manager
1	Ms. Vannachan Ungthavorn*
2	Mr. Eakarat Apiwattanaporn*
3	Mr. Kittiphong Kangwankiattichai
4	Mr. Verayuth Halilamien*
5	Mrs. Pungpis Chularojmontri
6	Ms. Anchalee Ngamwutikul*
7	Mr. Jaruwat Preepreamkul*
8	Ms. Linda Ubolriabroy
9	Ms. Chanisda Viranuvaatti

\* Fund manager and portfolio manager in derivatives ( if any )

## Fund Performance

Registration Date Nov 20, 2014

Ending Date of Accounting Period Oct 31, 2016

	Fund Performance ( % )	Benchmark* ( % )
3 Months between Jul 29, 2016 – Oct 28, 2016	1.30	-
6 Months between Apr 29, 2016 – Oct 28, 2016	10.14	-
1 year between Oct 30, 2015 – Oct 28, 2016	8.64	-
Since Inception between Nov 20, 2014 – Oct 28, 2016	1.45	-

\* No, because the fund can not be measured because the rate of return of the fund depends on the terms of compensation, options, derivatives. Which is characterized by a specific fund created for this purpose.

- Performance measures used in this annual report comply with AIMC performance presentation standards.
- Past Performance/performance comparison relating to a capital market product is not a guarantee of future results.



**UOB FI Plus Plus C AI 3Y2 Fund**

**Total Expenses as called from fund Table**

**From November 1, 2015 To October 31, 2016**

Called expenses from fund (Fund's direct expense)	Amount Unit : Thousand	Percentage of Net Assets Value
Management fee*	4,623.73	0.23
Trustee fee*	636.41	0.03
Transaction fee	-	-
Registrar fee	-	-
Advisory fee	-	-
Sale Promotion - IPO	-	-
Sale Promotion - After IPO	-	-
Other Expenses**	2.80	-
<b>Total Expenses ***</b>	<b>5,262.94</b>	<b>0.26</b>

Remark \* Percentage of registered capital

\*\* Other expense which each items is less than 0.01% of NAV

\*\*\* Included VAT (if any) and Not included brokerage fee

**UOB FI Plus Plus C AI 3Y2 Fund**  
**Details of Investment ,Borrowing and Obligations**  
**As of October 31,2016**

	Market Value	%NAV
<b>Domestic : Assets and Securities List</b>		
<b><u>Government Bond</u></b>	<b><u>9,937,438.38</u></b>	<b><u>0.52</u></b>
The Maturity less than 1 year	9,937,438.38	0.52
The Maturity 1-3 year	0.00	0.00
The Maturity 3-5 year	0.00	0.00
The Maturity 5-7 year	0.00	0.00
The Maturity 7-10 year	0.00	0.00
The Maturity exceeding 10 year	0.00	0.00
<b><u>Deposits</u></b>	<b><u>27,080,908.11</u></b>	<b><u>1.42</u></b>
<b><u>Others</u></b>	<b><u>-29,164,859.02</u></b>	<b><u>-1.52</u></b>
<b>BRAZIL : Assets and Securities List</b>		
<b><u>Debenture</u></b>	<b><u>502,606,557.17</u></b>	<b><u>26.26</u></b>
Non-Rated	502,606,557.17	26.26
<b>MALAYSIA : Assets and Securities List</b>		
<b><u>Debenture</u></b>	<b><u>498,363,415.80</u></b>	<b><u>26.04</u></b>
Non-Rated	498,363,415.80	26.04
<b>TURKEY : Assets and Securities List</b>		
<b><u>Debenture</u></b>	<b><u>1,065,129,730.95</u></b>	<b><u>55.65</u></b>
Non-Rated	1,065,129,730.95	55.65
<b>Futures Contracts</b>		
<b><u>Forward Contracts</u></b>	<b><u>-160,132,374.09</u></b>	<b><u>-8.37</u></b>
Cross Currency Swap	-160,132,374.09	-8.37
<b>Net Asset Value</b>	<b>1,913,820,817.30</b>	<b>100.00</b>

Summary Report of Invested Money  
 UOB FI Plus Plus C AI 3Y2 Fund  
 As at October 31 , 2016

- Details of Investment in the Debt Instrument , issued by the Thai Entities or offered in Thailand

Category of Securities	Market Vale	%NAV
(A) Government Bond	9,937,438.38	0.52
(B) Securities issued, certified, accepted of avaled , endorsed or guaranteed by a bank established by specific law , commercial bank , finance company	0.00	0.00
(C) Securities whose its issuer,acceptor,aval giver,endorser or guarantor is the company receiving the credit rating at the investment grade level	0.00	0.00
(D)* Securities whose its issuer,acceptor,aval giver,endorser or guarantor is the company receiving the credit rating at the lower than the investment grade level or without credit rating	0.00	0.00

Remark \* The market value and % NAV under Item ( D ) above is inclusive of the instrument receiving the credit rating at the level of investment Grade

-The Upper Limit of the category (D) in which the Management Company is likely to invest 15.00 15.00 %NAV

Details of Instruments and the Ranking of Credit of respective Instruments in the Portfolio  
 UOB FI Plus Plus C AI 3Y2 Fund  
 As of October 31 , 2016

Type	Securities	Issuer	Guarantor/Acceptor/ Endorser	Maturity Date	Rating	Face Value	Market Value
Government Bond							
	CB17405A	BANK OF THAILAND		5/Apr/2017	-	10,000,000.00	9,937,438.38
Debenture							
	AKLE17NA	Ak Finansal Kiralama A.S.		24/Nov/2017	-	521,544,700.00	535,074,907.68
	BTGI17NA	BTG Investments L.P.	BTG Pactical Holding S.A.	22/Nov/2017	-	521,544,700.00	502,606,557.17
	CLNNOB02	CIMB Bank Berhard		22/Nov/2017	-	171,514,700.00	147,063,283.29
	CLNPET03	CIMB Bank Berhard		22/Nov/2017	-	350,030,000.00	351,300,132.51
	ZIRA17NA	Turkiye Cumhuriyeti Ziraat Bankasi		22/Nov/2017	-	518,044,400.00	530,054,823.27
						Total	<u>2,076,037,142.30</u>

Detail of investment in the Futures contracts

Type of Contract	Counter Party	Rating	Objective	Market Value	%NAV	Maturity Date	(net gain/loss)
Currency Derivatives Contracts							
Cross Currency Swap							
	CIMB THAI BANK PUBLIC COMPANY LIMITED	AA	Hedging	-10,264,489.20	-0.54	22/Nov/2017	-10,264,489.20
	CIMB THAI BANK PUBLIC COMPANY LIMITED	AA	Hedging	-21,030,683.81	-1.10	22/Nov/2017	-21,030,683.81
	THE SIAM COMMERCIAL BANK PUBLIC COMPANY LIMITED	AA+	Hedging	-37,301,540.08	-1.95	22/Nov/2017	-37,301,540.08
	TMB BANK PUBLIC COMPANY LIMITED	A+	Hedging	-46,736,386.00	-2.44	24/Nov/2017	-46,736,386.00
	TMB BANK PUBLIC COMPANY LIMITED	A+	Hedging	-44,799,275.00	-2.34	22/Nov/2017	-44,799,275.00

**Portfolio Turnover Ratio (PTR)**

**UOB FI Plus Plus C AI 3Y2 Fund**

**For the period of November 1, 2015 to October 31, 2016**

0.00
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**Credit rating of the bank or financial institution**

**UOB FI Plus Plus C AI 3Y2 Fund**

**As of October 31, 2016**

Bank of deposit	Credit ratings by international institution	Credit ratings by domestic institution
United Overseas Bank (Thai) Pcl.	-	AAA (Fitch)

### List of Soft Commission

No.	Brokerage	Soft Commission	Reason for receiving
-None-	-	-	-

**List of Connected Person with transaction**

**For the Period of November 1, 2015 to October 31, 2016**

List of Connected Persons who had transactions with Fund
-None-

Remark :

The investors can verify the Connected Persons' transactions of fund directly at UOB Asset Management (Thailand) Co., Ltd. or through the website of the Company ([www.uobam.co.th](http://www.uobam.co.th)) or The Securities and Exchange Commission ([www.sec.or.th](http://www.sec.or.th))



**Report on non-compliance of investment limit**

**UOB FI Plus Plus C AI 3Y2 Fund**

**For the Period of November 1, 2015 to October 31, 2016**

Date	Fund Name	Ratio at the end of the day (%NAV)	Ratios of the project (%NAV)	cause	performance
-None-	-	-	-	-	-

## **Voting right and voting right exercising**

Investors should examine guidance on voting right and voting right exercising via Asset  
Management Website : <http://www.uobam.co.th>

**Information on the exceeding of 1/3 unit holding**

**UOB FI Plus Plus C AI 3Y2 Fund**

**As of October 31, 2016**

- None -
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Remark :

The investor can verify the information on the exceeding of 1/3 unit holding through the website of the company ([www.uobam.co.th](http://www.uobam.co.th))

**The amendment to the commitment**

**UOB FI Plus Plus C AI 3Y2 Fund**

**For the period of November 1, 2015 to October 31, 2016**

Revised matter	Reason for the amendment	Approval date
- None -	- None -	- None -

<p><b>เหตุผลข้อร้องเรียนจากผู้รับไม่ได้</b></p> <p><input type="checkbox"/> 1. ง่ายที่ไม่ชัดเจน</p> <p><input type="checkbox"/> 2. ไม่มีเอกสารอ้างอิงที่น่าเชื่อถือ</p> <p><input type="checkbox"/> 3. ไม่ยอมรับ</p> <p><input type="checkbox"/> 4. ไม่มีผู้รับผิดชอบเจ้าหน้าที่</p> <p><input type="checkbox"/> 5. ไม่สามารถแก้ไขปัญหา</p> <p><input type="checkbox"/> 6. เสียชื่อเสียง</p> <p><input type="checkbox"/> 7. ย้ายไม่ทราบที่อยู่ใหม่</p> <p><input type="checkbox"/> 8. อื่นๆ .....</p>	<p>ลงชื่อ .....</p>
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UOB Asset Management (Thailand) Co., Ltd.

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