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**Notification of the Office of the Securities and Exchange Commission**  
**No. SorNor. 5/2551**  
**Re: Investment and Holding of Assets for a Fund**  
**(No.3)**

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By virtue of Section 126 (4) of the Securities and Exchanges Act B.E. 2535 (1992) in conjunction with Clause 18 (6) as amended by the Notification of the Office of the Securities and Exchange Commission No. KorNor. 1/2550 Re: Rules, Conditions and Procedures for Establishment and Management of Funds (No. 4) dated 24 April 2007, and Clause 19 of the Notification of the Office of the Securities and Exchange Commission No. KorNor. 30/2547 Re: Rules, Conditions and Procedures for Establishment and Management of Funds dated 10 June 2004, the Office of the Securities and Exchange Commission hereby issues the following regulations.

**Clause 1.** In this Notification:

“Office” means the Office of the Securities and Exchange Commission.

**Clause 2.** The following provision shall be added as the second paragraph of Clause 44 of the Notification of the Office of the Securities and Exchange Commission, No. SorNor. 28/2549 Re: Investment and Holding of Assets for a Fund dated 17 July 2006:

“In preparing the information required under the first paragraph in respect of the provident fund with multiple investment policies, management company shall prepare such information of each investment policy.”

**Clause 3.** The following provision shall be added as Clause 51/1 of the Notification of the Office of the Securities and Exchange Commission, No. SorNor. 28/2549 Re: Investment and Holding of Assets for a Fund dated 17 July 2006 under Part 2: Rules of Investment Limit of Funds and preceding Chapter 1: Rules of Investment Limits in General thereof:

“**Clause 51/1.** In calculating investment limits for compliance with the requirements under this Part in respect of the provident fund with multiple investment policies, management company shall calculate the limits for each investment policy instead of for each fund, except for the investment limits set out in Clause 54.”

**Clause 4.** In calculating limits for additional investment in assets by provident funds as approved by the Office under Clause 5(10) of the Notification of the Office of the Securities and Exchange Commission No. SorNor. 28/2549 Re: Investment and Holding of Assets for a Fund dated 17 July 2006, management company shall calculate the limits for each investment policy instead of for each fund.

**Clause 5.** This Notification shall come into force as from 15 February 2008.

Notified this 4<sup>th</sup> day of February 2008.

(Mr. Thirachai Phuvanatanarubala)  
Secretary-General  
The Office of the Securities and Exchange Commission

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**Remark:** The rationale for issuance of this Notification is to modify the rules concerning the preparation of reports on provident fund management and the calculation of investment limits of provident funds in respect of the provident funds with multiple investment policies.