

(Unofficial Translation)

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**Notification of the Capital Market Supervisory Board**

**No. TorKhor. 4/2551**

**Re: Rules for Undertaking Derivatives Business  
for Registered Derivatives Advisors**

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By virtue of Section 18 of the Derivatives Act B.E. 2546 (2003) as amended by the Derivatives Act (No. 2) B.E. 2551 (2008) which contains certain provisions in relation to the restriction of rights and liberty of persons which Section 29, in conjunction with Section 33, Section 34, Section 36, Section 41, Section 43, and Section 45 of the Constitution of the Kingdom of Thailand so permits by virtue of law, the Securities and Exchange Commission acting as the Capital Market Supervisory Board by virtue of Section 6 of the Derivatives Act (No.2) B.E. 2551 (2008) hereby issues the following regulations:

**Clause 1.** The following provision shall be added as Clause 2/1 of the Notification of the Securities and Exchange Commission No. KorKhor. 16/2547 Re: Rules for Undertaking Derivatives Business for Registered Derivatives Advisors dated 8 March 2004.

“Clause 2/1. In providing services to customers, the derivatives advisor shall arrange to have an agreement in writing relating to the settlement of disputes by arbitration organized by the Office as specified in the notification of the Office when customers request to enter into an arbitration process as organized by the Office for the settlement of civil disputes incidental to or resulted from the derivatives business.”

**Clause 2.** The derivatives advisor who provided services for customers prior to the effective date of this notification shall arrange to have an agreement in writing relating to the settlement of disputes by arbitration organized by the Office as specified in the notification of the Office when customers request to enter into an arbitration process as organized by the Office

for the settlement of civil disputes incidental to or resulted from the derivatives business. Such written agreement shall be made at the first opportunity possible but shall not exceed one year as from the date this Notification becomes effective.

**Clause 3.** This Notification shall come into force as from 16 April 2008.

Notified this 2<sup>nd</sup> day of April 2008.

(Mr. Surapong Suebwonglee)

Minister of Finance

Chairman of the Securities and Exchange Commission

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**Remark:**

The reason for issuing this Notification is to ensure that the procedures for settlement of disputes by arbitration are fair and comply with the rules specified by the Office.