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Notification of the Office of the Securities and Exchange Commission

No. SorThor. 18/2551

Re: Office Hours and Holidays of Securities Companies

By virtue of Section 108 and Section 110 of the Securities and Exchange Commission Act B.E. 2535 (1992) which contains certain provisions in relation to the restriction of right and liberty of person which Section 29 in conjunction with Section 33, Section 34, Section 41, Section 43, Section 44 and Section 64 of the Constitution of the Kingdom of Thailand so permit by virtue of law, the Office of the Securities and Exchange Commission hereby issues the following regulations:

Clause 1. The notification of the Office of the Securities and Exchange Commission No. SorThor. 69/2543 Re: Office Hours and Holidays of Securities Companies dated 27 December 2000 shall be repealed.

Clause 2. This Notification shall not apply to the securities company's branch office in foreign countries.

Clause 3. The securities company shall open within the hours, and close on the days as follows:

(1) in case of providing services for customers, the securities company shall open Monday to Friday from 8.30 A.M. till 5.00 P.M. and close on weekend and traditional holidays as notified by the Office on a yearly basis;

(2) in case of providing a self-service platform for customers through the use of communication equipments or computer while the office of securities company is closed , such securities company shall open 24 hours every days.

Clause 4. Unless otherwise prescribed in Clause 6, the securities company shall open on different hours and days as indicated in Clause 3(1) within the following rules:

(1) in case of providing securities underwriting service or services limited as online branch office, or in case of the online branch office, the

securities company shall extend its office hours to not early than 7.00 A.M. and no later than 9.00 P.M. and shall open on holidays and during the said hours by notify to the Office in advance;

(2) in any cases other than (1) the securities company shall extend its opening hours or open on holidays only after obtain an approval from the Office.

Clause 5. Any securities company wishing to extend its opening hour or open on holidays according to Clause 4 (2) shall submit an application for approval to the Office together with the following document evidence:

(1) scope of services provided during the hours and days applied for.

(2) monitoring and supervision plan to be use during the hours and days applied for.

The Office shall consider and notify the result of consideration within thirty days as from the date of receipt of completed application and document evidence, unless there appear to be additional fact and the Office notify of such necessity to the securities company prior to the period of thirty days, the Office may extend the period for consideration as needed.

When meet the period specified in the second paragraph, and the Office does not notify the result of consideration, or does not order ~~otherwise~~ to the securities company, it shall be deem that the Office approves the extension of opening hours or the opening on holidays as requested by the securities company.

Clause 6. The securities company may extend the opening hours or open on holidays for the service of mutual fund management, private fund management or the service of online branch office relating to mutual fund or private fund management if such extension comply with the notification of the Office governing the Establishment of a Branch Office and Serving Customers by an Asset Management Company outside Its Office Premises and Office Hours.

Clause 7. The securities company shall publicly announce its opening hours and holidays.

Clause 8. In the case where the securities company has been permitted to open on different hours and days from that indicated in Clause 3(1) prior to the effective date of this Notification, such securities company shall continue to operate within the permitted opening hours and days.

Clause 9. This Notification shall come into force as from 16 June 2008.

Notified this 4th day of June 2008.

(Mr. Thirachai Phuvanatanarubala)

Secretary-General

The Office of the Securities and Exchange Commission

Remark: The reason for issuing this Notification is to ensure that the securities company has prepared for the upcoming competition after the liberalization of securities business license, the securities company shall use their judgement in specifying the appropriated office hours. So it's deemed necessary to amend the rules on office hours of securities companies.