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Notification of the Securities and Exchange Commission

No. KorKhor. 10/2551

Re: Determination of Other Financial Institutions Applying for Securities Business Licenses pursuant to the Ministerial Regulation Concerning Granting of Approval for Undertaking Securities Business B.E. 2551 (2008)

By virtue of Section 14 of the Securities and Exchange Act B.E 2535 (1992) as amended by the Securities and Exchange Act (No.4) B.E.2551 (2008) in conjunction with Clause 4 (4), Clause 5 (3), Clause 6 (5), Clause 7 (4), Clause 8 (4) and Clause 9 (3) of the Ministerial Regulation Concerning Granting of Approval for Undertaking Securities Business B.E.2551 (2008), the Securities and Exchange Commission hereby issues the following regulation:

Clause 1. Financial institutions established under a specific law shall apply for the following securities business licenses:

- (1) securities business license type A (ก);
- (2) securities business license type B (ข);
- (3) securities business license type C (ค);
- (4) securities business license type D (ง);
- (5) securities business license in the category of investment advisory service;
- (6) securities business license in the category of securities borrowing and lending.

Clause 2. This notification shall come into force as from 1 August 2008.

Notified this 16th Day of July 2008.

- Signature -

(Mr. Vijit Supinit)

Chairman of the Securities and Exchange Commission