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**Notification of the Office of the Securities and Exchange Commission  
No. SorThor. 19/2552  
Re: Report on Trading of Securities and Derivatives in Foreign Countries of  
Derivatives Broker**

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By virtue of Section 14 and Section 19 of the Derivatives Act B.E. 2546 (2003) which contain certain provisions in relation to the restriction of rights and liberties 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 permit by virtue of law, the Office of the Securities and Exchange Commission hereby issues the following regulations:

**Clause 1** In this Notification:

(1) “derivatives broker” means any person licensed to undertake derivatives business in the category of derivatives broker;

(2) “market maker of gold derivatives” means any person registered as market maker with derivatives exchange licensed by the Securities and Exchange Commission, to provide liquidity for trading of gold derivatives in such derivatives exchange.

**Clause 2** A derivatives broker who acts as market maker of gold derivatives shall prepare and submit report on trading of securities and derivatives relating to gold in foreign countries for proprietary trading, which involves capital inflow or outflow, as per the forms and procedures provided by the Office in electronic systems or as per any other forms which the Office shall notify the derivatives broker in advance.

**Clause 3** This Notification shall come into force as from 16 July 2009.

Notified on this 3<sup>rd</sup> day of July 2009.

(Mr. Thirachai Phuvanatanarubala)

Secretary-General

The Office of the Securities and Exchange Commission

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**Remarks:** The reason for issuing this Notification: the fact that a derivatives broker acting as market maker of gold derivatives in derivatives trading center licensed by the Securities and Exchange Commission can manage risk or make arbitrage with trading of securities or derivatives relating to gold in foreign countries, it is therefore necessary to issue this Notification in order to monitor and control the volume of such transactions made by derivatives broker.