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**Notification of the Capital Market Supervisory Board**

**No. TorDor. 64/2552**

**Re: Rules, Conditions and Procedures for Brokerage of Securities which are Debt Instruments**

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By virtue of Section 16/6 and Section 113 of the Securities and Exchange Act B.E. 2535 (1992) as amended by the Securities and Exchange (No.4) B.E. 2551 (2008) which contains certain provisions in relation to the restriction of rights and liberties of persons 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 Securities and Exchange Commission acting as the Capital Market Supervisory Board under Section 60 of the Securities and Exchange Act (No. 4) B.E. 2551 (2008) hereby issues the following regulations:

**Clause 1.** In undertaking brokerage of securities which are debt instruments outside the Stock Exchange of Thailand, a securities company which obtains a license to undertake securities business in the category of securities brokerage shall comply with the provisions in the Notification of the Capital Market Supervisory Board governing rules, conditions and procedures for brokerage and dealing of securities which are not debt instruments or investment units as well as notifications of the Office of the Securities and Exchange Commission, orders and circular letters issued under or prescribing guidelines for compliance with the said Notification of the Capital Market Supervisory Board *mutatis mutandis*.

**Clause 2.** Any reference made in any other notifications to the Notification of the Securities and Exchange Commission No. KorThor. 45/2546 Re: Rules, Conditions and Procedures for Brokerage of Securities which are Debt Instruments dated 3 December 2003 shall mean reference to this Notification.

**Clause 3.** This Notification shall come into force as from 1 September 2009.

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

-Signature-  
(Vijit Supinit)  
Chairman  
Securities and Exchange Commission

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Remarks: The rationale for issuing this Notification: As the Securities and Exchange Act (No. 4) B.E. 2551 (2008) stipulates that the issuance of rules, conditions and procedures for securities brokerage of securities companies is under the authority of the Capital Market Supervisory Board, it is therefore deemed appropriate to issue this Notification as replacement for the Notification of the Securities and Exchange Commission No. KorThor. 45/2546 Re: Rules, Conditions and Procedures for Brokerage of Securities which are Debt Instruments dated 3 December 2003.