

(UNOFFICIAL TRANSLATION)

Readers should be aware that only the original Thai text has legal force, and that this English translation is strictly for reference.

**Notification of the Capital Market Advisory Board
No. Tor Thor. 59/2552
Re. Rules and Periods for Report Submission of Securities Companies**

By virtue of Section 16/6 of the *Securities and Exchange Act B.E. 2535 (1992)* as amended by the *Securities and Exchange Act (No. 4) B.E. 2551 (2008)* and Section 109 of the *Securities and Exchange Act B.E. 2535 (1992)* 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 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 Advisory Board pursuant to Section 60 of the *Securities and Exchange Act (No. 4) B.E. 2551 (2008)* hereby issues the following regulations.

Clause 1 The SEC Office shall require securities companies to submit reports or document, and determine periods of submission for the following issues.

- (1) Report of Financial Status and Operating Performance;
- (2) Securities Business Report;
- (3) Other reports as required by the SEC Office for the purposes of supervision and inspection of securities companies' status and operations.

Clause 2 Any Notifications of the Office of the Securities and Exchange Commission, orders and circulars issued under or prescribing guidelines in compliance with *Notification of the Securities and Exchange Commission Re. Rules and Periods for Report Submission of Securities Companies* dated 18 May 1992 which have been in effect prior to the effective date of this Notification shall remain in full force to the extent that they are neither inconsistent with nor contrary to the provisions of this Notification until notifications, orders and circulars issued under or prescribing guidelines in compliance with this Notification come into force.

Clause 3 Any reference made in any other notifications to the *Notification of the Securities and Exchange Commission Re. Rules and Periods for Report Submission of Securities Companies* dated 18 May 1992 shall mean the reference to this Notification.

Clause 4 This Notification shall come into force from 1 September 2009.

Notified this 3rd day of August 2009.

(Mr. Vijit Supinit)
Chairman
Securities and Exchange Commission

Remark: The rationale for promulgation of this Notification is that the *Securities and Exchange Act (No. 4) B.E. 2008* stipulates that the prescription of the rules and determination of periods for submission of reports or demonstration of document of securities companies shall be the authority of the Capital Market Supervisory Board; therefore, it deems appropriate to issue this Notification to replace *Notification of the Securities and Exchange Commission Re. Rules and Periods for Report Submission of Securities Companies* dated 18 May 1992.