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**Notification of the Securities and Exchange Commission**

**No. KorKhor. 25/2552**

**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)**

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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.** The 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Concerning Granting of Approval for Undertaking Securities Business B.E. 2551 (2008) dated 16 July 2008 shall be repealed.

**Clause 2.** Financial institutions established under a specific law shall apply for the following securities business licenses:

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

(Translation)

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**Clause 3.** Any financial institution licensed to undertake derivatives business in the category of derivatives broker limited to gold derivatives shall apply for the securities business license type D <sup>(s)</sup>.

**Clause 4.** This Notification shall come into force as from 1 December 2009.

Notified this 4<sup>th</sup> Day of November 2009.

- Signature -

(Vijit Supinit)

Chairman

Securities and Exchange Commission

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**Remarks:** The reason for issuing this Notification: (1) to compile all types of financial institute eligible to apply for securities business license into the same notification, and (2) to allow a financial institution licensed to undertake derivatives business in the category of derivatives broker limited to gold derivatives to apply for the securities business license type D <sup>(s)</sup>, so it deems appropriate to issue this Notification.