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**Notification of the Office of the Securities and Exchange Commission  
No. SorBor. 2/2554**

**Re: Determination of Fees for Filing of Registration Statement, Registration  
and Filing of Others Applications  
(No. 25)**

By virtue of Section 19(3) of the Securities and Exchange Act B.E. 2535 (1992) as amended by the Notification of Securities and Exchange Act (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 Office of the Securities and Exchange Commission hereby issues the following regulation:

**Clause 1.** The provision in (2) of Clause 18 of the Notification of the Office of the Securities and Exchange Commission No. SorBor. 28/2547 Re: Determination of Fees for Filing of Registration Statement, Registration and Filing of Other Applications dated 7 July 2004 as amended by the Notification of the Office of the Securities and Exchange Commission No. SorBor. 16/2553 Re: Determination of Fees for Filing of Registration Statement, Registration and Filing of Other Applications (No. 22) dated 13 May 2010 shall be repealed and replaced with the following provision:

“(2) application for general approval for establishment of mutual fund shall be Baht 25,000 per application by exempting the fees only for filing an application in replacing previous application already obtained general approval to establish mutual fund, but yet to offer for sale of investment units under such mutual fund, providing that the replacement is solely for the purpose of revising details of the supplementary document to comply with the law or regulation that the Securities and Exchange Commission, Capital Market Supervisory Board or the SEC Office promulgates after obtaining the approval thereof.”

**Clause 2.** The provision in (9) of Clause 18 of the Notification of the Office of the Securities and Exchange Commission No. SorBor. 28/2547 Re: Determination of Fees for Filing of Registration Statement, Registration and Filing of Other Applications dated 7 July 2004 as amended by the Notification of the Office of the Securities and Exchange Commission No. SorBor. 16/2553 Re: Determination of Fees for Filing of Registration Statement, Registration and Filing of Other Applications (No. 22) dated 13 May 2010 shall be repealed and replaced with the following provision:

“(9) application for amendment to the mutual fund scheme, regardless of whether before or after the registration of asset as mutual fund, shall be calculated by multiplying Baht 5000 and the number of amended items, providing that amended items shall be considered as follows:

(a) for mutual fund of which an application for establishment is filed via the automated approval system, the amended items that appears in such system shall be considered;

(b) for property funds in which an application for establishment is not filed via the automated approval system, consideration shall be made in accordance with the items specified in the Notification of the Office of the Securities and Exchange Commission concerning details of property funds scheme;

Application for amendment to the mutual fund scheme under the first paragraph, if affects several items such as changes of the mutual fund’s name or changes of the management company’s name, for instance, the calculation for the fees shall be considered as if it were amendment to single item;

Payment for the fees under the first paragraph shall not be applicable to the following cases:

(a) application for amendment to the mutual fund scheme which is being considered by the SEC Office for the establishment of mutual fund;

(b) application for amendment to the mutual fund scheme in order to comply with the law or regulation prescribed by the Securities and Exchange Commission, the Capital Market Supervisory Board or the SEC Office with the following characteristics:

1. being an application filed with the SEC Office prior to the initial offering for sale of investment units or;

2. being an application filed with the SEC Office after the registration of asset as mutual fund which has been certified by trustee of mutual fund;

(c) application for amendment to the mutual fund scheme favorable to unitholder of mutual fund which has been certified by trustee of mutual fund.”

**Clause 3.** This Notification shall come into force as from 16 January 2011.

Notified this 13<sup>th</sup> day of January 2011.

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(Thirachai Phuvanatanarubala)  
Secretary-General

Office of the Securities and Exchange Commission

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**Remark:** The rationale for issuing this Notification is to determine fee for the amendment to several items in the mutual fund scheme and grant exemption for application fee for general approval for establishment of mutual fund only for

filing an application in replacing previous application already obtained general approval to establish mutual fund to comply with the law or regulation prescribed by the Securities and Exchange Commission, Capital Market Supervisory Board or the SEC Office.