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**Notification of the Office of the Securities and Exchange Commission  
No. SorThor/Nor. 18/2554  
Re: Reporting on Investment of Securities Company according to Allocated  
Quota**  
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By virtue of the provision in of Clause 1(3) of the Notification of the Capital Market Supervisory Board No. TorThor. 59/2552 Re: Rules and Periods for Filing Report of Securities Company dated 3 August 2009, the SEC Office hereby issues the following regulations:

**Clause 1.** The Notification of the Office of the Securities and Exchange Commission No. SorThor/Nor. 8/2551 Re: Reporting of Offshore of Securities Investment of Securities Company shall be repealed.

**Clause 2.** This Notification shall be applicable to securities company licensed to undertake securities business in the following categories, but shall not be applicable to financial institution under supervision of other agencies and licensed to undertake securities business:

- (1) securities brokerage;
- (2) securities dealing;
- (3) securities underwriting;
- (4) mutual fund management;
- (5) private fund management;

**Clause 3.** Securities company shall prepare and submit report on investment of securities company which requires transferring of money out of or into the country according to quota allocated by the SEC Office, providing that such report shall be prepared and submitted in accordance with form and procedure provided on the SEC Office's website.

**Clause 4.** This Notification shall come into force as from 1 July 2011.

Notified this 20<sup>th</sup> day of June 2011.

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(Thirachai Phuvanatanarubala)  
Secretary-General  
Office of the Securities and Exchange Commission