

(UNOFFICIAL TRANSLATION)

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**Notification of the Office of the Securities and Exchange Commission  
No. SorThor. 19/2554  
Re: Report on Trading of Securities and Derivatives in Foreign Countries of  
Derivatives Broker under Quota Allocation**  
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By virtue of Section 14 and Section 19 of the Derivatives Act B.E. 2546 (2003) which contains certain provisions in relation to the restriction of rights and liberty of persons which Section 29 in conjunction with Section 33, Section 34, Section 36, Section 41, Section 43 and Section 45 of the Constitution of the Kingdom of Thailand so permits by virtue of law, the SEC Office hereby issues the following regulations:

**Clause 1** The Notification of the Office of the Securities and Exchange Commission No. SorThor. 19/2552 Re: Report on Trading of Securities and Derivatives in Foreign Countries of the Derivatives Broker dated 3 July 2009 shall be repealed.

**Clause 2** In this Notification:

“derivatives broker” means any person licensed to undertake derivatives business in the category of derivatives broker;

“market maker” means any person registered as market maker with derivatives exchange licensed by the Securities and Exchange Commission to provide liquidity for trading of derivatives on such derivatives exchange.

**Clause 3** A derivatives broker who acts as market maker shall prepare and submit report on trading of securities and derivatives in foreign countries for proprietary trading, which involves capital inflow or outflow, as per the forms and procedures 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