

(UNOFFICIAL TRANSLATION)

*Readers should be aware that only the original Thai text has legal force and that this English translation is strictly for reference. The SEC Thailand cannot undertake any responsibility for its accuracy nor be held liable for any loss or damages arising from or related to its use.*

-----  
**Notification of the Office of the Securities and Exchange Commission**  
**No. SorKhor. 39/2554**  
**Re: Extension for Period of Approval and Filing Application for Approval of**  
**Extension of Personnel in Capital Market Business in Special Circumstances**  
-----

Whereas the first paragraph of Section 134 of the Securities and Exchange Act B.E. 2535 (1992), as amended by the Securities and Exchange Act (No. 2) B.E. 2542 (1999) and the Notification of the Office of the Securities and Exchange Commission related to appointment and performing duty of fund manager and in relation to approval of investor contacts and standards of conduct specify that fund manager, property fund manager, derivatives fund manager, investor contact and derivatives investor contact shall receive an approval from the SEC Office and whereas the flood catastrophe may cause obstacle and inconvenience to such persons in filing for extension of approval, the SEC Office hereby issues the following order:

**Clause 1.** In this Notification:

“personnel in capital market business” means the following:

- (1) fund manager;
- (2) property fund manager;
- (3) derivatives fund manager;
- (4) investor contact;
- (5) derivatives investor contact;

**Clause 2.** Period of approval for personnel in the capital market that shall expire on 31 December 2011 shall be extended to 31 March 2012.

Personnel in the capital market under the first paragraph shall file application for extension of approval with the SEC Office within 31 March 2012, providing that such approval shall be valid until 31 December 2013.

**Clause 3.** Provision in Clause 2 shall not be applicable with personnel in the capital market that uses qualification of directorship or executive position which is not manager whose period of approval shall expire on 31 December 2011.

**Clause 4.** This Notification shall come into force as from 16 November 2011.

Notified this 3<sup>rd</sup> day of November 2011.

-signature-

(Vorapol Socratyanurak)

Secretary-General

Office of the Securities and Exchange Commission