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**Notification of the Securities and Exchange Commission
No. KorThor. 6/2555
Re: Registration of Derivatives Business Operator in the Category of
Derivatives Broker and Derivatives Dealer
(No. 2)**

By virtue of Section 9, third paragraph of Section 16 and Section 17(4) of the Derivative Act B.E. 2546 (2003) which contain certain provisions relating to the restriction of rights and liberties 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 permit by virtue of law, the Securities and Exchange Commission hereby issues the following regulations:

Clause 1. The following provision shall be added as (4) of Clause 4 of the Notification of the Securities and Exchange Commission No. KorThor. 11/2553 Re: Registration of Derivatives Business operator in the Category of Derivatives Broker and Derivatives Dealer dated 15 July 2010:

“(4) financial institution established under specific law in case of applying for registration as derivatives business operator in the category of derivatives broker and derivatives dealer;”

Clause 2. Provision in Clause 5 of the Notification of the Securities and Exchange Commission No. KorThor. 11/2553 Re: Registration of Derivatives Business Operator in the Category of Derivatives Broker and Derivatives Dealer dated 15 July 2010 shall be repealed and replaced with the following provision:

“Clause 5 Applicant for registration which are commercial bank, finance company, securities company or financial institution established under specific law under Clause 4(1), (2) and (4) shall have the following characteristics:

(1) being capable of undertaking derivatives business in the applying category under the law controlling business undertaking of such juristic person;

(2) being capable of maintaining capital fund and setting aside reserve in compliance with law controlling business undertaking of such juristic person;

(3) not being subject to restriction, suspension or cease order issued by supervisory agency of such juristic person;

(4) not having any fact apparent to the SEC Office that the financial status [of such juristic person] may cause damage or there is any other circumstance indicating financial hardship and not having any fact indicating incompetency or inappropriateness related to sound business’s control and operation.”

Clause 3. Provision in (1) of Clause 11 of the Notification of the Securities and Exchange Commission No. KorThor. 11/2553 Re: Registration of Derivatives Business Operator in the Category of Derivatives Broker and Derivatives Dealer dated 15 July 2010 shall be repealed and replaced with the following provision:

“(1) Registered persons which are commercial bank, finance company, securities company or financial institution established under specific law under Clause 4(1), (2) or (4) shall maintain characteristics under Clause 5;”

Clause 4. This Notification shall come into force as from 16 July 2012.

Notified this 29th day of June 2012.

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(Chaikasem Nitisiri)

Chairman

Securities and Exchange Commission