

**TRANSLATED VERSION**

As of November 21, 2008

*Readers should be aware that only the original Thai text has legal force and that this English translation is strictly for reference*

**Notification of the Securities and Exchange Commission**

**No. KorThor. 16/2555**

**Re: Determination of Types of Securities Having Characteristic  
Similar with Investment Units**

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By virtue of Section 14 of the *Securities and Exchange Act B.E. 2535 (1992)* as amended by the *Securities and Exchange Act (No. 4) B.E. 2551 (2008)* in conjunction with Clause 2 of *Ministerial Regulation concerning Granting Approval for Undertaking of Securities Business B.E. 2551 (2008)* as amended by *Ministerial Regulation concerning Granting Approval for Undertaking of Securities Business (No. 2) B.E. 2555 (2012)*, the Securities and Exchange Commission hereby issues the following regulations:

**Clause 1** Units of *foreign collective investment scheme* in the type of share is securities having investment characteristic similar with investment units. A person licensed to undertake Type C securities business and a person licensed to undertake Type D securities business is eligible to undertake securities business relating to such share.

For the purpose of the first paragraph, the term of “*foreign collective investment scheme*” means a collective investment scheme established under foreign law provided that it has been granted approval, registered or authorized by the regulator having authority to regulate such scheme.

**Clause 2** This Notification shall come into force as from 16 January 2013.

Notified this 21<sup>th</sup> day of November 2008.

-signature-  
(Chaikasem Nitisiri)  
Chairman

The Securities and Exchange Commission