

UNOFFICIAL TRANSLATION

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 Capital Market Supervisory Board
No. Tor Thor. 34/2556
Re: Repeal of the Notifications related to
Operation of Securities Business and Derivatives Business by
Securities Company and Derivatives Intermediary

By virtue of Section 16/6 and Section 113 of the *Securities and Exchange Act B.E. 2535 (1992)*, as amended by the *Securities and Exchange Act (No. 4) B.E. 2551 (2008)*, Section 114, Section 115, Section 116 and Section 117 of the *Securities and Exchange Act B.E. 2535 (1992)*, and Paragraph 2 of Section 133 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 Section 18 of the *Derivatives 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, Section 44, Section 45 and Section 64 of the *Constitution of the Kingdom of Thailand*, so permit by virtue of law, the Capital Market Supervisory Board hereby issues the following regulations:

Clause 1 The following Notifications shall be repealed:

- (1) The *Notification of the Capital Market Supervisory Board No. TorThor/Khor/Dor/Nor. 62/2552 Re: Requirements for Securities Company to Take Action concerning Complaints of Clients* dated 3 August 2009;
- (2) The *Notification of the Capital Market Supervisory Board No. Tor Thor. 63/2552 Re: Rules, Conditions and Procedures for Brokerage and Dealing of Securities Which Are Not Debt Instruments or Investment Units* dated 3 August 2009;
- (3) The *Notification of the Capital Market Supervisory Board No. Tor Thor. 1/2553 Re: Rules, Conditions and Procedures for Brokerage and Dealing of Securities Which Are Not Debt Instruments or Investment Units (No. 2)* dated 1 February 2010;

(4) *The Notification of the Capital Market Supervisory Board No. Tor Thor. 8/2555 Re: Rules, Conditions and Procedures for Brokerage and Dealing of Securities Which Are Not Debt Instruments or Investment Units (No. 3)* dated 18 January 2012;

(5) *The Notification of the Capital Market Supervisory Board No. Tor Thor. 52/2555 Re: Rules, Conditions and Procedures for Brokerage and Dealing of Securities Which Are Not Debt Instruments or Investment Units (No. 4)* dated 14 December 2012;

(6) *The Notification of the Capital Market Supervisory Board No. Tor Dor. 64/2552 Re: Rules, Conditions and Procedures for Brokerage of Securities Which Are Debt Instruments* dated 3 August 2009;

(7) *The Notification of the Capital Market Supervisory Board No. Tor Thor. 65/2552 Re: Rules, Conditions and Procedures for Over-the-Counter Securities Brokerage Off the Stock Exchange of Thailand* dated 3 August 2009;

(8) *The Notification of the Capital Market Supervisory Board No. Tor Dor. 67/2552 Re: Rules, Conditions and Procedures for Dealing of Debt Instruments* dated 3 August 2009;

(9) *The Notification of the Capital Market Supervisory Board No. Tor Thor. 9/2555 Re: Rules, Conditions and Procedures for Dealing of Debt Instruments (No. 2)* dated 18 January 2012;

(10) *The Notification of the Capital Market Supervisory Board No. Tor Thor. 21/2555 Re: Rules, Conditions and Procedures for Dealing of Debt Instruments (No 3)* dated 28 March 2012;

(11) *The Notification of the Capital Market Supervisory Board No. Tor Thor. 8/2556 Re: Rules, Conditions and Procedures for Dealing of Debt Instruments (No. 4)* dated 15 February 2013;

(12) *The Notification of the Capital Market Supervisory Board No. Tor Thor. 71/2552 Re: Rules, Conditions and Procedures for Controlling Operation of Securities Underwriting* dated 3 August 2009;

(13) *The Notification of the Capital Market Supervisory Board No. Tor Thor. 12/2555 Re: Rules, Conditions and Procedures for Controlling Operation of Securities Underwriting (No. 2)* dated 31 January 2012;

(14) *The Notification of the Capital Market Supervisory Board No. Tor Thor. 28/2555 Re: Rules, Conditions and Procedures for Controlling Operation of Securities Underwriting (No. 3)* dated 18 May 2012;

(15) *The Notification of the Capital Market Supervisory Board No. Tor Thor. 9/2556 Re: Rules, Conditions and Procedures for Controlling Operation of Securities Underwriting (No. 4)* dated 15 February 2013;

(16) *The Notification of the Capital Market Supervisory Board No. Tor Thor. 33/2556 Re: Rules, Conditions and Procedures for Controlling Operation of Securities Underwriting (No. 5)* dated 6 September 2013;

(17) *The Notification of the Capital Market Supervisory Board No. Tor Thor. 80/2552 Re: Rules on Undertaking of Derivatives Business for Licensed Derivatives Brokers* dated 3 August 2009;

(18) *The Notification of the Capital Market Supervisory Board No. Tor Thor. 2/2553 Re: Rules on Undertaking of Derivatives Business for Licensed Derivatives Brokers (No. 2)* dated 1 February 2010;

(19) *The Notification of the Capital Market Supervisory Board No. Tor Thor. 10/2555 Re: Rules on Undertaking of Derivatives Business for Licensed Derivatives Brokers (No. 3)* dated 18 January 2012;

(20) *The Notification of the Capital Market Supervisory Board No. Tor Thor. 53/2555 Re: Rules on Undertaking of Derivatives Business for Licensed Derivatives Brokers (No. 4)* dated 14 December 2012;

(21) *The Notification of the Capital Market Supervisory Board No. Tor Thor. 24/2556 Re: Rules on Undertaking of Derivatives Business for Licensed Derivatives Brokers (No. 5)* dated 4 April 2013;

(22) *The Notification of the Capital Market Supervisory Board No. Tor Thor. 27/2556 Re: Rules on Undertaking of Derivatives Business for Licensed Derivatives Brokers (No. 6)* dated 17 May 2013;

(23) *The Notification of the Capital Market Supervisory Board No. Tor Nor. 83/2552 Re: Rules on Derivatives Fund Management* dated 3 August 2009;

(24) *The Notification of the Capital Market Supervisory Board No. Tor Thor. 5/2555 Re: Rules on Derivatives Fund Management (No. 2) dated 18 January 2012;*

(25) *The Notification of the Capital Market Supervisory Board No. Tor Khor. 3/2553 Re: Rules, Conditions and Procedures for Undertaking Investment Advisory Business dated 1 February 2010;*

(26) *The Notification of the Capital Market Supervisory Board No. Tor Thor. 6/2555 Re: Rules, Conditions and Procedures for Undertaking Investment Advisory Business (No. 2) dated 18 January 2012;*

(27) *The Notification of the Capital Market Supervisory Board No. Tor Khor. 4/2553 Re: Rules on Undertaking of Derivatives Business for Licensed Derivatives Advisors dated 1 February 2010;*

(28) *The Notification of the Capital Market Supervisory Board No. Tor Thor. 7/2555 Re: Rules on Undertaking of Derivatives Business for Licensed Derivatives Advisors (No. 2) dated 18 January 2012;*

(29) *The Notification of the Capital Market Supervisory Board No. Tor Thor. 23/2553 Re: Rules on Undertaking of Derivatives Business for Licensed Derivatives Dealers dated 1 June 2010;*

(30) *The Notification of the Capital Market Supervisory Board No. Tor Thor. 25/2554 Re: Rules on Undertaking of Derivatives Business for Licensed Derivatives Dealers (No. 2) dated 6 September 2011;*

(31) *The Notification of the Capital Market Supervisory Board No. Tor Thor. 1/2556 Re: Rules on Undertaking of Derivatives Business for Licensed Derivatives Dealers (No.3) dated 4 January 2013;*

(32) *The Notification of the Capital Market Supervisory Board No. TorThor/Nor/Khor. 47/2553 Re: Rules for Providing Investment Advice and Services related to Trading of Investment Units dated 22 December 2010;*

(33) *The Notification of the Capital Market Supervisory Board No. Tor Thor. 11/2555 Re: Rules for Providing Investment Advice and Services related to Trading of Investment Units (No. 2) dated 31 January 2012;*

(34) *The Notification of the Capital Market Supervisory Board No. Tor Nor. 2/2556 Re: Rules for Providing Investment Advice and Services related to Trading of Investment Units (No. 3) dated 14 January 2013;*

(35) *The Notification of the Capital Market Supervisory Board No. Thor. 5/2556 Re: Provision of Securities Trading Services under Limited License for Institutional Investors, Major Investors or High Net Worth Investors, or Services related to Securities Having High Risks or Complexity* dated 15 February 2013;

(36) *The Notification of the Capital Market Supervisory Board No. Thor. 23/2556 Re: Rules, Conditions and Procedures for Advertising and Sale Promotion of Intermediary* dated 4 April 2013.

Clause 2 This Notification shall come into force as from 1 April 2014.

Notified this 6th day of September 2013.

(Vorapol Socratyanurak)

Secretary-General

Office of the Securities and Exchange Commission

Chairman

Capital Market Supervisory Board