

## 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 Lor Thor. 14/2557  
Re: The Repeal of Notifications related to Directors, Managers and  
Other Personnel of Securities Companies and  
Derivatives Business Operators**

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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 100, Section 103(9) and (10), Section 109, Section 114, Section 115, Section 116 and Section 117 of the *Securities and Exchange Act B.E. 2535 (1992)*, Paragraph 2 of Section 133 and Section 134 of the *Securities and Exchange Act B.E. 2535*, as amended by the *Securities and Exchange Act (No. 2) B.E. 2542 (1999)*, and Section 15, Section 18, Section 23(3) and (5), and Paragraph 1 of Section 24 of the *Derivatives Act B.E. 2546 (2003)*, the Capital Market Supervisory Board hereby issues the following regulations:

The following Notifications shall be repealed:

- (1) The *Notification of the Capital Market Supervisory Board No. TorThor/Nor/Khor. 58/2552 Re: Qualifications and Other Prohibited Characteristics of Directors and Executives of Securities Companies* dated 3 August 2009;
- (2) The *Notification of the Capital Market Supervisory Board No. TorThor/Nor/Khor. 5/2553 Re: Qualifications and Other Prohibited Characteristics of Directors and Executives of Securities Companies (No. 2)* dated 1 February 2010;
- (3) The *Notification of the Capital Market Supervisory Board No. TorThor/Nor/Khor. 38/2553 Re: Qualifications and Other Prohibited Characteristics of Directors and Executives of Securities Companies (No. 3)* dated 15 September 2010;
- (4) The *Notification of the Capital Market Supervisory Board No. TorThor/Nor/Khor. 87/2552 Re: Qualifications and Prohibited Characteristics of Directors and Executives of Derivatives Business Operators* dated 3 August 2009;
- (5) The *Notification of the Capital Market Supervisory Board No. TorThor/Nor/Khor. 6/2553 Re: Qualifications and Prohibited Characteristics of Directors and Executives of Derivatives Business Operators (No. 2)* dated 1 February 2010;
- (6) The *Notification of the Capital Market Supervisory Board No. TorThor/Nor/Khor. 39/2553 Re: Qualifications and Prohibited Characteristics of Directors and Executives of Derivatives Business Operators (No. 3)* dated 15 September 2010;
- (7) The *Notification of the Capital Market Supervisory Board No. TorThor/Nor/Khor. 37/2553 Re: Prohibited Characteristics of Personnel in Capital Market Business* dated 15 September 2010;
- (8) The *Notification of the Capital Market Supervisory Board No. TorThor/Nor/Khor. 23/2554 Re: Prohibited Characteristics of Personnel in Capital Market Business (No. 2)* dated 25 August 2011;

(9) *The Notification of the Capital Market Supervisory Board No. Tor Lor Thor. 3/2555 Re: Granting of Approval to Personnel of Intermediaries for Performing Duty of Analyzing Investment and Giving Investment Advice* dated 18 January 2012;

(10) *The Notification of the Capital Market Supervisory Board No. Tor Lor Thor. 15/2555 Re: Granting of Approval to Personnel of Intermediaries for Performing Duty of Analyzing Investment and Giving Investment Advice (No. 2)* dated 19 March 2012;

(11) *The Notification of the Capital Market Supervisory Board No. Tor Lor Thor. 6/2556 Re: Granting of Approval to Personnel of Intermediaries for Performing Duty of Analyzing Investment and Giving Investment Advice (No. 3)* dated 15 February 2013;

(12) *The Notification of the Capital Market Supervisory Board No. Tor Lor Thor. 52/2556 Re: Granting of Approval to Personnel of Intermediaries for Performing Duty of Analyzing Investment and Giving Investment Advice (No. 4)* dated 20 December March 2013;

**Clause 2** This Notification shall come into force from 1 July 2014.

Notified this 3<sup>Rd</sup> Day of June 2014.

(Mr. Vorapol Socratyanurak)  
Secretary-General  
Office of the Securities and Exchange Commission  
Chairman  
Capital Market Supervisory Board