

**Application for registration as a foreign auditor**

Date.....

Dear Secretary General of the Securities and Exchange Commission of Thailand

I, Mr./Mrs./Miss ..... (applicant's name) wish to be approved as a foreign auditor in the capital market under the Notification of the Office of the Securities and Exchange Commission No. SorShor 30/2558 dated 9 April 2015 Re: Approval of Foreign Auditors in the Capital Market according to the (select only one that apply)

- Clause 6(1) of the Notification of the Office of the Securities and Exchange Commission No. SorShor 30/2558 Re: Approval of Foreign Auditors in the Capital Market (Fast Track)
  
- Clause 6(2) of the Notification of the Office of the Securities and Exchange Commission No. SorShor 30/2558 Re: Approval of Foreign Auditors in the Capital Market (Normal)

I hereby attach the supporting documents required by the Securities and Exchange Commission Office ("SEC Office") and confirm my willingness to provide any other information upon the SEC Office's request. I allow and will facilitate the SEC Office's inspection of audit quality of my own work and audit quality control system of the audit firm, both before and throughout the approval period.

For the purpose of submitting this application by post, I hereby consent to formally interact with the SEC Office and be officially informed by the SEC Office via e-mail. In addition, in case my application is incomplete and the SEC Office has already informed such incompleteness by e-mail, it is deemed that I entirely assent to such informed incompleteness as well as the period of time to rectify the application or additionally deliver evidentiary documentation as specified by the SEC Office.

Yours Sincerely,

Signature.....

Name (.....)

CPA No..... Issued by .....

Audit Firm Name .....

Country .....

**Document Checklists - Fast Track**

**Document Checklists for Fast Track Applicants** (Please mark X for all that apply)

<b>Documents</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Reasons for No and N/A</b>
(1) Form 61-1F Application for registration as a foreign auditor in the capital market. Signature of the applicant is required.				
(2) Applicant's personal record and firm's profile in the form as publicized in the SEC's website. Signature of the applicant is required.				
(3) Certification of auditor's professional qualification in the form as publicized in the SEC's website. Signature of the applicant is required.				
(4) Certification of audit firm's leader. Signature of audit firm's leader is required.				
(5) Form 61-2F Certification and consensus of audit firm in the form as publicized in the SEC's website. Signatures of audit firm's leader and authorized director are required.				
(6) Photocopy of the applicant's passport. Signature of the applicant to certify true copy is required.				
(7) Photocopy of an evidence of certified public accountant. Signature of the applicant to certify true copy is required.				
(8) Photocopy of an evidence of registration as an auditor with an audit oversight authority. Signature of the applicant to certify true copy is required.				
(9) Photocopy of the latest inspection result or report issued by the audit oversight authority. Signature of the applicant to certify true copy is required.				
(10) Photocopy of evidence of your audit firm's registration with corporate registrar and shareholders' list. Signatures of the audit firm's leader and authorized director are required every page.				
(11) Photocopy of financial statements of audit firm for the 3 recent years before filing the application. Signature of the audit firm's leader and authorized director with audit firm's seal (if any) are required every page.				

**Document Checklist - Normal**

**Document Checklists for Normal Applicants** (Please mark X for all that apply)

<b>Documents</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Reasons for No and N/A</b>
(1) Form 61-1F Application for registration as a foreign auditor in the capital market. Signature of the applicant is required.				
(2) Applicant's personal information in the form as publicized in the SEC's website. Signature of the applicant is required.				
(3) Audit firm's profile in the form as publicized in the SEC's website. Signatures of the audit firm's leader and authorized director and company's seal (if any) are required every page.				
(4) Certification of auditor's professional qualification in the form as publicized in the SEC's website. Signature of the applicant is required.				
(5) Certification of audit firm's leader. Signature of the audit firm's leader is required.				
(6) Form 61-2F Certification and consensus of audit firm in the form as publicized in the SEC's website. Signatures of the audit firm's leader and authorized director are required.				
(7) Photocopy of the applicant's passport. Signature of the applicant to certify true copy is required.				
(8) Photocopy of an evidence of certified public accountant. Signature of the applicant to certify true copy is required.				
(9) Photocopy of an evidence of registration as an auditor with an audit oversight authority. Signature of the applicant to certify true copy is required.				
(10) Photocopy of the latest inspection result or report issued by all of the following parties (if any); <ul style="list-style-type: none"> <li>- the audit oversight authority</li> <li>- professional body</li> <li>- network firm</li> <li>- firm's internal monitoring</li> </ul> Signature of the applicant to certify true copy is required.				
(11) Photocopy of evidence of your audit firm's registration with corporate registrar and shareholders' list. Signature of the audit firm's leader and authorized director are required every page.				
(12) Photocopy of financial statements of audit firm for the 3 recent years before filing the application. Signatures of the audit firm's leader and authorized director and audit firm's seal (if any) are required every page.				