

TRANSLATED VERSION

As of June 12, 2015.

*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. TorThor. 23/2558**

**Re: Custody of Clients' Assets by Securities Companies  
(No. 4)**

---

By virtue of Section 16/6 of the *Securities and Exchange Act B.E. 2535 (1992)* as amended by the *Securities and Exchange Act (No. 4) B.E. 2551 (2008)*, and Section 98(3) of the *Securities and Exchange Act B.E. 2535 (1992)*, the Capital Market Supervisory Board hereby issues the following regulations:

**Clause 1** The provisions under Clause 15 of the *Notification of the Capital Market Supervisory Board No. TorThor. 43/2552 Re: Custody of Clients' Assets by Securities Companies dated 3 August 2009* shall be repealed and replaced with the following provisions:

“Clause 15 A securities company shall send a report on a client’s assets as of the last business day of each month to the client within the fifth business day of the following month, except the month where no transaction causes a movement or change in the client’s assets under custody of such securities company or in cases under the second paragraph.

In cases where it appears that a client does not have any transaction which causes a movement or change in the client’s assets for a consecutive period of one year or longer, the securities company shall send a report on the client’s assets as of the last business day of the month when the one year period expires to the client at least once a year within the fifth business day of the following month, except the case where the client does not have any asset left under custody of the securities company and where the client’s account is suspended from making transactions in compliance with the rules of such securities company.

For the benefit of providing reports on clients’ assets, payment of interest shall not be deemed as a transaction causing a movement or change in clients’ assets.”

**Clause 2** This Notification shall come into force as from 16 July 2015.

Notified this 12th day of June 2015.

- Signature -

Rapee Sucharitakul

Chairman

Capital Market Supervisory Board

Secretary-General

Office of the Securities and Exchange Commission