

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 Office of the Securities and Exchange Commission

No. Sor Jor. 21/2561

**Re: Report of Important Events of Mutual Funds and
Property Investment Trusts and Infrastructure Investment Trusts**

By virtue of Section 57(6) of the *Securities and Exchange Act B.E. 2535 (1992)* and Clause 12 (9) of the *Notification of the Capital Market Supervisory Board No. Thor Nor. 90/2558 Re: Criteria for Management of Property Mutual Funds* dated 17 December 2015 and Clause 86 of the *Notification of the Capital Market Supervisory Board No. Thor Nor. 1/2554 Re: Criteria and Conditions for Establishment of Infrastructure Funds* dated 10 January 2011, the Office of the Securities and Exchange Commission hereby issues the following regulations:

Clause 1 The *Notification of the Office of the Securities and Exchange Commission No. Sor Jor. 28/2555 Re: Report of Important Events of Real Estate Investment Trusts after Offering for Sale of Securities* dated 21 November 2012 shall be repealed.

Clause 2 In this Notification:

“**mutual fund**” means a property mutual fund and an infrastructure mutual fund;

“**property fund**” means a property fund established under the *Securities and Exchange Act B.E. 2535 (1992)*, but excluding a special property fund;

“**special property fund**” means the following mutual funds:

- (1) property funds for resolving financial institution problems;
- (2) mutual funds for resolving financial institution problems;
- (3) property and loan funds;

“**infrastructure fund**” means an infrastructure fund established under the *Securities and Exchange Act B.E. 2535 (1992)*;

“**trust**” means a real estate investment trust and an infrastructure investment trust;

“**real estate investment trust**” means a real estate investment trust established under the *Trust for Transactions in Capital Market Act B.E. 2550 (2007)*;

“**infrastructure investment trust**” means an infrastructure investment trust established under the *Trust for Transactions in Capital Market Act B.E. 2550 (2007)*;

“**Stock Exchange**” means the Stock Exchange of Thailand;

“**registered capital fund**” means the capital fund that the management company receives from selling investment units and is registered with the SEC Office;

“**management company**” means a securities company licensed to operate the securities business in the category of mutual fund management.

Clause 3 The mutual fund or trust shall report the SEC Office without delay in case of an occurrence of the following events:

- (1) the mutual fund or trust suffer serious damage;
- (2) the mutual fund or trust fails to manage interests from its properties, in whole or in part, as the case may be;
- (3) the mutual fund or trust alters its objective or investment policy;
- (4) any circumstance that results or may result in the dissolution of the mutual fund or trust.

Clause 4 The report under Clause 3 shall contain the following particulars:

- (1) information of the mutual fund or trust as follows:
 - (a) in the case of a mutual fund, the name, the period, the date of registration of pools of assets as a mutual fund and the amount of registered capital fund, the name of the management company, and the name of the fund supervisor;
 - (b) in the case of a trust, the name, the period, the date of trust settlement, and the amount of capital fund of the trust, the name of the trust manager, and the name of the trustee;
- (2) details of the circumstance under Clause 3 such as the date of occurrence and the causes of such circumstance , etc.;
- (3) action plan for mitigation of impacts that may affect the mutual fund or trust in the case of the events under Clause 3(1) and (2);
- (4) any other information that is necessary for decision-making of the investors (if any).

Clause 5 This Notification shall come into force as from 16 March 2018.

Notified this 19th day of February 2018.

(Mr. Rapee Sucharitakul)
Secretary-General
Office of the Securities and Exchange Commission