

*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**

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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Events of Real Estate Investment Trusts after Offering for Sale of Securities* dated 21 November 2012 shall be repealed.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 19<sup>th</sup> day of February 2018.

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