

(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 Securities and Exchange Commission**

**No. KorNor/Yor. 43/2545**

**Re: Securities Company Granted an Exemption from Application for  
Approval of Person to be Major Shareholder**

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By virtue of Section 14 of the *Securities and Exchange Act B.E. 2535 (1992)* and Clause 1 of the *Notification of the Ministry of Finance Re: Prescription of Conditions for Securities Company to Apply for Approval of Person to be Major Shareholder* dated 23 February 2000, as amended by the *Notification of the Ministry of Finance Re: Prescription of Conditions for Securities Company to Apply for Approval of Person to be Major Shareholder (No. 2)* dated 4 April 2002, the Securities and Exchange Commission hereby issues the following regulations:

**Clause 1** A securities company licensed to undertake securities business in the following categories is not required to apply for approval of person as major shareholder:

(1) a securities company licensed to undertake securities business in the category of investment advisory service, which is a limited company or a public limited company newly established in accordance with Clause 1(6) of the *Ministerial Regulation concerning Granting of Approval for Undertaking Securities Business in the Category of Investment Advisory Service B.E. 2545 (2002)*;

(2) a securities company licensed to undertake securities business in the category of venture capital management;

(3) a securities company licensed to undertake securities business in the category of securities inter-dealer brokerage.

**Clause 2** This Notification shall come into force from 16 July 2002.

Notified this 9<sup>th</sup> day of July 2002.

(Mr. Somkid Jatusripitak)  
Minister of Finance  
Chairman  
Securities and Exchange Commission