

## NOTIFICATION OF THE STOCK EXCHANGE OF THAILAND

### Re: Rules, Conditions and Procedures for Filing of Reports and Financial Statements

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By virtue of Clause 14 (5) of the Regulations of the Stock Exchange of Thailand Re: Membership Rules dated July 11, 1994, the Stock Exchange of Thailand hereby issues the following regulations:

1. A member shall file the following financial statements and reports with the Exchange:

(1) Balance sheets and profit and loss statements for every accounting period for the first 6 months or 1 year, which an auditor has examined and given opinion on, together with the auditor's report. The balance sheet and profit and loss statements for the first 6 month accounting period shall be filed within 3 months from the date of the ending of the accounting period and for the accounting year period within 4 months from the date of the ending of the accounting year.

(2) A list of names of the first 20 major shareholders as of the last day of the last month of a quarter, e.g. March, June, September and December and as of the date of the shareholders general meeting, shall be filed within 15 days from the last day of the last month of the quarter or from the date of the shareholders general meeting, as the case may be.

2. When the following events occurs, a member shall report and give reason in writing to the Exchange within the following specified period:

(1) events which must be reported immediately at the time of occurrence:

(a) a serious damage to the company;

(b) the company ceases its operation, in whole or in part;

(c) the company changes its objective or type of business;

(d) the company performs or is under an action of the taking over characteristic or is being taken over pursuant to Section 247 of the Securities and Exchange Act B.E. 2535 (A.D. 1992).

(2) events which must be reported on the following business day after the occurrence:

(a) entering into an agreement which transfers part or all of the company's management power to another person;

(b) the company's board of director resolves to increase or reduce the capital;

(c) the company's board of directors resolves to amalgamate with another company;

(d) the company's board of directors resolves to acquire securities of any company in the amount exceeding ten percent of the total registered capital of such company;

Report of events under (2) (a) shall contain the material contents of the agreement with a copy of such agreement attached.

In the case of events under (2) (b) or (c), after the partnerships and companies registrar has registered the increase of capital, reduction of capital or amalgamation, the evidence of such registration shall be filed with the Exchange within 7 days from the date of the registration effected by the registrar.

(3) Events which must be reported within 3 business days from the date of occurrence:

(a) change of a director, manager, officer or person having power in the management of the company;

(b) relocation of the head office, opening, closing or relocation of a branch office or securities service office of the company;

(c) the company's shareholders meeting resolves to amend the memorandum of association or by-laws of the company.

In the cases under (3) (a) or (b), after the Office of the Securities and Exchange Commission has permitted or approved such events, the evidence of such permission or approval shall be submitted to the Exchange within 7 days from the date of permission or approval.

In the cases under (3) if the registration with the partnerships and companies registrar is required, such registration evidence shall be submitted to the Exchange within 7 days from the date of registration effected by the registrar.

**3.** A member shall file the following reports within the period and in the forms specified in the Annexes attached hereto.

(1) financial condition report;

(2) operational result report;

(3) report of loans for the securities purchase with the securities placed as collateral by the securities;

(4) report of securities investment account;

(5) report of securities trading volume;

(6) report of the sale of listed securities not being in possession.

For the purpose of supervision and inspection of securities trading, financial condition and operation of members, the Exchange may instruct members to file other reports within the period as it may see fit.

#### **Transitional Provisions**

**4.** During the three month period from the date of the effectiveness of this Notification, Clause 3 shall not be applied. Members shall continue to perform in accordance with Clause 4 of the Notification of the Stock Exchange of Thailand Re: Requirement of Members to Submit Reports and Financial Statement dated March 2, 1976, until the expiry of such period.

This Notification shall come into force on the 11th day of July 1994.

Notified on this 11th day of July 1994.

(Signed) Seri Chintanaseri

(Mr. Seri Chintanaseri)  
President