

## NOTIFICATION OF THE STOCK EXCHANGE OF THAILAND

### Re : Off-Hour Trading, 2000

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By virtue of Clause 4 and Clause 11 of the Regulations of the Stock Exchange of Thailand Re: Trading, Clearing and Settlement of Securities on the Exchange (No. 2), 1999 dated August 31, 1999,

The Stock Exchange of Thailand hereby issues the following regulations:

1. This Notification shall come into force on May 2, 2000.

2. A member may trade securities in off-hour trading by starting the trade upon the commencement of the closure of trading on the main board during the second session of the trading during daily business hours until 17.00 hours, and complying with the rules and procedures hereunder.

In the case that the Exchange temporarily changes off-hour trading according to the Regulations of the Exchange Re: Trading, Clearing and Settlement of Securities on the Exchange, the Exchange may temporarily change the time for off-hour trading as the Exchange considers appropriate.

\*3. The trading may be carried out on the main board, big lot board or foreign board.

A bid or offer under the first paragraph shall be subject to the following SET regulations providing that they are not contrary to or inconsistent with this notification:

(1) Notification of the Exchange re: Trading on the main board except in the part concerning the spread and the change of maximum or minimum bid and offer of securities in each day.

The trading on the main board must not be a big lot trade and price for the above trading shall be the price at which the buyer and the seller agree to trade the securities at the closing price or average price of the securities during daily business hours on the day on which such securities are traded. In the case that there is no trading of such securities during daily business hours, the closing price on the preceding business day of such securities shall be the trading price;

(2) Notification of the Exchange re: Trading on the big lot board;

(3) Notification of the Exchange re: Trading on the foreign board.

Each trading on the foreign board must not be a big lot trade.

(\*Amended January 23, 2009)

4. The trading may be carried out in the following two ways:

(1) Trading between members (Two-firm Put-through);

(2) Trading whereby buying member and selling member are the same (One-firm Put-through).

**5.** The trading under Clause 4(1) shall be undertaken by negotiation between buying member and selling member. If the members can reach an agreement, they shall record the trade into the trading system.

The member may advertise the bid or offer of securities in the trading system by specifying the bid and offer price of securities in the advertisement, provided that such advertisement shall not be binding on the member to the effect that the member must agree to buy or sell according to the advertisement.

The record of the trading into the trading system under the first paragraph shall be made as follows:

(1) The selling member records the trading with particulars under Clause 7 with the identification number of the buying member as well as identification number of the buying member's authorized officer into the trading system; and

(2) The buying member confirms the trading through the trading system.

The trading shall be valid upon the confirmation of such trading into the trading system by the buying member.

**6.** The trading under Clause 4(2) shall be proceeded by the following:

(1) The member's customer shall enter into negotiation. If they can reach an agreement, the member shall record the trading with particulars under Clause 7 into the trading system; or

(2) The member and its customer enter into negotiation. If the member and its customer can reach an agreement, the member shall record the trading with particulars under Clause 7 into the trading system.

**7.** The recording of the trading into the trading system shall have at least the following particulars:

- (1) Name of securities;
- (2) Trading price;
- (3) Quantity of securities;
- (4) Type of trading board;
- (5) Account number of customer;
- (6) Category of trader;
- (7) Member's identification number;
- (8) Authorized officer's identification number;
- (9) Other particulars as prescribed by the Exchange.

**8.** The member shall record the trading under Clause 5 and Clause 6 into the trading system during the period of time stipulated under Clause 2 within 15 minutes as from the time of the trading having been taken place.

**9.** The member may not change or cancel its trading except with the consent from the counter-party member and the approval from the Exchange.

A request for an approval to change or cancel the trading to the Exchange under the first paragraph shall be made by the member through the trading system within the period of time stipulated under Clause 2.

The change or cancellation of the trading shall be effective upon the approval of the Exchange.

**\*10.** -  
(\*Repealed January 23, 2009.)

Notified on this 21st day of April 2000.

(Signed) Vicharat Vichit-Vadakan

(Mr. Vicharat Vichit-Vadakan)  
President