

(UNOFFICIAL TRANSLATION)

(Bor.Jor./Por.02-00)

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**REGULATIONS OF THE STOCK EXCHANGE OF THAILAND**

**Re : Preparation and Disclosure of Reports on Securities Holdings, 2001**

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Whereas both the Office of the Securities and Exchange Commission and the Stock Exchange of Thailand have authority to supervise the preparation and disclosure of reports on securities holdings of a listed company's management and auditors, for which its management and auditor, as well as the Securities and Exchange Commission and the Stock Exchange of Thailand have signed a memorandum of understanding which prescribed that the Securities and Exchange Commission shall supervise such disclosure of reports on securities holdings of the listed company's management and auditor to be sufficient and of the same standard.

By virtue of Section 59 of the Securities and Exchange Act B.E. 2535 (A.D. 1992) which shall apply in accordance with Section 199 of the same Act, the Board of Governors of the Stock Exchange of Thailand hereby issues the following Regulations, in order to accomplish the objectives of a such a memorandum of understanding:

1. This Notification shall come into force on February 1, 2001.

2. The Notification of the Stock Exchange of Thailand Re: Rules, Conditions and Procedures Governing to the Preparation and Disclosure of Reports on Securities Holdings dated August 15, 1997 shall be repealed.

3. In these Regulations:

"Exchange" means the Stock Exchange of Thailand;

"Office" means the Office of the Securities and Exchange Commission;

"listed company" means a company of which ordinary shares are listed on the Exchange;

"the Notification of Office" means the Notification of the Office of the Securities and Exchange Commission Governing Preparation and Disclosure of Reports on Securities Holdings;

"securities" means shares or convertible securities under the Notification of Office;

"management" means a management of a listed company under the Notification of Office;

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\*"Notification of SEC" means the Notification of the Office of the Securities and Exchange Commission Re: Preparation and Disclosure of Reports on Securities Holdings of the Director, Management and Auditor.

*(\*Added August 1, 2011)*

**\*4.** Any director, management or auditor shall prepare and submit a report to the Office on his/her securities holdings in the listed company in which he/she is a director, management or an auditor of and the securities holdings of his/her spouse and any minor child under lists, rules and time period prescribed in the Notification of Office

In case that any management and auditor have prepared and submitted a report on securities holdings to the Office under Section 59 of the Securities and Exchange Act B.E. 2535 (A.D. 1992), such director, management and auditor need not prepare and submit a report on such securities holdings to the Office under these regulations.

*(\*Amended August 1, 2011)*

Notified on this 22nd day of January 2001.

(Signed) Amaret Sila-on

(Mr.Amaret Sila-on)  
Chairman of the Board  
The Stock Exchange of Thailand