

**NOTIFICATION OF THE STOCK EXCHANGE OF THAILAND**  
**Re : Buy-In Transaction, 2006**

---

By virtue of Clause 4 and Clause 33 of the Regulations of the Stock Exchange of Thailand Re: Trading, Clearing and Settlement of Securities in 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 October 2, 2006.

**Effectiveness**

2. In this Notification:

**Definition**

“Clearing House” means a limited company which is established by the Exchange in order to operate as a center to provide services of clearing and settlement of securities traded as well as providing other related services;

“Buy-In Transaction” (Buy-in) means the purchase of securities by the Clearing House for the purpose of delivery in the case where its member is unable to deliver the securities traded to the Clearing House within the time prescribed by the Clearing House;

3. Buy-in shall be made on the big lot board and the member shall record such trading which has the particulars as provided under Clause 5 into the trading system, where the trading purchasing member and selling member shall be the same (One-firm Put-through).

**Trading board and method**

The Regulations of the Exchange Re: Rules, Conditions and Procedures for Trading on the big lot board, shall not be applied to Buy-in and the provisions of this Notification shall be apply instead.

4. The Buy-in shall be proceeded by the following:

**The recording and effect of trading**

(1) Negotiation of the clients of member. Upon the agreement having been made by such clients, the member shall record such trading which has the particulars as provided under Clause 5 into the trading system; or

(2) Negotiation of the member and its client. Upon the agreement having been made by the member and its client, the member shall record such trading which has the particulars as provided under Clause 5 into the trading system. Trading shall be effective upon the member performing of such trading has recorded such trading into the trading system.

Trading shall be effective upon the member performing of such trading according to the first paragraph has recorded such trading into the trading system.

5. The recording of trading into the trading system shall have the following particulars as minimum:

**The minimum recording of trading**

- (1) Name of securities ;
- (2) Trading price ;
- (3) Quantity of securities ;
- (4) Type of trading board ;
- (5) The figure 3 ;
- (6) Account number of customer ;
- (7) Category of trader ;
- (8) Member's identification number ;

- (9) Authorized officer's identification number ;
- (10) Other particulars as stipulated by the Exchange.

6. A member shall record the trading for Buy-in into the trading system within the period prescribed by the Exchange.

**the period recording of trading**

7. The rules regarding the changing of the maximum and minimum bid and offer price of securities in each day and the amendment or cancellation of bid or offer or trading under the Regulations of the Exchange Re: Trading on the Main Board , shall not be applied to Buy-in.

**No application of Ceiling & Floor and the amendment or cancellation of bid or offer or trading provisions**

8. A request for an approval to cancel the trading made to the Exchange shall be made by the member through the trading system within the period prescribed by the Exchange.

**A cancellation of the trading**

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

9. The rules regarding the spread and board lot under the Regulations of the Exchange Re: Trading, Clearing and Settlement of Securities in the Exchange and the Regulations of the Exchange Re: Trading on the Main Board, shall be applied to Buy-in.

**Application of the spread and board lot provisions**

Notified on this 2rd day of October 2006.

(Signed Patareeya Benjapolchai)

(Patareeya Benjapolchai)  
President

---

Rationale of the Notification: The Exchange deems that Buy-in shall reduce risk and protect the damage of all Clearing and Settlement system. Therefore, it is expedient to issue this Notification.