

## NOTIFICATION OF THE STOCK EXCHANGE OF THAILAND

### **Re : Listed Securities Account Held by a Securities Company as collateral Against Loan Repayment**

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By virtue of Section 195(1) of the Securities and Exchange Act B.E. 2535 (A.D. 1992), The Stock Exchange of Thailand hereby issues the following regulations:

**1.** In this Notification,

"Exchange" means the Stock Exchange of Thailand.

"securities" means listed securities.

"securities company" means a securities company which holds the securities of a securities owner as collateral against loan repayments.

*(\*Amended July 9, 2008)*

**\*2.** The securities company shall provide an account of the securities held by it as collateral against loan repayments.

*(\*Amended July 9, 2008)*

The securities account under the first paragraph shall contain at least the following particulars:

- (1) Name and type of the securities;
- (2) Date of holding the securities as collateral against loan repayments;
- (3) The amount of securities actually taken and disposed of by the securities company and the net balance as at the end of the business day;
- (4) Name of the owner of the securities held by the securities company as collateral against loan repayments;
- (5) The amount of securities registered for the transfer, or requested for an issue, of a new securities certificate with the issuer by the securities company where the securities company has not yet received such securities from the issuer;
- (6) The amount of securities deposited by the securities company with the Thailand Securities Depository Company Limited (TSD) in a securities depository account in the name of the securities company itself, or of TSFC Securities Limited;
- (7) The amount of securities deposited by the securities company with other financial institutions specified by the Exchange.

In the event the securities company is unable to record items (2) and (3), the securities company may use the date and the amount of securities purchased or sold instead of such item. However, if the securities company did not receive or dispose of the securities according to the amount recorded on the due date for receipt or disposition of the securities, the securities company shall record the actual date and amount of securities received or disposed of together with the reasons why the securities company did not receive or dispose of such securities.

3. The securities company shall prepare a securities account under Clause 2 for each security and shall enter the relevant transactions accurately, completely and truthfully within the next business day.

The securities company shall be at all times ready for the examination of the securities account under Clause 2.

This notification shall come into force on 17th day of February 1997.

Notified on this 17th day of February 1997.

(Signed) Singh Tangtatswas

(Mr. Singh Tangtatswas)  
President