

**CHAPTER 2**  
**Trading of Securities**

|   | <i>Page</i> |
|---|-------------|
| <b><u>Trading of Securities</u></b>   |             |
| (Bor.Sor./Saw.01-00) Trading, Clearing and Settlement of Securities in the Exchange (No.2), 1999 .....                          | 127         |
| <b><u>Trading of Securities Through Internet System</u></b>   |             |
| (Bor.Sor./Saw.02-00) Trading of Securities Through Internet, 2005.....  | 141         |
| (Bor.Sor./Saw.02-01) Standards of the Trading of Securities Through Internet, 2005 .....  | 149         |
| <b><u>Trading of Securities Through DMA System</u></b>  |             |
| (Bor.Sor./Saw.04-00) Securities trading through the DMA system, 2007.....   | 157/1       |
| (Bor.Sor./Saw.04-01) Standards of securities trading through the DMA system, 2007.....  | 157/7       |
| <b><u>Trading of Securities System</u></b>  |             |
| (Bor.Sor./Saw.01-01) Trading of Securities through the Exchange’s Trading System, 2005 ...                                      | 159         |
| <b><u>Board of Trading</u></b>  |             |
| (Bor.Sor./Saw.01-02) Trading on the Main Board (No.1), 1999 .....   | 173         |
| (Bor.Sor./Saw.01-03) Trading on the Odd Lot Board (No.1), 1999 .....  | 179         |
| (Bor.Sor./Saw.01-04) Rules, Conditions and Procedures relating to Trading on the Big Lot Board (No.1), 1998.....                | 181         |
| (Bor.Sor./Saw.01-05) Rules, Conditions and Procedures for Trading on the Foreign Board (No.1), 1998 .....                       | 185         |
| <b><u>Computer Programs</u></b>   |             |
| (Bor.Sor./Saw.01-06) Computer Programs Which are able to automatically make bids or offers Approved by the Exchange, 2007 ..... | 187         |
| <b><u>Basket-Order Trading</u></b>  |             |
| (Bor.Sor./Saw.01-07) Basket-Order Trading, 2006 .....   | 189         |
| <b><u>Trading of TSR</u></b>  |             |
| (Bor.Sor./Saw.01-08) Trading of Transferable Subscription Right (No.1), 1999 .....  | 191         |

|  | <i>Page</i> |
|--|-------------|
| <b><u>Trading of DW</u></b>  |             |
| (Bor.Sor./Saw.01-09) Trading of Derivative Warrants (No.1), 1999 .....   | 193         |
| <b><u>Trading of Investment Units</u></b>  |             |
| (Bor.Sor./Saw.01-10) Trading of Investment Units of Mutual Funds, 2002 .....   | 197         |
| (Bor.Sor./Saw.01-11) Trading of Investment Units of Property Funds, 2003 .....   | 199         |
| <b><u>Trading of NVDR</u></b>  |             |
| (Bor.Sor./Saw.01-12) Trading of Non-Voting Depository Receipts, 2001 .....   | 201         |
| <b><u>Trading of DR</u></b>  |             |
| (Bor.Sor./Saw.01-13) Trading Depository Receipts Issued by Approval under the Notification of the Securities and Exchange Commission No. Gor.Jor.30/2546, 2003.              | 203         |
| <b><u>Trading of Debt Securities</u></b>   |             |
| (Bor.Sor./Saw.01-14) Trading of Debt Securities, 2003 .....  | 205         |
| <b><u>Trading of Buy-in</u></b>  |             |
| (Bor.Sor./Saw.01-15) Buy-In Transaction, 2006.....   | 208/1       |
| <b><u>Trading of Securities of a Member</u></b>  |             |
| (Bor.Sor./Saw.01-16) Trading of Securities of a Member or a Company having Connection with the Member in the Capacity of a Broker or an Agent of a Client (No.1), 1999 ..... | 209         |
| <b><u>Trading of Securities Outside Daily Business Hours</u></b>   |             |
| (Bor.Sor./Saw.01-17) Off-Hour Trading, 2000 .....  | 211         |
| <b><u>Trading of Call Market</u></b>   |             |
| (Bor.Sor./Saw.01-18) Trading of Securities of Listed Companies Having Incomplete shareholding Distribution, 2003 .....   | 215         |
| <b><u>Purchase for Delivery of the Over-allotted Shares</u></b>  |             |
| (Bor.Sor./Saw.01-19) Rules, Conditions and Procedures for Stabilization (No.1), 1998 .....   | 219         |

|   | <i>Page</i> |
|---|-------------|
| <b><u>Individuals for the Trading</u></b>   |             |
| (Bor.Sor./Saw.01-20) The Authorized Officers in the Securities Trading System, 2000 .....   | 225         |
| (Bor.Sor./Saw.01-21) Trading of Securities by Market Makers, 2002 .....   | 231         |
| <b><u>Signs Trading of Securities</u></b>   |             |
| (Bor.Sor./Saw.01-22) Posting of NP and NR Signs, 2001 .....   | 237         |
| (Bor.Sor./Saw.01-23) Signs Indicating that the Price Offered in the Trading of Securities does not Include Rights and Privileges from the Holding of Such Securities (No.1), 1999 .....   | 239         |
| <b><u>Margin Trading of Securities</u></b>  |             |
| (Bor.Sor./Saw.03-00) Margin Trading of Securities, 2000 .....   | 241         |
| (Bor.Sor./Saw.03-01) The Ratio of Initial margin, Ratio for the Customer to Lodge Money or Properties as Additional Collateral and Ratio for the Member to Enforce Payment of Debt Concerning Securities Trading by Margin (No.1), 1998 ..... | 245         |
| (Bor.Sor./Saw.03-02) Listed Securities Account Held by a Securities Company as Collateral Against Loan Repayment .....  | 247         |
| (Bor.Sor./Saw.03-03) Exemptions Granted to a Securities Company from the Requirement of Keeping Listed Securities .....   | 249         |
| (Bor.Sor./Saw.03-04) Sale of Listed Securities in the Stock Exchange of Thailand to Enforce Pledge or Payment of Debt, A.D. 2008 .....  | 251         |
| <b><u>Measures in Case of Abnormality in the Trading of Securities on the Exchange</u></b>  |             |
| ( - ) Measures in Case of Abnormality in the Trading of Securities on the Exchange, 2001.....   | 253         |
| ( - ) Members are Bound to Have Client Effectuate Their Trading Transactions through the Cash Balance Account, 2008 .....   | 254/1       |
| ( - ) Order of Prohibition on Trading all listed Securities in the Stock Exchange in case of Necessity and Urgency, 2003 .....  | 255         |
| <b><u>Arbitrators</u></b>   |             |
| ( - ) Application Form for Dispute Settlement by Arbitrators .....  | 257         |

Last Update: July 9, 2008