

Notification of the Board of Directors of the Thai Bond Market Association
Re: Practices of Compliance Officer
(Codified)

By virtue of Clause 15 (2) and Clause 20 (2) of the Articles of Association of the Thai Bond Market Association dated September 21, 2005, the Board of Directors of the Thai Bond Market Association hereby issues the Regulations as follows:

Clause 1 In this Notification:

“Association”	Means	The Thai Bond Market Association
“Board”	Means	The Board of the Thai Bond Market Association
“Member”	Means	Ordinary Member and Associate Member of the Association
“Compliance Officer”	Means	Compliance Officer assigned by Member and being representative of Member in order to coordinate and act on behalf of Member in the activity relating to Association
“Complaint”	Means	Issue which is complained to Member about the operation of Bond traders, staffs, or executives of Member on the duties relating to trading of debt instrument of Member
“Complainer”	Means	Member, trader, a person who deals with Member for trading debt instrument, or a person who is affected by improper conduct of Member
“Trading of debt instrument”	Means	Outright transaction, Financing transaction, Derivatives transaction, and Other transaction.

Clause 2 In order to regulate the operation relating to trading of debt instrument of Member, Member shall supervise Compliance Officer or the person assigned by Compliance Officer as follows:

- (1) Gather and disseminate laws, rules and regulations relating to trading of debt instrument to related department and person.
- (2) Determine annual compliance plan relating to trading of debt instrument.
- (3) Prepare annual compliance report relating to trading of debt instrument of previous year and submit to the Association within 60 days from the last day of the calendar year.
- (4) Annual compliance report shall specify at least the followings:
 - (4.1) Issue of inspection
 - (4.2) Periods of information used for inspection
 - (4.3) Result of inspection
 - (4.4) Corrective action (if any)
 - (4.5) Compliance plan for next year
- (5) Report complaints relating to trading of debt Instrument to the Association within 10 working days from the date of receiving such complaints and report a solution to the complaint to the Association within 15 working days from the date of complaint resolution.

Clause 3¹ The evidence/documents relating to complaints shall be collected and maintained for a period of at least 2 years from the resolution of such complaints.

Clause 4 The Board shall have the power to stipulate additional practices, terminate, or change the practices for the purpose of this Notification.

Clause 5 This Notification shall come into effect from April 1, 2008.

Given on this 12th day of March 2008

(Mr. Pakorn Malakul Na Ayudhaya)
Chairman of the Board
The Thai Bond Market Association

¹ Amended by Notification of the Board of Directors of the Thai Bond Market Association Re: Practices of Compliance Officer (no.2) B.E.2565 on September 1, 2022