

**Notification of the Board of Directors of the Thai Bond Market Association  
Re: Preparing and Maintaining Trading Records**

By virtue of 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 followings:

**Clause 1.** In this Notification:

“Member(s)”	means	Member(s) of the Association;
“Debt Instrument”	means	debt instrument which is security under the law on securities and stock exchange;
“Board”	means	the Board of the Association;
“Client”	means	the Client who trades of Debt Instrument with the Member;
“Counterpart”	means	the financial institution having the debt instrument License who trade debt instrument with the Member;

**Clause 2.** In trading of Debt Instrument, the Member shall prepare and maintain documents and records related to trading at least as follows:

(1) Records relating to each trade of Debt Instrument having the details as follows:

(1) Records related to each transaction shall contain:

- 1) Transaction date and time
- 2) Name and amount of traded bond
- 3) Price/yield of the transaction
- 4) Payment and settlement date
- 5) Name and trader ID of the registered trader who conduct the transaction
- 6) Name of client/counterparty
- 7) Trading objectives such as Outright, Repo, or others
- 8) Repo rate and term(if any)
- 9) Repo agreement (if any)
- 10) Trading method such as by telephone, electronics trading platform, Inter-Dealer, Broker, or others

(2) Records related to change, amendment, or cancellation of the transaction

- 1) Date and time of change, amendment, or cancellation of the transaction
- 2) Details and reasons of change, amendment, or cancellation of the transaction
- 3) Indication whether such changes is initiated by client/counterparty, or members

(3) Copy of each transaction confirmation delivered to client/counterparty

- (4) Documents or information related to Client/ Trading Counterpart.
- (5) Documents or records of receipt, delivery, or transfer of Debt Instrument.
- (6) Document or records of receipt or payment of fund/ money transfer
- (7) Document or records showing end-of day outstanding balance of Debt instruments of members.
- (8) List of persons relating to Trade of Debt Instrument e.g., trader, transaction reporter, person responsible for reporting of trading transaction (if any), and marketing officer

**Clause 3.** In case where any trading of Debt Instrument has been done via telephone or Inter-dealer Broker, the Member shall cause record of such communication or record of such electronic information relating to each trade of debt instrument.

**Clause 4** The Member shall maintain evidence/documents relating to trade of Debt Instrument for a period of at least 2 years and at least 1 month in case of the evidence/documents under Clause 3, or an extended period of time as stipulated by the Office of Securities and Exchange Commission in a manner that the entities in charge of supervision of the matter and the Association shall be able to inspect thereof.

**Clause 5** The Extraordinary Member shall comply with this Notification mutatis mutandis except for Clause 2 (5) and (6).

**Clause 6** The Board shall have the power to stipulate additional practices, terminate, or change the practices for the purpose of this Notification.

**Clause 7** This Notification shall come into effect as from December 1, 2005.

Giving on this 10<sup>th</sup> day of November 2005

(Mr. Sommai Phasee)

Chairman of the Board  
The Thai Bond Market Association