

(UNOFFICIAL TRANSLATION)

Readers should be aware that only the original Thai text has legal force, and that this English translation is strictly for reference.

Notification of the Board of Directors of the Thai Bond Market Association

Re: Rules on Examination of Documents and Trading Accounts of Members B.E.2554

(Codified)

By virtue of clause 15(4) 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 followings:

Clause 1 In this Notification:

“Association” means The Thai Bond Market Association.

“Board” means The Board of the Association.

“Member(s)” means Member(s) of the Association.

“Registered Debt Instrument” means Debt instrument registered with the Association.

“Compliance Officer” means The executive of a member having supervisory power to ensure compliance by members in their performance with the rules and regulations of the Association;

“Examiner” means Personnel appointed by the president of an association for the purpose of examination

of documents and trading accounts of member.

Clause 2¹

For the purpose of examination of documents and trading accounts of member, the President shall have the power to appoint its personnel for the examination of the members.

Clause 3

In the examination of documents and trading accounts of members, the examiner has an authority as follows;

(1) Enter into the Member’s property or the place which maintain member electronic data during office hours for the purpose of examination of documents and trading accounts of member.

(2) Examine or request the Member, its directors, personnel, employees, auditor, assembler of computerized information and any other person concerned. In the examination of documents and trading account of members, The Member, its directors, personnel, employees, auditor, assembler of computerized information and any other person concerned shall provide a copy of documents or trading account of members in the format required by the examiner.

¹ Amended by Notification of The Thai Bond Market Association Re: Rules on Examination of Documents and Trading Accounts of Members B.E.2548

Clause 4

Member and any other person concerned shall provide reasonable facility to the examiner while he/she performs his/her duty

Clause 5

The examiner shall in the discharge of his or her duty produce his or her identity card to the person concerned. The examiners identity shall be in the form prescribed by the Association.

Clause 6

The Board shall have the power to prescribe any additional guideline of practices or to cancel or modify such practices for the purposes of ensuring compliance with these regulations and best practices in the bond market.

Clause 7

This notification shall come into effect as from October 2, 2006.

Note: According to the Association appoint the examiners, who are the personnel for examination of documents and trading accounts of member. For the purpose of effectiveness and working agility, shall have the power to the president of an association to appoint the examiners instead of the Board.

Notified this 30th day of March 2001.

(Mr. Pakorn Malakul Na Ayudhya)

Chairman of the Board

The Thai Bond Market Association

¹ Amended by Notification of The Thai Bond Market Association Re: Rules on Examination of Documents and Trading Accounts of Members B.E.2548