

(UNOFFICIAL TRANSLATION)

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Guidelines for the Submission of Reports to TFEX

Pursuant to Rules 308.01 (6) under the TFEX's Procedures Chapter 300 Member, TFEX shall prescribe guidelines for the submission of reports to TFEX, and TFEX has issued the Guideline for the Submission of Reports to TFEX dated 21 April 2015.

TFEX hereby cancels such Guideline and stipulate the guideline for the submission of reports to TFEX as follows:

Summary of Guidelines for the Submission of Reports

In making submission of reports pursuant to Rules 308.01 (6) under the Procedures, the TFEX prescribes that members comply with the following:

Reports	Time Period for Submission
(1) The following reports and financial statements: (1.1) report of the net capital as of the last business day of the month; (1.2) report of the financial condition and reports of the revenue and expenses on a monthly basis, for the first 6 months of the fiscal year and for the fiscal year; (1.3) report when the net capital or the net capital ratio at the end of any business day is less than, or equivalent to, 3 times the minimum value prescribed by the Securities and Exchange Commission to be maintained. (1.4) report on the inability to maintain the net capital or the net capital ratio pursuant to the minimum criteria that must be maintained as prescribed by the Securities and Exchange Commission and rectification plan for the maintenance of such net capital	Submission shall be made in the form and within the time period stipulated by the TCH. In case members have submitted reports and financial statements to the TCH, it shall be deemed that reports have been submitted to the TFEX.
(2) Report with explanation in the following incidents: (2.1) the member suffers severe damage; (2.2) the member suspends its business in whole or in part; (2.3) the member changes its business objectives or nature of business operation; (2.4) the member acts or is subject to actions regarded as taking over or being taken over under the laws on securities and exchange;	The report must be submitted immediately upon the occurrence of these incidents. - For incidents under clause 2.3, if the registration must be effected with the partnerships and companies registrar, the member must submit the evidence of such registration to TFEX within 7 days from the date of registration by the partnership and company registrar.
(2.5) the member conducts a merger;	The report must be submitted on the business day following the date of the incident.

<p>(2.6) the member executes a contract authorizing other persons to be responsible for its management affairs, in whole or in part;</p> <p>(2.7) the member's board of directors passes a resolution to increase or reduce capital</p> <p>(2.8) the member's board of directors passes a resolution to hold securities in excess of 10% of the total registered capital of any business.</p>	<ul style="list-style-type: none"> - In case of clauses (2.5) and (2.7) the member must submit the evidence of registration to TFEX within 7 days from the date of registration by the partnership and company registrar. - In case of clause (2.6), the member must report the significant matters of the contract and attach a copy of such contract to the report.
<p>(3) Other reports as follows:</p> <p>(3.1) Report on collateral placement</p> <p>(3.1.1) Report on the calling of margin and forced sale.</p>	<p>To be submitted within 11.00 hrs. of the business day following the date of the occurrence of such event</p>
<p>(3.1.2) report on client's default of placement of collateral.</p>	<ul style="list-style-type: none"> - If a client is in default of placement of any or all collaterals, valued at or more than Baht 5 million, the member must submit the report on the date of the incident and report the information of such client on every last business day of each week if the client remains in default of placement of the collaterals. - If a client is in default of placement of any or all collaterals, valued at or more than Baht 1 million but less than Baht 5 million, the member must submit the report on the incident on the business day following the date of the incident and report the information of such client on every last business day of each week if the client remains in default of placement of the collaterals.
<p>(3.2) the significant parts of the internal audit report, the report of the Audit Committee, and its opinions with respect to the derivatives trading system or procedures and the risk management of the member, and the significant operating results with respect to the member in accordance with the suggestions of the internal auditor or the Audit Committee;</p>	<p>Once a year (if any)</p>
<p>(3.3) the significant parts of the compliance report and the significant operating results with respect to the member in accordance with the advice of the Compliance Unit;</p>	<p>The report must be submitted within 60 days from the end of each calendar year.</p>
<p>(3.4) Report on any change which has a material effect on the member's operation such as the change to the member's directors or managers, the change to the persons having managerial power of the member, or the change to the member's operation structure;</p>	<p>Report shall be made within 3 business days from the date of such event.</p>

(3.5) report on the inspection of the Office of the Securities and Exchange Commission or other relevant regulatory organization;	The report must be submitted within 7 business days from the date on which the member's board of directors approves such report.
(3.6) report on the resolutions of the member's shareholders meeting to amend or make additions to its Memorandum of Association;	The report must be submitted within 3 business days from the date on which the member's shareholders meeting passes such resolution, and the member must submit evidence of registration of the amendment to the Memorandum of Association within 7 days from the date of registration with the partnerships and companies registrar.
(3.7) report on the list of the first ten major shareholders;	The report must be submitted within 15 days from the end of the year or the date of the general meeting, as the case may be.
(3.8) Rectification plan to allow for the commencement of business undertaking and report on the progress in relation to the compliance with such plan in case the member's operation indicates lack of seriousness in the undertaking of derivatives trading business	Rectification plan to allow for the commencement of business undertaking shall be submitted and report shall be made on the progress every 6 months from the date specified by the member in the business undertaking cessation report made to the TFEX until the member resumes the derivatives trading business on the TFEX.

In submitting the information above, members shall submit the reports via the SET Community Portal (SCP). Nonetheless, in case members are unable to submit the reports via the SCP, they shall submit the reports in writing certified by the company's authorized director(s). As for the reports under (3.8), members shall submit such reports in writing certified by the company's authorized director(s) to the Member Supervision Department.

Effectiveness

These Guidelines shall replace the Guidelines for Submission of Reports to TFEX dated 21 April 2015, and shall be effective from 1 February 2022 onwards.
