

(UNOFFICIAL TRANSLATION)

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**\*Regulations**

**Chapter 400: The Provision of Securities Registration Services to Securities Holder**

**401 Scope of the Provision of Securities Registration Services to Securities Holder**

The Registrar shall provide securities registration services to the Securities Holder as following:

- (1) registration of Securities transfers;
- (2) alteration of particulars in Securities Register;
- (3) registration of Securities pledge and revocation of Securities pledge;
- (4) registration of Securities attachment and revocation of Securities attachment;
- (5) issuance of new Securities certificates;
- (6) inspection and application for making copies of particulars in Securities Register.

The Securities Holder who may apply the request for securities registration services under this Chapter shall be included the related person of the Securities Holder.

The Securities Holder may request any securities registration services under this Chapter by himself /herself or may appoint or authorize another person to act on his/her behalf. Any request or submission for securities registration services shall be applied on business days and during the time specified by the Registrar.

In the case of an announcement of the close of the Register to suspend the transfer of any Securities, the Registrar shall not register the transfer of such Securities, nor change the particulars in the Securities Register, which would affect the performance of duties of the Registrar during the period that the Register is closed

If the Securities certificate for which a Securities Holder or related person requests any securities registration services is a forged one, the Registrar shall stop the process and confiscate such Securities certificate.

In addition, the Registrar may collect fees or other expenses in connection with the provision of securities registration services as it deems appropriate.

**402 Submission of Documents or Providing Information to Apply Securities Registration Services**

**402.01 Submission of Documents or Providing Information to the Registrar**

(1) To request any securities registration services, the Securities Holder must submit the application form and supporting documents as specified by the Registrar. The application form shall be accurately and completely filled in and signed by any related person.

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(2) If there is an appointment or authorization of another person to act on behalf of Securities Holder, the Securities Holder must submit the power of attorney and supporting documents as specified by the Registrar together with the application form for request securities registration services.

(3) In an event the Securities Holder submits a copy of supporting documents ancillary to the application for securities registration services, the copies of such documents shall be signed by the owner of the originals or by the related persons to certify the accuracy of the originals.

(4) In an event the Securities Holder submits the supporting documents which were prepared or certified in a foreign country, such document shall be required to certify as prescribed in Rule 402.02 of this Chapter.

(5) In an event the Securities Holder submits any documents which require by applicable law to affix stamp duties, the Securities Holder shall complete the stamp duties in accordance with applicable law.

(6) With reasonable suspicion, the Registrar may request the identification card, or identification document issued by the government agency, or the original of supporting documents from the Securities Holder or the Attorney (if any). In addition, the Registrar may request further supporting documents to support the application for securities registration services as it deems appropriate.

#### **402.02 Submission of Documents Prepared in Foreign Country**

Unless otherwise considered by the Registrar, if the documents submitted under these Chapter were prepared or certified as correct a foreign country, the Securities Holder shall undertake the following actions:

(1) the notary public or any competent authority in the country where such documents were prepared or certified correct, shall certify the signature of the person who prepared such documents, or who certified the accuracy of such documents;

(2) an official officer of the Thai Embassy or Thai Consulate in the country where such documents were prepared or certified correct, shall certify the signature and the seal of the notary public or any other authority which performed the act under (1).

If the documents prepared in a foreign country have been made in any languages other than the English language, the Securities Holder must prepare the English translation of the said documents. In this regard, the procedures specified in the first paragraph shall be applied to the English version of such documents.

#### **403 The Operation of Securities Registration**

If the Securities Holder has submitted the completed application form and supporting documents to the Registrar for request securities registration services, the Registrar will consider taking any action as it deems appropriate.

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*(\*Amended December 18, 2020, Force January 4, 2021)*