

### List of the Fees for Securities Business Licenses

1. The application fee for securities business license: 30,000 baht per application.

2. The license fees:

2.1 The license fee for securities business license type A <sup>(n)</sup> in case of the applicant which is legal entity under Clause 4 of the Ministerial Regulation shall be prescribed as follows:

The Applicant	The license fee for the applicant filing the application for license prior to 1 <sup>st</sup> January B.E. 2555 (per license)	The license fee for the applicant filing the application for license from 1 <sup>st</sup> January B.E. 2555 (per license)
(1) the applicant not under (2) to (16)	--	20,000,000 baht
(2) the applicant or the legal entity in conglomerate which has already obtained securities business license in the category of private fund management	--	16,000,000 baht
(3) the applicant or the legal entity in conglomerate which has already obtained securities business license in the category of mutual fund management	--	15,500,000 baht
(4) the applicant or the legal entity in conglomerate which has already obtained either securities business license type B <sup>(v)</sup> or type C <sup>(n)</sup>	--	15,000,000 baht
(5) the applicant or the legal entity in conglomerate which has already obtained securities business licenses in the categories of securities dealing of debt securities and securities underwriting of debt securities	--	15,000,000 baht

The Applicant	The license fee for the applicant filing the application for license prior to 1 <sup>st</sup> January B.E. 2555 (per license)	The license fee for the applicant filing the application for license from 1 <sup>st</sup> January B.E. 2555 (per license)
(6) the applicant or the legal entity in conglomerate which has already obtained securities business licenses in the categories of mutual fund management and private fund management	--	15,000,000 baht
(7) the applicant or the legal entity in conglomerate which has already obtained securities business license in the category of private fund management and securities business license type B <sup>(v)</sup>	--	11,000,000 baht
(8) the applicant or the legal entity in conglomerate which has already obtained securities business licenses in the categories of securities dealing of debt securities, securities underwriting of debt securities and private fund management	--	11,000,000 baht
(9) the applicant or the legal entity in conglomerate which has already obtained securities business license in the category of mutual fund management and securities business license type B <sup>(v)</sup>	--	10,500,000 baht
(10) the applicant or the legal entity in conglomerate which has already obtained securities business licenses in the categories of securities dealing of debt securities, securities underwriting of debt securities and mutual fund management	--	10,500,000 baht

The Applicant	The license fee for the applicant filing the application for license prior to 1 <sup>st</sup> January B.E. 2555 (per license)	The license fee for the applicant filing the application for license from 1 <sup>st</sup> January B.E. 2555 (per license)
(11) the applicant or the legal entity in conglomerate which has already obtained securities business license type B <sup>(๗)</sup> and type C <sup>(๘)</sup>	--	10,000,000 baht
(12) the applicant or the legal entity in conglomerate which has already obtained securities business licenses in the categories of mutual fund management and private fund management and securities business license type B <sup>(๗)</sup>	--	10,000,000 baht
(13) the applicant or the legal entity in conglomerate which has already obtained securities business licenses in the categories of securities dealing of debt securities, securities underwriting of debt securities and securities business license type C <sup>(๘)</sup>	--	10,000,000 baht
(14) the applicant or the legal entity in conglomerate which has already obtained securities business licenses in the categories of securities dealing of debt securities, securities underwriting of debt securities, mutual fund management and private fund management	--	10,000,000 baht
(15) the applicant or the legal entity in conglomerate which has already obtained securities business license in the category of securities brokerage and		

The Applicant	The license fee for the applicant filing the application for license prior to 1 <sup>st</sup> January B.E. 2555 (per license)	The license fee for the applicant filing the application for license from 1 <sup>st</sup> January B.E. 2555 (per license)
(15.1) has already obtained securities business license in the category of securities dealing	2,500,000 baht	2,500,000 baht
(15.2) has already obtained securities business license in the category of securities underwriting	2,500,000 baht	2,500,000 baht
(15.3) has already obtained securities business licenses in the categories of securities dealing of debt securities and securities underwriting	2,000,000 baht	2,000,000 baht
(15.4) has already obtained securities business licenses in the categories of securities dealing and securities underwriting	1,500,000 baht	1,500,000 baht
(15.5) has already obtained securities business license in the categories of securities dealing, securities underwriting and private fund management	1,000,000 baht	1,000,000 baht
(15.6) has already obtained securities business licenses in the categories of securities dealing, securities underwriting and mutual fund management	500,000 baht	500,000 baht
(15.7) has already obtained securities business licenses in the categories of securities dealing of debt securities, securities underwriting and securities business license type C <sup>(๓)</sup>	500,000 baht	500,000 baht

The Applicant	The license fee for the applicant filing the application for license prior to 1 <sup>st</sup> January B.E. 2555 (per license)	The license fee for the applicant filing the application for license from 1 <sup>st</sup> January B.E. 2555 (per license)
(15.8) has already obtained securities business licenses in the categories of securities dealing of debt securities, securities underwriting, mutual fund management and private fund management	500,000 baht	500,000 baht
(15.9) has already obtained securities business licenses in the categories of securities dealing, securities underwriting and securities business license type C <sup>(n)</sup>	No license fee	No license fee
(15.10) has already obtained securities business licenses in the categories of securities dealing, securities underwriting, mutual fund management and private fund management	No license fee	No license fee
(16) the applicant or the legal entity in conglomerate which has already obtained securities business license type A <sup>(n)</sup>	No license fee	No license fee

2.2 The license fee for securities business license type B <sup>(๗)</sup> in case of the applicant which is legal entity under Clause 5 of the Ministerial Regulation shall be prescribed as follows:

The Applicant	The license fee for the applicant filing the application for license prior to 1 <sup>st</sup> January B.E. 2555 (per license)	The license fee for the applicant filing the application for license from 1 <sup>st</sup> January B.E. 2555 (per license)
(1) the applicant not under (2), (3) or (4)	1,000,000 baht	5,000,000 baht
(2) the applicant or the legal entity in conglomerate which has already obtained securities business license either in the category of securities dealing of debt securities or securities underwriting of debt securities	500,000 baht	4,500,000 baht
(3) the applicant or the legal entity in conglomerate which has already obtained securities business licenses in the categories of securities dealing of debt securities and securities underwriting of debt securities	No license fee	No license fee
(4) the applicant or the legal entity in conglomerate which has already obtained either securities business license type A <sup>(๖)</sup> or type B <sup>(๗)</sup>	No license fee	No license fee

2.3 The license fee for securities business license type C <sup>(n)</sup> in case of the applicant which is legal entity under Clause 6 of the Ministerial Regulation shall be prescribed as follows:

The Applicant	The license fee for the applicant filing the application for license prior to 1 <sup>st</sup> January B.E. 2555 (per license)	The license fee for the applicant filing the application for license from 1 <sup>st</sup> January B.E. 2555 (per license)
(1) the applicant not under (2), (3), (4) or (5)	1,500,000 baht	5,000,000 baht
(2) the applicant or the legal entity in conglomerate which has already obtained securities business license in the category of private fund management	1,000,000 baht	1,000,000 baht
(3) the applicant or the legal entity in conglomerate which has already obtained securities business license in the category of mutual fund management	500,000 baht	500,000 baht
(4) the applicant or the legal entity in conglomerate which has already obtained securities business licenses in the categories of mutual fund management and private fund management	No license fee	No license fee
(5) the applicant or the legal entity in conglomerate which has already obtained either securities business license type A <sup>(n)</sup> or type C <sup>(n)</sup>	No license fee	No license fee

2.4 The license fee for securities business license type D <sup>(๓)</sup> in case of the applicant which is legal entity under Clause 7 of the Ministerial Regulation shall be prescribed as follows:

The Applicant	The license fee for the applicant filing the application for license prior to 1 <sup>st</sup> January B.E. 2555 (per license)	The license fee for the applicant filing the application for license from 1 <sup>st</sup> January B.E. 2555 (per license)
(1) the applicant not under (2)	30,000 baht	30,000 baht
(2) the applicant or the legal entity in conglomerate which has already obtained either securities business license type A <sup>(๓)</sup> or type C <sup>(๓)</sup>	No license fee	No license fee

2.5 The license fee for securities business license in the category of investment advisory service in case of the applicant which is legal entity under Clause 8 of the Ministerial Regulation shall be prescribed as follows:

The Applicant	The license fee for the applicant filing the application for license prior to 1 <sup>st</sup> January B.E. 2555 (per license)	The license fee for the applicant filing the application for license from 1 <sup>st</sup> January B.E. 2555 (per license)
(1) the applicant not under (2)	30,000 baht	30,000 baht
(2) the applicant or the legal entity in conglomerate which has already obtained securities business license type A <sup>(๓)</sup> , type B <sup>(๓)</sup> or type C <sup>(๓)</sup>	No license fee	No license fee

2.6 The license fee for securities business license in the category of securities borrowing and lending in case of the applicant which is legal entity under Clause 9 of the Ministerial Regulation shall be prescribed as follows:

The Applicant	The license fee for the applicant filing the application for license prior to 1 <sup>st</sup> January B.E. 2555 (per license)	The license fee for the applicant filing the application for license from 1 <sup>st</sup> January B.E. 2555 (per license)
(1) the applicant not under (2)	30,000 baht	30,000 baht
(2) the applicant or the legal entity in conglomerate which has already obtained either securities business license type A <sup>(n)</sup> or type B <sup>(v)</sup>	No license fee	No license fee

2.7 The license fee for securities business license in the category of venture capital management in case of the applicant which is legal entity under Clause 10 of the Ministerial Regulation shall be prescribed as follows:

The Applicant	The license fee for the applicant filing the application for license prior to 1 <sup>st</sup> January B.E. 2555 (per license)	The license fee for the applicant filing the application for license from 1 <sup>st</sup> January B.E. 2555 (per license)
(1) the applicant not under (2)	30,000 baht	30,000 baht
(2) the applicant or the legal entity in conglomerate which has already obtained either securities business license type A <sup>(n)</sup> , or type C <sup>(n)</sup>	No license fee	No license fee

3. In cases where two or more legal entities in conglomerate file the applications for securities businesses at the same occasion, the license fee for the applicant for securities business license as prescribed in 2. shall be calculated as follows:

3.1 In cases where legal entities in conglomerate file the applications for securities business license type A <sup>(n)</sup> and other licenses under this Ministerial Regulation at the same occasion, whether for one or more licenses for each type or category, the applicants for such securities business licenses shall jointly pay the license fee only for one securities business license type A <sup>(n)</sup> at the rate prescribed in 2.1;

3.2 In cases where legal entities in conglomerate file the applications for securities business license type B <sup>(u)</sup> and type C <sup>(n)</sup> at the same occasion, whether for one or more licenses for each type, the applicants for such securities business licenses shall jointly pay the license fee only for one securities business license type B <sup>(u)</sup> at the rate prescribed in 2.2 and one securities business license type C <sup>(n)</sup> at the rate prescribed in 2.3;

3.3 In cases where legal entities in conglomerate file the applications for many securities business license type A <sup>(n)</sup>, type B <sup>(u)</sup> or type C <sup>(n)</sup> at the same occasion, the applicants for such securities business licenses shall jointly pay the license fee only for one securities business license type A <sup>(n)</sup> at the rate prescribed in 2.1 or securities business license type B <sup>(u)</sup> at the rate prescribed in 2.2 or one securities business license type C <sup>(n)</sup> at the rate prescribed in 2.3 ;

3.4 In cases where legal entities in conglomerate file the applications for securities business license type B <sup>(u)</sup> and securities business license in the category of investment advisory service or securities borrowing and lending at the same occasion, the applicants for such securities business licenses shall jointly pay the license fee only for one securities business license type B <sup>(u)</sup> at the rate prescribed in 2.2;

3.5 In cases where legal entities in conglomerate file the applications for securities business license type C <sup>(n)</sup> and securities business license in the category of investment advisory service or venture capital management at the same occasion, the applicants for such securities business licenses shall jointly pay the license fee only for one securities business license type C <sup>(n)</sup> at the rate prescribed in 2.3.