

## Unofficial Translation

This translation is for the convenience of those unfamiliar with the Thai language.  
Please refer to Thai text for the official version.

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### Notification of the Bank of Thailand

No. ITG. 2/2560

Re: Submission of Reports of Specialized Financial Institutions to the Bank of Thailand

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#### 1. Rationale

Since Specialized Financial Institutions has submitted reports to the Fiscal Policy Office and the Bank of Thailand in the XML Data Set and Excel File formats, therefore, in order that the Ministry of Finance and the Bank of Thailand obtain adequate data to monitor and analyze performance of Specialized Financial Institutions, the Bank of Thailand hereby prescribes Specialized Financial Institutions to prepare 27 datasets of FI Data Set, 2 reports in Excel File format, and 20 datasets of FM Data Set in accordance with regulations of the Fiscal Policy Office, Ministry of Finance, as well as related regulations of the Bank of Thailand.

#### 2. Statutory Power

By virtue of Section 71 together with that of Section 120 of the Financial Institutions Business Act B.E. 2551 whereby the Bank of Thailand, upon approval of the Ministry of Finance, has issued regulations on the submission of reports for Specialized Financial Institutions to comply with the provisions in this Notification.

#### 3. Scope of Application

This Notification shall be applied to Government Savings Bank, Bank for Agriculture and Agricultural Cooperatives, Government Housing Bank, Islamic Bank of Thailand, Small and Medium Enterprise Development Bank of Thailand, Export-Import Bank of Thailand, Thai Credit Guarantee Corporation and Secondary Mortgage Corporation.

#### 4. Contents

4.1 Specialized Financial Institutions shall prepare and submit reports in XML Data Set and Excel File to the Bank of Thailand as prescribed in Attachment 1 and XML Data Set Manual through electronic platform in compliance with methods and regulations of the Fiscal Policy Office, Ministry of Finance, for the submitted data

to the Fiscal Policy Office, and the Bank of Thailand regulation Re: Submission of Information Using Electronic Method Services with respect to Data Management System of the Bank of Thailand B.E. 2546 dated 15 September 2003 (B.E. 2546) and thereof the amendments (Attachment 2), for the submitted data to the Bank of Thailand.

4.2 It shall be regarded that the Bank of Thailand has received the XML Data Set and Excel File reports on the day that Specialized Financial Institutions submit the data through electronic platform and the submitted information is correct as it fulfills Basic Validation embedded in the Data Management System of the Bank of Thailand.

## 5. Effective Date

This Notification shall be effective on 1 July 2017 onwards.

**Announced on** 20<sup>th</sup> February 2017

(Mr. Veerathai Santiprabhob)

Governor

Bank of Thailand

Information Technology Group

Tel. 0 2283 5633

List of Data Sets to be submitted by Specialized Financial Institutions

Data Set Name	Abbreviation	Frequency	Deadline *
<b>Operating Status Data Set (FI)</b>			
<b>FI Financial Position</b>			
Balance Sheet	DS_BLS	Monthly	1 month
Branch Summary	DS_BSM	Monthly	1 month
Capital Fund	DS_CAP	Monthly	1 month
FI Investment Position	DS_IVP	Monthly	1 month
Provision Summary	DS_PVS	Quarterly	1 month
Total Trading Book Position	DS_TBP	Every 6 Months	1 month
Interest Rate Risk	DS_IRR	Quarterly	1 month
Credit Risk Standardized Approach	DS_CRS	Monthly	1 month
Contingent Summary	DS_COS	Monthly	1 month
Operational Risk	DS_OPR	Every 6 Months	1 month
<b>Arrangement Summary</b>			
Arrangement Summary	DS_ARS	Monthly	1 month
Lending Purpose Summary	DS_LPS	Monthly	1 month
Total Classified Lending Summary	DS_TCS	Monthly	1 month
Lending Movement Summary	DS_LMS	Quarterly	1 month
Trouble Debts Restructuring Summary	DS_TDR	Quarterly	1 month
Deposit Classified by Type of Depositor	DS_DCD	Quarterly	1 month
Arrangement Movement Summary	DS_AMS	Quarterly	1 month
<b>FI Liquidity Status</b>			
Liquidity Assessment 1	DS_LQ1	Monthly	1 month
<b>FI Financial Performance</b>			
Net Profit Distribution	DS_PDS	Yearly	5 months
Profit and Loss	DS_PNL	Quarterly	1 month
<b>Key Customer Position</b>			
Contingent Arrangement	DS_CAR	Monthly	1 month
Loan Arrangement	DS_LAR	Monthly	1 month
<b>Other FI Summary</b>			
Card Usage Summary	DS_CUS	Monthly	1 month
Electronic Banking Services Summary	DS_EBS	Quarterly	1 month

Data Set Name	Abbreviation	Frequency	Deadline *
Income and Expense by Branch	DS_IEB	Every 6 Months	1 month
Interest Rate Summary	DS_IRS	Upon Changes	3 days
<b>Excel Files</b>			
Holding of Capital for Market Risk	-	Monthly	1 month
Capital to Insurance Service Contingent Liabilities <sup>1/</sup>	-	Monthly	1 month
<b>Financial Markets Transaction Data Set (FM)</b>			
<b>Foreign Currency Position</b>			
Foreign Currency Position	DS_FCP	Daily	7 days
Foreign Currency Deposit and Investment Position	DS_DIP	Monthly	10 days
Foreign Currency Loan Arrangement	DS_FLA	Daily	7 days
Deposit Arrangement	DS_DAR	Daily	7 days
Foreign Exchange Arrangement	DS_FXA	Daily	7 days
Forward Rate Agreement Arrangement	DS_FRA	Daily	7 days
Futures Arrangement	DS_FTA	Daily	7 days
Options Arrangement	DS_OPA	Daily	7 days
Cross Currency and Interest Rate Swap Arrangement	DS_SWA	Daily	7 days
<b>Foreign Currency Transactions</b>			
FX Trading Transaction	DS_FTX	Daily	7 days
Loan / Deposit Arrangement Transaction	DS_LTX	Daily	7 days
Receive Payment Transaction	DS_PTX	Daily	7 days
FX Trading Transaction Under 20,000 USD Summary	DS_FTU	Daily	7 days
Foreign Currency Transaction Summary	DS_FTS	Daily	7 days
<b>Other FM Summary</b>			
Export Payment Exemption	DS_EPE	Upon Occurrence	7 days
Instrument Issue	DS_ISI	Daily	7 days
Interest Rate of Foreign Currency Deposit	DS_IRF	Upon Changes	3 business days
Fee Rate of Foreign Currency Deposit	DS_FRF	Upon Changes	3 business days

Data Set Name	Abbreviation	Frequency	Deadline *
Fee Rate of SWIFT	DS_FRW	Upon Changes	3 business days
Other Fee Rate of Foreign Currency Deposit	DS_OFF	Upon Changes	3 business days
<b>Common Data Set (FI/FM)</b>			
<b>Key Customer Position</b>			
Involved Party	DS_IPI	Daily/Monthly	Upon Changes

\* To be submitted no later than 16.30 hours and if the day falls on a holiday, the report is to be submitted on the following business day.

Remark

<sup>1/</sup> Export-Import Bank of Thailand only

Unofficial Translation

(Translation)  
Regulation of the Bank of Thailand  
Re: Electronic Data Submission Services  
Relating to Data Management System of the Bank of Thailand  
B.E. 2546 (2003)

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Whereas the Bank of Thailand has developed the data management system for storing financial institutions information, business information on foreign currencies and financial markets and economic information in the database, which have been communicated via Electronic Financial Services, the Bank of Thailand hereby issues the Regulation as follows:

**Clause 1** In this Regulation,

“BOT” means the Bank of Thailand;

“DMS Services” means the electronic data submission service system provided by the BOT for submission of financial institutions information, business information on foreign currencies and financial markets and economic information between DMS Users and the BOT via Electronic Financial Services;

“DMS Users” means financial institutions or any other juristic entities that provide information to the BOT which:

(1) are service users under the BOT Regulation Re: Electronic Financial Services B.E. 2544 (2001); and

(2) are authorized by the BOT in submitting the data in accordance with these Regulation;

“Server Computer” means the Server Computer under the BOT Regulation Re: Electronic Financial Services B.E. 2544 (2001);

“Client Computer” means the computer system of DMS Users for purposes of data submission hereunder;

“BOT Application” means an application provided by the BOT to Client Computers for purposes of data submission hereunder;

“Manual” means a manual for usage on Client Computers which the BOT provides to DMS Users;

“Data Set” means a set of data which the BOT has specified the form and essences of each set of data;

“XML Data Set” means a set of data which the BOT has specified the form and essences of each set of data in a form of XML (Extensible Markup Language);

“XML Data Set Schema” means the data structure on which the BOT has specified rules in accordance with business terms for the purpose of basic accuracy validation of the Data Set;

“On-line Submission Web Application” means an application which the BOT has provided for DMS Users for submitting data and following procedures by an officer;

“On-line Submission Web Service” or “Computer-to-Computer” means an application provided by the BOT for DMS Users for the development of applications in submitting data and following procedures automatically;

“FI Data Entry Application” means an application provided by the BOT for DMS Users in the preparation of data into the form of XML Data Set;

“Basic Validation” means a basic validation of data in such Data Set such as a validation of data type, length of data and possible value, the details of which appear in each XML Data Set Schema;

“Complex Validation” means a reconciliation and validation of relations of data in the same Data Set in accordance with the specified business rules.

“Cross Validation” means a reconciliation of data between at least 2 Data Sets in accordance with the specified business rules.

**Clause 2** Declaration of intention, notice or any communication between the BOT and DMS Users shall be in accordance with the BOT Regulation Re: Electronic Financial Services B.E. 2544 (2001) unless otherwise specified herein.

**Clause 3** The BOT shall provide BOT Applications and Manuals to DMS Users and if the BOT changes such applications, DMS Users shall request the new applications in accordance with procedures and terms specified by the BOT.

**Clause 4** DMS Users shall comply with the Manual and operational working guidelines specified by the BOT.

**Clause 5** The BOT shall determine the DMS service hours and if it is necessary to change the service hours, the BOT shall inform DMS Users in advance in due course.

**Clause 6** Prior to the date the DMS Users initially use the service hereunder, DMS Users shall appoint certifiers to appoint officers in accordance with the BOT Regulation Re: Electronic Financial Services B.E. 2544 (2001). DMS Users shall also have the following duties:

(1) preparing a letter of intent to use DMS Services in accordance with the form specified by the BOT;

(2) preparing a power of attorney authorizing a person(s) to appoint a manager of rights in using DMS Services in accordance with the form specified by the BOT;

(3) the authorized person(s) under (2) shall prepare a deed of appointment of a manager of rights in using DMS Services in accordance with the form prescribed by the BOT;

(4) the manager of rights under (3) shall specify the rights in using DMS Services for operators in his/her institution via electronic system.

**Clause 7** In submitting each Data Set to the BOT, DMS Users shall proceed as follows:

(1) DMS Users shall arrange each set of data to be in a form of XML Data Set as specified by the BOT and submit the same to the BOT within the time limit determined by the BOT by using:

(1.1) On-line Submission Web Application; or

(1.2) On-line Submission Web Service or Computer-to-Computer;

(2) Before submitting the Data Set under (1), DMS Users shall review the accuracy and completion of data so as to be in line with the Basic Validation, Complex Validation and Cross Validation as specified by the BOT;

(3) After submitting the Data Set under (1), DMS will validate the data submitted by DMS Users by applying 3 validation steps. DMS Users shall check the results of data validation in each validation step as follows:

(3.1) **Basic Validation**

DMS Users shall have a responsibility to check the result of the Basic Validation by retrieving the result immediately after data submission (depending on the size of the Data Set).

Where the submitted data does not meet the criteria of the Basic Validation, DMS Users shall correct such errors in the Data Set and submit the Data Set again.

(3.2) **Complex Validation**

DMS Users shall have a responsibility to check the result of the Complex Validation by retrieving the result on the following date.

Where the submitted data does not meet the criteria of the Complex Validation, DMS Users shall correct such errors in the Data Set and transmit the Data Set again.

Where the data meets the criteria of the Complex Validation, if DMS Users want to adjust the data, DMS Users shall send the adjustment request together with the revised Data Set to the BOT via On-line Submission Web Application.

(3.3) **Cross Validation**

DMS Users shall have a responsibility to check the result of the Cross Validation by retrieving such result on the day following the date the BOT receives all of the related Data Sets.

Where the submitted data does not meet the criteria of the Cross Validation, DMS Users shall correct such errors and send the adjustment request together with the revised Data Set to the BOT via On-line Submission Web Application.

(4) Where the data meets the criteria of the Basic Validation, Complex Validation and Cross Validation, if DMS Users or the BOT thereafter deems it necessary to adjust the submitted data, DMS Users shall send the adjustment request together with the revised Data Set to the BOT via On-line Submission Web Application. The BOT will only approve an adjustment of data which is not older than 1 year.

**Clause 8** The BOT will deem that it has received any Data Set from DMS Users only if such data passes the Basic Validation.

**Clause 9** DMS Users shall submit the data of persons in conjunction with transaction data of each person in accordance with the details and terms specified by the BOT in the Data Set preparation manual.

**Clause 10** DMS Users shall have a responsibility to maintain and adjust FI Data Entry Application and XML Data Set Schema to the most update version.

**Clause 11** Where the Server Computer cannot provide services, the BOT shall inform DMS Users of such information in order to temporarily suspend the provision of services and will extend the period of Data Set submission as the BOT may deems it proper.

**Clause 12** In case of malfunction of the communication network connecting the Server Computer and the Client Computers, DMS Users can submit the Data Set by using reserved computers provide by the BOT at the BOT's place of business, provided that DMS Users present a letter of intent to use services signed by authorized representatives.

**Clause 13** The BOT shall inform of the change in DMS Services and send news and information to DMS Users to Client Computers or on BOT Web Site.

This Regulation shall come into effect from 1 October 2003.

Given on the 15th day of September 2003.

(M.R. Pridiyathorn Devakula)

Governor

The Bank of Thailand

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