

## Citizen Guide: Certificate Issuance (Bond Ownership/Substitute of Withholding Tax Certificate) (Individual)

**Organization providing service:** Payment and Bond Department, Bank of Thailand

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### Criteria, methods, conditions (if any) for submitting a request and granting permission

Criteria :

- Owner means an owner who is an individual.
- An authorized person to manage debt securities includes a legal representative of a minor, a guardian of a quasi-incompetent person, a curator of an incompetent person, or an estate administrator.

#### Method for submitting a request

An individual who wishes to request the following certificates

- 1) Substitute of withholding tax certificate
- 2) Securities balance confirmation letter
- 3) Debt securities verification certificate
- 4) Debt securities ownership certificate

has to submit a request in a form determined by the Bank of Thailand and signed with the same signature as given to the Bank of Thailand, as well as encloses other related documents as specified in the "List of required documents" (only a request for a substitute of withholding tax certificate can also be submitted by e-mail).

#### Remarks

The time for processing the request will start counting once the officer has received and verified all required documents specified in this citizen guide.

#### Submitting request in person

In a case where the request letter or required documents are not complete, and/or have errors that cause the officer to be unable to consider the request, the officer will create a memorandum that specifies errors or additional documents that must be submitted. The officer and the requester (a person who makes a request) or the authorized person will sign the memorandum. A copy of the memorandum will be given to the requester or the authorized person as evidence.

The requester must correct the errors and/or submit additional documents within the time period specified in the memorandum, otherwise it will be deemed that the requester abandons the request.

#### Submitting request via mail

As the Bank of Thailand has verified the documents, the Bank will issue a certificate and send the certificate to the requester via mail within 7 days after the date on which the consideration of the request has been completed under Section 10 of the Licensing Facilitation Act B.E. 2558.

If the Bank of Thailand has verified and found that the documents are not complete as specified in the citizen guide, the requester has to make corrections within the time period determined by the Bank of Thailand. The time period will start counting from the date on which the requester has received a letter / has been contacted from the Bank of Thailand.

### Service Channels

<b>Place</b> <i>Bond Division, Payment and Bond Department, Bank of Thailand Head Office 273 Samsen Road, Watsamphraya, Phra Nakhon District, Bangkok 10200 / Contact in person at the office</i>	<b>Opening hours:</b> <i>Monday through Friday (except official holidays) from 08:30 to 16:30 hrs. (lunch break at noon)</i>
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<i>Remark: Official holidays mentioned above are financial institutions holidays designated by the Bank of Thailand</i>	
<b>Place</b> Bank of Thailand Northern Region Office 68/3 Chotana Road, Muang Chiang Mai District, Chiang Mai 50300 / Contact in person at the office <i>Remark: Official holidays mentioned above are financial institutions holidays designated by the Bank of Thailand</i>	<b>Opening hours:</b> Monday through Friday (except official holidays) from 08:30 to 16:30 hrs. (lunch break at noon)
<b>Place</b> Bank of Thailand Northeastern Region Office 45 Nikorn Samran Road, Muang District, Khon Kaen 40000 / Contact in person at the office <i>Remark: Official holidays mentioned above are financial institutions holidays designated by the Bank of Thailand</i>	<b>Opening hours:</b> Monday through Friday (except official holidays) from 08:30 to 16:30 hrs. (lunch break at noon)
<b>Place</b> Bank of Thailand Southern Region Office 472 Phetkasem Road, Hat Yai District, Songkhla 90110 / Contact in person at the office <i>Remark: Official holidays mentioned above are financial institutions holidays designated by the Bank of Thailand</i>	<b>Opening hours:</b> Monday through Friday (except official holidays) from 08:30 to 16:30 hrs. (lunch break at noon)
<b>Place</b> Address as specified above / Mail <i>Remark: According to the service hours of each Thailand Post Company Limited's branch office</i>	<b>Opening hours:</b> 24-hour service
<b>Place</b> INT@bot.or.th/email <i>Remark: Applicable only for a request for a substitute of withholding tax certificate. If the request is submitted after 16.30 hrs. on a working day or on a bank holiday, it shall be deemed that the Bank of Thailand receives the request on the next working day.</i>	<b>Opening hours:</b> 24 hours.

### Steps, Processing time and Responsible department

**Total processing time:** 40 minutes

No.	Steps	Processing time	Responsible department
1)	<b>Document verification</b> Verify a request and required documents <i>Remark: One of identification documents as specified in the "List of required documents", items 1 – 3</i>	15 minutes	Payment and Bond Department
2)	<b>Consideration</b> Consider completeness and correctness of the documents / issue a certificate as requested <i>Remark: In a case where the Bank of Thailand has found that the documents are incorrect or has doubts about the documents, the Bank may ask the requester to correct the documents, explain or clarify about the documents for consideration</i>	15 minutes	Payment and Bond Department
3)	<b>Signing for approval/Board resolution</b> Propose authorized signatory for approval and notify the result to the requester in case the requester waits at the BOT office	10 minutes	Payment and Bond Department

No.	Steps	Processing time	Responsible department
	<i>Remark: In case of submitting the request by mail, the result will be notified within 7 days after the date on which the consideration has been completed.</i>		

#### List of required documents

No.	Document name, number of documents and additional information (if any)	Government agency that issues the document
1)	<b>Identification card</b> <b>Original 1</b> <b>Copy 0</b> <b>Remark</b> Original identification card is required. The Bank will retrieve information on identification document via the Department of Provincial Administration's Linkage Center system. In a case where the applicant does not contact in person or submits documents by mail, a copy of identification card must be included and certified as a true copy by the card owner.	Department of Provincial Administration
2)	<b>Identification card of government officer or state agency employee</b> <b>Original 1</b> <b>Copy 0</b> <b>Remark</b> The card issued by the original affiliation must have identification number. The Bank will retrieve information on identification document via the Department of Provincial Administration's Linkage Center system. In a case where the applicant does not contact in person or submits documents by mail, a copy of the card must be included and certified as a true copy by the card owner.	Department of Provincial Administration
3)	<b>Passport</b> <b>Original 1</b> <b>Copy 0</b> <b>Remark</b> 1. This is used for foreigner only (alien identification card can be used instead) 2. In case of submitting the request by mail, a copy of passport must be included and certified as a true copy by the passport owner	Passport Office
4)	<b>Request form as determined by the BOT</b> <b>Original 1</b> <b>Copy 0</b> <b>Remark –</b>	Payment and Bond Department

#### Fee

No.	Fee details	Fee (baht / per cent)
1)	<b>Only applicable to issuance of debt securities verification certificate or debt securities ownership certificate</b> <i>Remark: per certificate</i>	Fee 20 baht

**Channels for making complaints / suggestions**

No.	Channels for making complaints / suggestions
1)	Bank of Thailand Remark: <i>Head Office: Tel. 1213</i> <i>Southern Region Office: Tel. 0 7427 2000 ext. 4421-5</i> <i>Northeastern Region Office: Tel. 0 4333 3000 ext. 3214-9</i> <i>Northern Region Office: Tel. 0 5393 1074-8</i>
2)	Center of Public Service, Office of the Permanent Secretary Remark: No. 1, Phitsanulok Road, Dusit, Bangkok 10300 / Hotline 1111 / www.1111.go.th / P.O. Box 1111 No. 1, Phitsanulok Road, Dusit, Bangkok 10300
3)	Public Sector Anti-Corruption Operation Complaint Center Remark: Office of Public Sector Anti-Corruption Commission (PACC) - 99 Moo 4, Software Park Building 2 <sup>nd</sup> floor, Chaengwattana Road, Klong Gleua, Pakkred, Nonthaburi 11120 - Hotline 1206 / Telephone 0 2502 6670-80 ext. 1900 , 1904- 7 / Fax 0 2502 6132 - www.pacc.go.th / www.facebook.com/PACC.GO.TH  Anti-Corruption Operation Complaint Center for Foreign Investors Tel : +66 92 668 0777 / Line : Fad.pacc / Facebook : The Anti-Corruption Operation Center / Email : Fad.pacc@gmail.com

**Form, sample and guide for filling form**

No.	Form name
1)	Request Form (Remark: -)
2)	Power of Attorney (Remark: -)
3)	Sample (Remark: -)

**Remark**

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**Infographic**

No.	Form name
	No information

**Information for staff****Process name:** Certificate Issuance (Bond Ownership/Substitute of Withholding Tax Certificate) (Individual)**General term:** Certificate Issuance /Substitute of Withholding Tax Certificate**Central organization as process owner:** Bank of Thailand**Type of service:** One-stop service process**Category of service:** Registration**Laws that empower organization to grant permission or take other related actions:**

1) *Ministerial Regulation Prescribing the Criteria, Methods and Conditions for the Issuance, Buying and Selling, Transfer, and Use of Debt Securities as Collateral B.E.2550, by virtue of Sections 5 and 11 of the Public Debt Management Act B.E.2548*

2) *The Bank of Thailand Act B.E.2485 as amended by the Bank of Thailand Act (No. 4), B.E. 2551*

**Level of impact:** General service

**Service areas:** Central areas, provincial areas

**Rules / Agreements that determine time period: -**

**Time period determined by laws / requirements, etc.:** 40.0 minutes

**Process statistics:**

Average requests per month 237

Maximum number of requests 508

Minimum number of requests 103

**Citizen Guide's reference names:** A copy of Citizen Guide 22/08/2019 14:52