

The Consideration of Offence and Disciplinary Action of Disciplinary Committee: 1 January 2019 – 31 March 2019

Offender	Nature of Act	the SET's Regulations	Disciplinary Committee's decision
FINANSIA SYRUS SECURITIES PUBLIC COMPANY LIMITED ("FSS")	Sale of the securities whereby the customer does not have such securities in its possession.	Clause 39 (1) of the Regulations of The Stock Exchange of Thailand governing Trading, Clearing and Settlement of Securities in the Exchange	Penalization 220,484 baht.
CLSA SECURITIES (THAILAND) LIMITED ("CLSA")	Sale of the securities whereby the customer does not have such securities in its possession.	Clause 39 (1) of the Regulations of The Stock Exchange of Thailand governing Trading, Clearing and Settlement of Securities in the Exchange	Penalization 8,330,670 baht.