

FAQ: SET "Regulations" menu improvement

1. Reason

Due to a lot of sub- menu under the "Regulations" menu located at www.set.or.th that make some difficulties in usage and search for the information. Recently, SET has improved its navigation and new look and feel of the menu "Rulebooks" "SET Circular" including "Form" to be more effective as well as adding an "Advanced Search" function to allow you to search for information more easily and conveniently.

2. Menu or URL to be impacted

- **Menu** Rule/Regulations > Regulations > **Rules Book**
- **Menu** Rule/Regulations > Regulations > **SET Circular**

3. Effective date

27 July 2019 onwards

4. Improvement Detail

SET has improved new look and feel of "Rules Book" "SET Circular" menu and present it as HTML page as well as adding "Form" menu and Advanced Search functions together in one page for easy navigation which are as below:-

Menu "Regulations"

- **Regulations**
 - Effective
 - Cancelled
- **Circular Letter**
 - Effective
 - Cancelled
- **Form**
- **Advanced Search**

Sub-menu "Regulations"

The lists of topics under "Regulations" are as follow:-

1. Securities

- Listed Securities
- Trading & Supervision
- Member
- Enforcement
- Thailand Clearing House Co., Ltd. (TCH)
- Thailand Securities Depository Co., Ltd. (TSD)
- Registrar

2. Derivatives

- Derivatives Trading
- Member
- Thailand Clearing House Co., Ltd. (TCH)

Regulations

Securities	Derivatives
Listed Securities	Derivatives Trading
Trading & Supervision	Member
Member	Thailand Clearing House Co., Ltd. (TCH)
Enforcement	
Thailand Clearing House Co., Ltd. (TCH)	
Thailand Securities Depository Co., Ltd. (TSD)	
Registrar	

When click into the topic, you can find the heading and information that has been grouping to be easy to understand.

Regulations

Home

Securities

[Print](#)

- ▼ Listed Securities
 - ▼ Common shares
 - ▼ Listing
 - ▼ Listing on SET
 - ▼ (Bor.Jor./Ror.01-00) Listing of Ordinary Shares or Preferred Shares as Listed Securities, B.E. 2558 (2015)
 - [Chapter 1 Definitions](#)
 - [Chapter 2 Listing of Ordinary Shares or Preferred Shares of Company Established under Thai Law as Listed Securities](#)
 - [Chapter 3 Listing of Ordinary Shares or Preferred Shares of Foreign Company as Listed Securities](#)
 - [Chapter 4 Miscellaneous](#)
 - [Transitional Provision](#)
 - [Guidelines for Consideration of the Determination of the Period of Prohibition of Persons from being a Director, Management](#)

When click into each regulations, you will see it as HTML including its details such as Announcement date, Effective date, Status, Category. You also can download PDF file or click "Whole section" for the whole information of the regulations.

Regulations

Home

Securities

 Whole section  Print

Listed Securities

Announcement date : 11 MAY 2015

Effective date : 16 MAY 2015

Status : Effective

Category : Regulations

 download ▾

(Bor.Jor./Ror.01-00) Listing of Ordinary Shares or Preferred Shares as Listed Securities, B.E. 2558 (2015)

Chapter 1 Definitions

Readers should be aware that only the original Thai text has legal force and that this English translation is strictly for reference. The Stock Exchange of Thailand cannot undertake any responsibility for its accuracy nor be held liable for any loss or damages arising from or related to its use.

By virtue of the second paragraph of (1) of Section 170 of the Securities and Exchange Act B. E. 2535 (1992), the Board of Governors of the Stock Exchange of Thailand, with the approval of the Securities and Exchange Commission, hereby issues the following provisions:

1. These Regulations shall come into force on 16 May 2015.

CHAPTER 1

Definitions

2. In these Regulations:

“Exchange” means the Stock Exchange of Thailand;

“Board” means the Board of Governors of the Exchange, provided that if the President of the Exchange is assigned to perform duties on behalf of the Board of Governors of the Exchange under this Regulation, this term shall mean to include the President of the Exchange so assigned except for in the provisions of Clauses 15, 16, 17, 22, 23, 24, 31, 64, 82, 83, 84, 89, 90, 91, 98, 129 and 139;

“Office” means the Office of the Securities and Exchange Commission;

“Notification of the Capital Market Supervisory Board” means the Notification of the Capital Market Supervisory Board governing the application for an approval and approval for the offering of newly issued shares;

Sub-menu "Circular Letter"

The lists of topics are as following:-

1. Securities

- Listed Securities
- Trading & Supervision
- Member
- Enforcement
- Thailand Clearing House Co., Ltd. (TCH)
- Thailand Securities Depository Co., Ltd. (TSD)
- Registrar

2. Derivatives

- Derivatives Trading
- Member
- Thailand Clearing House Co., Ltd. (TCH)

🏠 Regulations ▾ Circular letter ▾ Form 🔍 Advanced Search Language : ไทย | EN

Circular letter

Securities
Listed Companies
Trading & Supervision
Member
Enforcement
Thailand Clearing House Co., Ltd. (TCH)
Thailand Securities Depository Co., Ltd. (TSD)
Registrar

Derivatives
Trading & Supervision
Member
Enforcement
Thailand Clearing House Co., Ltd. (TCH)

The circular letter in each topic is grouping by year.



Circular letter

Home

Securities

Print

▾ Listed Companies

▾ Rules & Regulations

- ▶ 2019
- ▶ 2018
- ▶ 2017
- ▶ 2016
- ▶ 2015
- ▶ 2014
- ▶ 2013
- ▶ 2012
- ▶ 2011
- ▶ 2010
- ▶ 2009
- ▶ 2008
- ▶ 2007
- ▶ 2006

Circular letter

Home

Securities

Print

▼ Listed Companies

▼ Rules & Regulations

▼ 2019

- [\(Bor.Jor.\(Wor\) 1/2019\) The regulations adjustment according to Regulation Reform plan](#)

▼ 2018

- [\(Bor.Jor \(Wor\) 1 / 2018\) Adjustment on excluding shareholders' rights date according to the reduction in duration of the clearing and sett](#)
- [\(Bor.Jor.\(Wor\) 2 /2018\) "C" \(Caution\) measure and the adjustment of backdoor listing](#)
- [\(Bor.Jor. \(Wor\) 4 /2018\) Revision of the rules for information disclosure of a Property Fund and Infrastructure Fund](#)
- [\(Bor. Jor. \(Wor\) 6/2018\) Requesting cooperation from public companies to disclose information on the person taking the highest respon](#)
- [\(ที่ บจ. \(ว\) 5 /2561\) ขอความร่วมมือรายงานข้อมูลเกี่ยวกับการมีหรือได้รับสัมปทานจากรัฐหรือเข้าเป็นคู่สัญญากับรัฐ](#)

▼ 2017

- [\(Bor Jor. \(Wor\). 4/2017 \) The specifications of qualifications for the person taking the highest responsibility in finance and accounting \(Ch](#)
- [\(Bor Jor. \(Wor\) 6 / 2017 \) The adjustment of Record Date for any shareholders' right](#)
- [\(Bor.Jor \(Wor\) 8 / 2017\) Adjustment on submission guidelines for listed companies' information and reports](#)
- [\(Bor.Jor. \(Wor\) 13/2017\) Revision of the Rules for the Delisting of Securities.](#)

▶ 2016

When click into circular letter, you can see the information as HTML and link to download PDF file

Circular letter

Home

Securities

Print

Listed Companies

Announcement date : 1 APR 2019

Status : Effective

Category : Circular letter

download

(Bor.Jor.(Wor) 1/2019)The regulations adjustment according to Regulation Reform plan

(Translation)

Bor.Jor.(Wor) 1/2019

March 21, 2019

Subject: The regulations adjustment according to Regulation Reform plan

To: Managing Directors of

Listed companies, asset management companies, REITs managers and financial advisors of all companies

Reference: SET's regulation governing Listing of ordinary shares or preferred shares as listed securities B.E. 2558 (2015) in section 6 about the maintaining status of listed companies

- Enclosure:
1. Summary of principle of adjusted SET's regulations
 2. Summary of adjusted SET's regulations
 3. Training schedule of adjusted Free Float report preparation system

According to The Stock Exchange of Thailand (SET) is in the process of Regulatory Reform project in order to adjust SET's regulations and actions to reduce redundancy of process and regulations and to be complied with current circumstance and benefit for related parties while maintaining the balance of regulation efficiency,

SET has received useful opinions and suggestions from related persons in capital market and these will be applied for consideration to adjust regulations and submission system. Detail of the adjustments for initial phrase is shown as follows;

1. The adjustment of temporary trading suspension (Suspension – SP) by allowing of temporary trading after the securities have been suspended for a period of time or before being delisted SET will allow temporarily trading after the securities have been suspended for a period of time, resulting from the listed companies are unable to disclose material information, financial statements and the auditor issues adverse opinion on the financial statements, in order to provide opportunity to investors for trading before such securities will be posted SP sign if the cause cannot be solved including the allowing for trading before being delisted. The risk limitation measure will be applied with aforementioned actions for investors to be careful in such trading period by purchasing with Cash Balance account (the customers have to

At the end of the page, you can see related link of regulations or other circular letter (if any)

Regulations circular

- [\(Bor.Jor \(Wor\) 1 / 2018\) Adjustment on excluding shareholders' rights date according to the reduction in duration of the clearing and settlement of securities to T+2 and SP date for final exercise of Warrant and DW](#)

Sub-menu "Form"

The lists of topics are as following:-

1. Securities

- Listed Securities
- Trading & Supervision
- Member
- Enforcement
- Thailand Clearing House Co., Ltd. (TCH)
- Thailand Securities Depository Co., Ltd. (TSD)
- Registrar

2. Derivatives

- Trading & Supervision
- Member
- Thailand Clearing House Co., Ltd. (TCH)

Form

Securities
Listed Companies
Trading & Supervision
Member
Enforcement
Thailand Clearing House Co., Ltd. (TCH)
Thailand Securities Depository Co., Ltd. (TSD)
Registrar

Derivatives
Trading & Supervision
Member
Thailand Clearing House Co., Ltd. (TCH)

When click at the topic, you will find the link of the "form" related to the topic. You can immediately click link to download form.

Form

Home

Securities

[Print](#)

▼ Trading & Supervision

- ▼ (FORM MO-Member1) Request Form for Connection of the Company's Computer System to the Trading System of SET / TFEX
 - [Request Form for Connection of the Company's Computer System to the Trading System of SET / TFEX](#)
- ▼ (FORM MO-Security1) System Security Assessment Form
 - [System Security Assessment Form](#)
- ▼ (FORM MO-ISV1) Certificate of Software in the member's computer system by the Independent Software Vendor/Service Provider
 - [Certificate of Software in the member's computer system by the Independent Software Vendor/Service Provider](#)
- ▼ (FORM MO-PROG1) Application for the Program Trading Software
 - [Application for the Program Trading Software](#)
- ▼ (FORM MO-DMA1) Direct Market Access (DMA) Request Form
 - [Direct Market Access \(DMA\) Request Form](#)
- ▼ (FORM MO-API1) Form for Reporting the Intention to Utilize the API User on the SET CONNECT System (Equity Market)
 - [Form for Reporting the Intention to Utilize the API User on the SET CONNECT System \(Equity Market\)](#)

Sub-menu "Advanced Search"

You can search by these criteria

1. Keyword Search
2. Search by Category
 - Regulations
 - Practice
 - Guide
 - Circular Letter
 - Form
3. Search by Status
 - All
 - Effective
 - Cancelled
4. Search by Instrument
 - Securities
 - Derivatives
5. Search by Topic – as the chosen instrument

Advanced Search

Keyword : *

Category :

Regulations ▾

Status :

All Effective Cancelled

Instrument :

Securities Derivatives

Topic :

All ▾

Search

For example: search for "Debenture"

The system will find all Regulations/Circular letter/Form and detail related with the keyword then highlights the keyword in yellow alphabet. Search result will show sample sentence which include your keyword for you to see.

Advanced Search

Keyword : *

Category :

Regulations ▾

Status :

All Effective Cancelled

Instrument :

Securities Derivatives

Topic :

All ▾

Search

Result

Code	Type	Name	Status	Announcement Date	Effective Date
(Bor.Jor./Ror.03-00)	Regulations	(Bor.Jor./Ror.03-00) Listing and Delisting of Warrants on Ordinary Shares or Preferred Shares or Debentures B.E. 2560 (2017) [Effective 1 Feb.2018]	Active	25 DEC 2017	1 FEB 2018
	Regulations	Haircut Rate (25 Jan 2019) Debentures, and Derivative Warrants 100 Remark : * Where the assets placed as collateral are listed ...	Active	25 JAN 2019	1 FEB 2019

When click into the link to see the story details, you will see the yellow highlight of keyword which help you find your search information more easily.

(Bor.Jor./Ror.03-00) Listing and Delisting of Warrants on Ordinary Shares or Preferred Shares or Debentures B.E. 2560 (2017) [Effective 1 Feb.2018]

(UNOFFICIAL TRANSLATION)

(Bor.Jor./Ror.03-00)

Readers should be aware that only the original Thai text has legal force and that this English translation is strictly for reference. The Stock Exchange of Thailand cannot undertake any responsibility for its accuracy nor be held liable for any loss or damages arising from or related to its use.

Regulation of the Stock Exchange of Thailand

Re: Listing and Delisting of Warrants on Ordinary Shares or

Preferred Shares or Debentures B.E. 2560 (2017)

By virtue of the second paragraph (1) of Section 170 of the Securities and Exchange Act B.E. 2535 (1992), the Board of Governors of the Stock Exchange of Thailand, with the approval of the Securities and Exchange Commission, hereby issues the following regulations.

1. This Regulation shall come into force from 1 February 2018 onwards.

2. The following shall be repealed:

(1) Regulation of the Stock Exchange of Thailand Re: Listing of Warrants on Ordinary Shares, or Preferred Shares or Debentures B.E. 2544 (2001)

Should you have any queries, please feel free to contact SET Contact Center via Email

SETContactCenter@set.or.th or Tel. + 662 009 9999
