

The Consideration of Offence and Disciplinary Action of Disciplinary Committee: 1 January 2022 –31 December 2022

Description of Offense			The SET's Regulations
Offender	Nature of Act	Disciplinary Committee's decision	
MAYBANK SECURITIES (THAILAND) PUBLIC CO.,LTD. (MST) and 3 authorized officers	<p><u>Company Matters:</u></p> <ul style="list-style-type: none"> ● Selling securities without possession (Naked Short Selling) ● Placing inappropriate buy or sell orders for securities. ● Failure to supervise its authorized officers to ensure compliance with the Stock Exchange's rules and regulations. 	Penalization	<ul style="list-style-type: none"> ● Clause 39 (1) and (3) of the Regulations of the Stock Exchange of Thailand, Re: Trading, Clearing and Settlement of Securities in the Exchange ● The third paragraph of Clause 45 of the Regulations of the Stock Exchange of Thailand, Re: Procedures on Trading, Clearing and Settlement of Securities in the Exchange
	<p><u>Authorized Officer Matters:</u></p> <ul style="list-style-type: none"> ● Selling securities without possession (Naked Short Selling) ● Placing inappropriate buy or sell orders for securities. 	Probation	<ul style="list-style-type: none"> ● Clause 23 (1) and (5) of the Notification of the Stock Exchange of Thailand, Re: Persons Involved in the Trading System ● Clause 39 (1) and (3) of the Regulations of the Stock Exchange of Thailand, Re: Trading Clearing and Settlement of Securities in the Exchange
FINANSIA SYRUS SECURITIES PUBLIC CO.,LTD. (FSS) and 1 authorized officer	<p><u>Company Matters:</u></p> <ul style="list-style-type: none"> ● Failure to test order submissions placements on the test environment. ● Lack of measures to prevent and control unauthorized persons from placing orders via the internet on behalf of clients. 	Probation	<ul style="list-style-type: none"> ● Clause 18 and clause 44/1 (5) of the Notification of the Stock Exchange of Thailand, Re: Procedures on Trading, Clearing and Settlement of Securities in the Exchange

The Consideration of Offence and Disciplinary Action of Disciplinary Committee: 1 January 2022 –31 December 2022

Description of Offense			The SET's Regulations
Offender	Nature of Act	Disciplinary Committee's decision	
	<ul style="list-style-type: none"> ● Failure to supervise authorized officers to ensure compliance with the Stock Exchange's rules and regulations. 		<ul style="list-style-type: none"> ● The third paragraph of Clause 45 of the Regulations of the Stock Exchange of Thailand, Re: Trading, Clearing and Settlement of Securities in the Exchange
	<p><u>Authorized Officer Matters:</u></p> <ul style="list-style-type: none"> ● Entering orders via the internet on behalf of clients. 	Probation	<ul style="list-style-type: none"> ● Clause 23 (1) of the Notification of the Stock Exchange of Thailand, Re: Persons Involved in the Trading System ● Clause 44/1 (5) of the Notification of the Stock Exchange of Thailand, Re: Procedures on Trading, Clearing and Settlement of Securities in the Exchange
Nomura Pattanasin Securities Public Company Limited "CNS"	<ul style="list-style-type: none"> ● Failure to test order submissions placements on the test environment. 	Probation	<ul style="list-style-type: none"> ● Clause 18 of the Notification of the Stock Exchange of Thailand, Re: Procedures on Trading, Clearing and Settlement of Securities in the Exchange