

The Consideration of Offence and Disciplinary Action of Disciplinary Committee: 1 January 2024 –31 December 2024

Description of Offense			The SET's Regulations
Offender	Nature of Act	Disciplinary Committee's decision	
LIBERATOR SECURITIES CO.,LTD. (LIB)	<ul style="list-style-type: none"> ● The Company used its broker front office system connected to SET's trading system in a manner that did not comply with the criteria prescribed by the Stock Exchange of Thailand. ● The Company failed to keep and maintain activity records of its broker front office system as prescribed by the Stock Exchange of Thailand. 	Penalization 500,000 Baht	<ul style="list-style-type: none"> ● Clause 6 and 7 of the Notification of the Stock Exchange of Thailand, Re: Procedures on Trading, Clearing and Settlement of Securities in the Exchange.
KRUNGTHAI XSPRING SECURITIES CO.,LTD. (KTX)	<ul style="list-style-type: none"> ● the Company used its broker front office system connected to SET's trading system in a manner that did not comply with the criteria prescribed by the Stock Exchange of Thailand. 	Penalization 250,000 Baht	Clause 7 of the Notification of the Stock Exchange of Thailand, Re: Procedures on Trading, Clearing and Settlement of Securities in the Exchange.
GMO-Z COM SECURITIES (THAILAND) PUBLIC CO.,LTD. (Z)	<ul style="list-style-type: none"> ● The Company failed to comply with the Stock Exchange's prescribed criteria regarding margin trading of securities. 	Penalization 650,000 Baht	<ul style="list-style-type: none"> ● Clause 17 (1) of the Regulations of the Stock Exchange of Thailand, Re: Membership Rules ● Clause 10 of the Regulations of the Stock Exchange of Thailand, Re: Margin Trading of Securities, in conjunction with Clause 3 of the Notification of the Stock Exchange of Thailand, Re: The Ratio of Initial Margin, Ratio for the Customer to Lodge Money or Properties as Additional Collateral and Ratio for the Member to Enforce Payment of Debt Concerning Securities Trading by Margin.