



Cooperation between the Securities and Exchange Commission and the Stock Exchange to enhance the oversight of the Thai capital market

The Office of Securities and Exchange Commission (SEC) stands fully committed to collaborating with the Stock Exchange of Thailand (SET) to enhance the oversight of the Thai capital market. This collaborative effort will entail a comprehensive five-step approach, commencing with rigorous screening of listed securities even before their initial public offerings, followed by stringent monitoring of securities entering and exiting the market. Our shared objective is to fortify the Thai capital market, rendering it a trusted and inclusive ecosystem that benefits both investors and the broader community (A Capital Market for All).

Within the ambit of the 'Strong Securities Issuers Project,' SEC have been making steady strides in implementing measures aimed at fostering investor protection and bolstering the integrity of the capital market. These measures include:

- (1) Elevating the standards for quality screening and oversight of companies listed on the stock exchange, mandating adherence to principles of good governance and criteria for backdoor listings.
- (2) Enhancing the competence of key personnel in the capital market, including auditors, financial advisors, and personnel responsible for securities issuance. This will ensure that the SEC carries out their roles with impartiality and dedication to safeguarding the interests of shareholders and investor protection.
- (3) Facilitating the creation of a mechanism that empowers investors with knowledge and tools to safeguard their rights effectively.