

The Consideration of Offence and Disciplinary Action of Disciplinary Committee: 1 January 2021 – 31 December 2021

Offender	Nature of Act	the SET's Regulations	Disciplinary Committee's decision
KRUNGTHAI ZMICO SECURITIES COMPANY LIMITED ("KTZ")	The Company, through its investor consultant, did not disclose the conflict of interest to a customer who has been purchasing the securities of a related company.	<ul style="list-style-type: none"> a. Clause 17 (1) of the Regulations of the Stock Exchange of Thailand, Re: Membership Rules; b. the second paragraph of Clause 40 (2) of the Regulations of the Stock Exchange of Thailand, Re: Trading, Clearing and Settlement of Securities in the Exchange; and c. Clause 88 (3) and clause 91 of the Notification of the Stock Exchange of Thailand, Re: Procedures on Trading, Clearing and Settlement of Securities in the Exchange. 	Penalization 20,000 baht.