

**SEC Thailand's Public Hearing on Draft on providing services of Portfolio Advisory and Program Trading guideline by ASCO**

According to the issue of the Notification of the Securities and Exchange Commission No. Kor Nor. 7/2562 and the Notification of the Securities and Exchange Commission No. Sor Thor. 33/2562 on providing services of Portfolio Advisory and Program Trading in order to create more choices for investor, the Association of Thai securities companies ("ASCO") has offered a draft on providing services of Portfolio Advisory and Program Trading guideline for the purpose of setting standard on providing services and promoting the trading services in the capital market.

By the approval of SEC on this draft, it will be applied to all types of securities brokerages and derivatives brokerages such as banks, security companies, mutual fund brokerage companies that provide services of Portfolio Advisory and Program Trading.

The guideline the business operators shall perform includes 1) providing service model which is responsible by the senior executive 2) providing service agreement with clients 3) providing suitable personnel for giving advice on investment 4) providing business operator's procedure and operation 4) service fee

For further details of the public hearing, please visit [www.sec.or.th/hearing](http://www.sec.or.th/hearing) or contact The Intermediaries Policy Department at 0-2033-9935 or email: [chanisarab@sec.or.th](mailto:chanisarab@sec.or.th). For electronic comments, please send an email to [chanisarab@sec.or.th](mailto:chanisarab@sec.or.th). For paper comments, please send them to: The Intermediaries Policy Department, the Securities and Exchange Commission, Thailand

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The public hearing ends on 23 September 2019.