

SEC public hearing on drafted amendment to regulations on personnel in the capital market businesses

The SEC is seeking public comments on a drafted amendment to the regulations governing personnel in the capital market businesses by extending the period for renewal of the approval to be on any business day until the last business day of the year to facilitate capital market businesses in submitting the renewal application under a sufficient period of time as well as to reduce redundant processes and burdens on capital market businesses and their personnel.

The SEC is amending regulations on personnel in the capital market businesses by: (1) extending the period for renewal of approval to be on any working day until the last working day of the year wherein the approval will expire, and (2) requiring capital market businesses to submit a renewal application, notify the commencement and termination of duty, and renew the approval for the personnel who work for them.

Earlier in August 2020, the SEC conducted a public hearing on the proposed revision to the regulations on capital market business personnel; The results showed that most hearing participants agreed with the proposal.

For further details of this public hearing, please visit https://www.sec.or.th/EN/Pages/PB_LISTVIEW.aspx. The public hearing ends on 27 July 2021.