

SEC announces public hearing on (1) rules for applying for the license of securities trading center, clearing house, and securities depository center and (2) rules for applying for the license of securities registrar.

The Securities and Exchange Commission (SEC) is seeking public comments on (1) rules for applying for the license of securities trading center, clearing house, and securities depository center in accordance with Section 206 and Section 222 of the Securities and Exchange Act B.E. 2535\* and Section 22 of the Act on Legislative Drafting and Evaluation of Law B.E. 2562 (2019)\*\* and (2) rules for applying for the license of securities registrar corresponding to changing market environment.

The SEC is proposing rules for applying for the license of securities trading center, clearing house, and securities depository center and proposing the amendments of rules for applying for the license of securities registrar as approved in principle by the SEC Board's Meeting No. 9/2566 dated 11 May 2023. The objectives are as follows: (1) to protect investors from unauthorized businesses and ensure orderly market by preserving the supervisory powers of the SEC in granting the license of securities trading center, clearing house, and securities depository center and (2) to improve rules for securities registrar. The proposed rules include:

**(1) Applying for and granting of securities trading center, clearing house, and securities depository center license:** An applicant must demonstrate high-standard qualifications including financial readiness, personnel, and operating systems. The operations of successful applicants should comply with related international standards, e.g., IOSCO Principles.

**(2) Applying for and granting of securities registrar license:** The proposed amendments specify and improve the qualifications including capital requirements and IT risk management system. In addition, the proposed amendments streamline licensing procedures and revise related fees in consistent with other securities businesses.

The consultation paper is available at [https://www.sec.or.th/EN/Pages/PB\\_LISTVIEW.aspx](https://www.sec.or.th/EN/Pages/PB_LISTVIEW.aspx).

Stakeholders and interested parties are welcome to give comments and suggestions via the SEC's website or the following emails : natdanai@sec.or.th (securities trading center), patima@sec.or.th (clearing house), wasin@sec.or.th (securities depository center), and pimpicha@sec.or.th (securities registrar).

The public hearing ends on 11 August 2023.

---

Note:

**\* Securities and Exchange Act B.E. 2535**

<https://www.sec.or.th/EN/Documents/ActandRoyalEnactment/Act/act-sea1992-amended.pdf>

**\*\* Act on Legislative Drafting and Evaluation of Law B.E. 2562 (2019)**

[https://www.krisdika.go.th/data//document/ext853/853083\\_0001.pdf](https://www.krisdika.go.th/data//document/ext853/853083_0001.pdf)