

Statistics of Criminal Actions (As of 30 September 2023)

Offences* /Year	2023				2022			
	Criminal Fine		File Criminal Complaint		Criminal Fine		File Criminal Complaint	
	Cases	Persons	Cases	Persons	Cases	Persons	Cases	Persons
Director of Company								
Fraud			1	9			3	14
Fail to exercise duty of care			-	-			-	-
Unfair Securities Trading Activities								
Disclosure of false statement/ Dissemination of false or misleading information			-	-			1	1
Market manipulation			4	68			-	-
Insider trading / Disclose inside information			-	-			-	-
Takeover	-	-	-	-	1	1	-	-
Securities Issuance								
Disclosure report	18	39	10	28	56	114	16	51
Report of securities holding of directors and executives	2	2	1	1	6	6	-	-
Non-compliance with securities offering	10	17	3	8	5	11	4	10
Others	4	8	-	-	23	48	1	6
Public offering of digital tokens								
Digital tokens offering without an approval	-	-	-	-	-	-	1	2
Securities/Digital Asset Business Operator								
Non-compliance with business conducts	9	14	2	2	20	38	3	3
Unlicensed securities businesses			-	-			-	-
Unlicensed derivatives businesses			-	-			-	-
Unlicensed digital asset businesses			1	2			1	2
Director or person responsible for business operator fraud (including aider and abettor)			-	-			-	-
Others								
Giving false testimony to competent officer			-	-			-	-
Failure to comply with the competent officer's order			-	-			1	2
Failure to uphold professional standards			-	-			-	-
Grand Total	43	80	20	118	111	218	31	91

*Some offenders may committed more than one offense.

Statistics of Criminal Actions (As of 30 September 2023)

Offences* /Year	2021				2020			
	Criminal Fine		File Criminal Complaint		Criminal Fine		File Criminal Complaint	
	Cases	Persons	Cases	Persons	Cases	Persons	Cases	Persons
Director of Company								
Fraud			6	43			3	10
Fail to exercise duty of care			-	-			-	-
Unfair Securities Trading Activities								
Disclosure of false statement/ Dissemination of false or misleading information			-	-			-	-
Market manipulation			-	-			1	4
Insider trading / Disclose inside information			-	-			-	-
Takeover	-	-	-	-	5	5	-	-
Securities Issuance								
Disclosure report	20	39	-	-	2	3	2	4
Report of securities holding of directors and executives	3	3	-	-	5	5	-	-
Non-compliance with securities offering	1	1	1	1	1	1	2	5
Others	3	6	-	-	-	-	-	-
Public offering of digital tokens								
Digital tokens offering without an approval	-	-	-	-	-	-	-	-
Securities/Digital Asset Business Operator								
Non-compliance with business conducts	8	9	1	1	11	13	-	-
Unlicensed securities businesses			1	3			1	1
Unlicensed derivatives businesses			-	-			-	-
Unlicensed digital asset businesses			1	1			-	-
Director or person responsible for business operator fraud (including aider and abettor)			-	-			-	-
Others								
Giving false testimony to competent officer			-	-			-	-
Failure to comply with the competent officer's order			-	-			-	-
Failure to uphold professional standards			-	-			-	-
Grand Total	35	58	10	49	24	27	9	24

*Some offenders may committed more than one offense.

Statistics of Criminal Actions (As of 30 September 2023)

Offences* /Year	2019				2018			
	Criminal Fine		File Criminal Complaint		Criminal Fine		File Criminal Complaint	
	Cases	Persons	Cases	Persons	Cases	Persons	Cases	Persons
Director of Company								
Fraud			2	9			4	46
Fail to exercise duty of care			-	-			1	1
Unfair Securities Trading Activities								
Disclosure of false statement/ Dissemination of false or misleading information			1	4			1	1
Market manipulation			-	-			-	-
Insider trading / Disclose inside information			-	-			-	-
Takeover	1	2	2	4	8	14	1	1
Securities Issuance								
Disclosure report	5	7	8	14	5	10	5	9
Report of securities holding of directors and executives	1	1	-	-	4	4	1	2
Non-compliance with securities offering	1	2	-	-	2	4	1	2
Others	1	1	1	4	2	4	-	-
Public offering of digital tokens								
Digital tokens offering without an approval	-	-	1	2	-	-	-	-
Securities/Digital Asset Business Operator								
Non-compliance with business conducts	5	5	2	4	7	10	-	-
Unlicensed securities businesses			-	-			2	12
Unlicensed derivatives businesses			-	-			3	11
Unlicensed digital asset businesses			1	2			-	-
Director or person responsible for business operator fraud (including aider and abettor)			-	-			-	-
Others								
Giving false testimony to competent officer			-	-			-	-
Failure to comply with the competent officer's order			-	-			-	-
Failure to uphold professional standards			-	-			-	-
Grand Total	14	18	18	43	28	46	19	85

*Some offenders may committed more than one offense.

Statistics of Criminal Actions (As of 30 September 2023)

Offences* /Year	2017				2016			
	Criminal Fine		File Criminal Complaint		Criminal Fine		File Criminal Complaint	
	Cases	Persons	Cases	Persons	Cases	Persons	Cases	Persons
Director of Company								
Fraud			4	37			1	3
Fail to exercise duty of care			1	1	1	1	-	-
Unfair Securities Trading Activities								
Disclosure of false statement/ Dissemination of false or misleading information			-	-	3	3	-	-
Market manipulation			-	-	4	16	2	16
Insider trading / Disclose inside information			-	-	7	15	2	3
Takeover	5	12	-	-	1	5	1	3
Securities Issuance								
Disclosure report	33	67	15	29	20	40	15	35
Report of securities holding of directors and executives	5	5	-	-	2	2	-	-
Non-compliance with securities offering	-	-	-	-	-	-	1	4
Others	5	7	-	-	2	10	-	-
Public offering of digital tokens								
Digital tokens offering without an approval								
Securities/Digital Asset Business Operator								
Non-compliance with business conducts	9	13	-	-	19	20	-	-
Unlicensed securities businesses			-	-			5	17
Unlicensed derivatives businesses			1	2			-	-
Unlicensed digital asset businesses								
Director or person responsible for business operator fraud (including aider and abettor)			-	-			-	-
Others								
Giving false testimony to competent officer			-	-			-	-
Failure to comply with the competent officer's order			-	-			-	-
Failure to uphold professional standards			-	-			-	-
Grand Total	57	104	21	69	59	112	27	81

*Some offenders may committed more than one offense.

Statistics of Criminal Actions (As of 30 September 2023)

Offences* /Year	2015				2014			
	Criminal Fine		File Criminal Complaint		Criminal Fine		File Criminal Complaint	
	Cases	Persons	Cases	Persons	Cases	Persons	Cases	Persons
Director of Company								
Fraud			5	21			1	3
Fail to exercise duty of care	-	-	2	2	-	-	-	-
Unfair Securities Trading Activities								
Disclosure of false statement/ Dissemination of false or misleading information	1	1	-	-	-	-	-	-
Market manipulation	2	12	1	4	6	35	3	23
Insider trading / Disclose inside information	6	10	1	2	5	13	-	-
Takeover	3	4	1	1	3	3	-	-
Securities Issuance								
Disclosure report	24	47	20	38	34	67	34	70
Report of securities holding of directors and executives	1	1	-	-	1	1	-	-
Non-compliance with securities offering	-	-	-	-	-	-	-	-
Others	-	-	-	-	-	-	-	-
Public offering of digital tokens								
Digital tokens offering without an approval								
Securities/Digital Asset Business Operator								
Non-compliance with business conducts	14	14	-	-	21	21	-	-
Unlicensed securities businesses			2	8			3	6
Unlicensed derivatives businesses			1	3			4	7
Unlicensed digital asset businesses								
Director or person responsible for business operator fraud (including aider and abettor)			1	1			-	-
Others								
Giving false testimony to competent officer			1	1			-	-
Failure to comply with the competent officer's order			-	-			-	-
Failure to uphold professional standards			-	-			-	-
Grand Total	51	89	35	81	70	140	45	109

*Some offenders may committed more than one offense.

Statistics of Criminal Actions (As of 30 September 2023)

Offences* /Year	2013			
	Criminal Fine		File Criminal Complaint	
	Cases	Persons	Cases	Persons
Director of Company				
Fraud			3	8
Fail to exercise duty of care	-	-	-	-
Unfair Securities Trading Activities				
Disclosure of false statement/ Dissemination of false or misleading information	-	-	-	-
Market manipulation	-	-	2	13
Insider trading / Disclose inside information	4	10	1	1
Takeover	4	8	1	1
Securities Issuance				
Disclosure report	26	43	36	70
Report of securities holding of directors and executives	1	1	-	-
Non-compliance with securities offering	-	-	-	-
Others	-	-	-	-
Public offering of digital tokens				
Digital tokens offering without an approval				
Securities/Digital Asset Business Operator				
Non-compliance with business conducts	17	17	-	-
Unlicensed securities businesses			1	4
Unlicensed derivatives businesses			5	11
Unlicensed digital asset businesses				
Director or person responsible for business operator fraud (including aider and abettor)			3	7
Others				
Giving false testimony to competent officer			-	-
Failure to comply with the competent officer's order			2	3
Failure to uphold professional standards			-	-
Grand Total	52	79	54	118

*Some offenders may committed more than one offense.

Summary of Criminal Sanctions in 2022

Types of Offences	Filed for Criminal Complaint		Fined (settled cases only)			
	No. of Cases	No. of Persons	No. of Cases	No. of Persons	No. of Accusations	Paid Fine (Baht)
Fraud or breach of fiduciary duty	3	14				
Unfair securities trading activities	1	1				
Takeovers	-	-	1	1	1	53,500.00
Securities issuance and offering (eg. submitting proper and timely disclosure documents of listed companies, reporting changes to securities holding by executives and debenture public offering without approval)	22	69	86	168	356	39,064,350
Breach of business rules	3	3	20	38	55	86,417,750
Doing securities business derivatives business or digital asset business without license	1	2				
Others (eg. Fails to comply with the order of the competent official)	1	2				
Total	<u>31</u>	<u>91</u>	<u>107</u>	<u>207</u>	<u>412</u>	<u>125,535,600</u>

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