

**Important Instructions for Completing a Complaint Form**

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| **Matters under the SEC supervision** |
| 1. Matters under the SEC supervision in accordance with the governing laws. For example:
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| * approved securities / derivatives / digital asset intermediaries e.g.

securities company/broker, asset management company and digital asset exchange;* approved persons e.g. investment consultant;
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| * listed companies/ securities issuance e.g. prospectus/financial statements/annual report;
* inappropriate behaviors of executives or directors e.g. embezzlement of company assets/ window dressing.
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| 1. Complaints with sufficient details or evidence for submitting a complaint.
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| 1. Complaints that are not related to day-to-day operation, for instance, business judgment, issues relating to staff or internal operation.
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| 1. Complaints that are not barred by prescription or limited by time to gather evidence as specified by law.
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| **Matters beyond the SEC responsibility** |
| 1. Matters under supervision of other laws, for instance, Ponzi scheme, poor services or poor product quality, advertising blockage on sidewalks, poor construction quality, incorrect information provided by insurance companies / brokers, or unfair credit consideration.
2. Complaints under the process of the court’s consideration or cases having reached final judgments.
3. Repeated complaints of the same matters that have already been clarified by the SEC, without new information or additional supporting evidence.
4. Claim for damages or compensation or private and business disputes.
5. Complaints barred by prescription or limited by time to gather evidence as specified by law.
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For More Information, please contact **SEC Public Service Center**

Tel. 1207 press 2 e-mail : complaint@sec.or.th

The Office of the Securities and Exchange Commission (SEC Office) emphasizes the importance of personal data protection and respects your right to privacy. Please read the SEC Office’s Privacy Policy carefully via this link: (https://market.sec.or.th/DATAPRIVACY/E05-POLICY-INTERNAL-WEB.HTML). The SEC Office will only process your personal data to provide details and actions related to complaint handling or information inquiry services under legal basis - Public Task.

**(This part is not for submission)**



**Complaint Form**

**Explicit information and complete evidence provided will be beneficial to resolving your complaint.**

The SEC may have to disclose complainant’s information to related parties e.g. individual or entity you have a complaint against as well as other agencies for completion of complaint consideration procedure.

1. **Complainant’s information**

Name : Mr. Mrs. Ms. ……………………………… Surname : …………………………………

 ID number/Passport ID : ……………………...…………………………..…………………………………

 Gender : Male Female Aged : ………………….. Nationality : …………………………………..

 Email : ……………………………………………………………………………………………………….

 Telephone No. : ………………………… Mobile No. : ……………………… Fax : ……………..……….

 Address : …………………………………………………………………………..………………………....

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1. **Information about individual or entity you have a complaint against**

Name : Juristic person Ordinary person

 ……………………………………………………………………………………………………….………

Objective of the complaint wished to be accomplished : ……………………………………………………………...………………………………………………………………………………………………………………..…………………………………………………………………………………………………………………………………………………………………..

1. **Complaint’s Nature** (please tick main topic and subtopic you wish to make a complaint, provided that you can tick more than 1 topic.)

 Unfair practice:

 Taking advantage of inside information

 Share price Manipulation

 Dissemination of false statements or any other statement with the intention to mislead other persons

 Dissemination of news with potential impact on share price movements

 Dissemination of false news

 Issuance and offering of securities for sale:

 Initial Public Offering - IPO

 Public Offering - PO

 Private Placement - PP

 Rights Offering –RO

 Others, please specify ……………………………………………………………………….

Listed companies:

 Inaccurate/insufficient disclosed information

 Unfair allocation of shares

 Executives/directors committing dishonest acts

 Others, please specify…………………………………………………………………………

Securities company/asset management company/mutual fund:

 Inaccurate/insufficient disclosed information

 Inefficient workflow

 Others, please specify…………………………………………………………………………

Investment Consultant:

 Conducting personal trades through the clients' accounts and the trades cause loss to the account holder

 Failing to comply with a client’s instruction

 Solicitation to purchase securities causing a loss of money

 Others, please specify…………………………………………………………………………

 Others, please specify: ………………………………………………………………………………..

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1. **Complaints that Complainant has taken**

Never complain this matter to the SEC

Have complained this matter to the SEC on date….../….../…... could not remember

 have never been responded

have been responded

 Have complained this matter to other agencies including ………………………………………………

1. **Complaint’s details**

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 complainant Date ….../….../…...



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