

SEC seeks public comments on proposed amendments to regulations on annual fees for capital market intermediaries

The Securities and Exchange Commission (SEC) is seeking public comments on the proposed principles for revising annual fees for securities and derivatives business operators. The proposed amendments aim to ensure that the fee framework reflects current business conditions, supervisory costs, and inflation, while promoting greater equality and fairness among business operators.

Currently, the annual fee structure has remained unchanged for some time despite changes in business operations and the scope of activities under SEC supervision. Therefore, a review of the fee framework is necessary to ensure that fee collection remains appropriate and aligned with current circumstances.

At its meeting in June 2026, the SEC Board approved in principle the review of annual fee criteria for securities and derivatives business operators.

The key proposals are as follows:

- (1) Increasing fee rates for investment advisory businesses and setting the minimum annual fee for derivatives dealer businesses at 50,000 baht;
- (2) Revising the fee calculation method for investment unit dealers and derivatives agents to better reflect actual transaction volumes; and
- (3) Increasing the maximum fee rates for securities and derivatives businesses to better reflect supervisory costs and reduce disparities among business operators.

The consultation paper is available on the SEC website at https://www.sec.or.th/TH/Pages/PB_Detail.aspx?SECID=1178 and on the Legal Hub at https://law.go.th/listeningDetail?survey_id=NzM0OURHQV9MQVdfRUPTlRFTkQ=. Stakeholders and interested parties are invited to submit comments via these websites or by email to aurawan@sec.or.th, gritchanut@sec.or.th, and witchulada@sec.or.th. The public hearing ends on 12 July 2026.

Summary of Current and Proposed Annual Fee Rates

(Text in bold represents the key proposals)

1. Fixed rate

Business Operator	Annual Fee
1. Investment Advisory Service	25,000 baht Revised to 50,000 baht
2. Derivatives Dealer	50,000 baht

2. Variable rate

Business Operator	Annual Fee
1. Securities Dealing - Investment Units	- 0.001 percent of the trading value (buying and selling)
2. Derivatives Broker 2.1 Exchange-traded derivatives contracts (domestic derivatives exchange) 2.2 Exchange-traded derivatives contracts (foreign derivatives exchange) / Over-the-Counter (OTC) derivatives contracts	- 1 satang per contract for single stock futures at the price not exceeding 100 baht - 10 satang per contract (the calculation of fee based on the number of derivatives contracts exclude derivatives with agricultural product underlying - 10 satang per contract

3. Minimum and Maximum rate

Business Operator	Annual Fee	
	Minimum	Maximum
3.1 Derivatives Business	50,000 baht	1 million baht Revised to 2 million baht
3.2 Securities Business		10 million baht Revised to 20 million baht