

# Procedure for Administrative Action and Appeal Filing

This is a legal action by virtue of the SEC Office's regulatory power prescribed in those administered laws. This action shall be imposed on a regulated person who is disqualified or fails to comply with professional conducts and standards. Such regulated person are as follows:

- Financial Advisor and its supervisor
- Auditor
- Valuation Company and Principal Valuers
- Credit Rating Agency
- Debenture Holders' Representative
- Approved Personnel in Capital Market (e.g. Investment Analyst, Investment Consultant, Investment Planner, Fund Manager, and Executive).

