

SEC provides information in response to news reports concerning service-related transactions of securities companies

Mr. Anek Yooyuen, SEC Deputy Secretary-General and Spokesperson, stated that, at present, securities companies do not accept cash deposits directly from clients, and that such deposits must be made solely through the transfer of Thai baht into the company's account via commercial banking channels. In addition, securities companies are permitted to determine the interest rates payable to clients in accordance with the applicable regulatory requirements. However, such interest rates must not exceed the actual return that the securities companies receive from bank deposits or investments in promissory notes or other similar investments.*

Furthermore, since late 2025, the SEC has been reviewing concerns that certain service-related transactions provided by securities companies could potentially be used as channels for money laundering. The SEC has been coordinating continuously with the relevant authorities, including the Central Investigation Bureau and the Anti-Money Laundering Office (AMLO), to establish joint preventive and corrective measures, which have helped deter such activities and mitigate associated risks..

To strengthen sustainable preventive integration, the SEC is preparing to introduce measures to prevent the use of the capital market for money-laundering or online criminal activities. These measures will enhance customer due-diligence standards across the ~~entire~~ securities industry, in collaboration with relevant agencies such as the AMLO.

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Note: *Notification of the Capital Market Supervisory Board No. TorThor. 43/2552 Re: Custody of Assets of Clients by Securities Companies