

Announcement (English Version)
CGS Securities International (Thailand) Co., Ltd.
No. 35 / 2567

Re: The adjustment of criteria for the imposition of monetary fines

Whereas the Stock Exchange of Thailand, by virtue of its announcement dated October 18, 2024, regarding the adjustment of criteria for the imposition of monetary fines, in order to align with the Stock Exchange of Thailand's objectives, CGS Securities International (Thailand) Co., Ltd. hereby issues this announcement to specify the updated criteria for the imposition of monetary fines, with the details provided in the table below.

No.	Nature of Act	Penalty Rate	Note
1.	Fines in the event that a client (individual) makes payment for the purchase or sale of securities without deducting from the bank account via Automatic Transfer System (ATS system) more than 3 times in each quarter.	THB 3,000 per payment, (from the 4 times onwards) but not more than THB 3,000,000	<i>To cancel the fine rate, clause 5, according to the Company Announcement No. 15/2023 dated May 31, 2023.</i>
2.	Fines in the event that failure to have client pay the purchase price of securities (Overdue)	THB 3,000 per payment, but not more than THB 3,000,000	
3.	Fines in the event that failure to have client deliver certain securities	THB 3,000 per day / securities but not more than THB 3,000,000	
4.	Fines in the event that failure to have client deliver certain securities (according to the criteria of Thailand Clearing House Co., Ltd. (TCH) as follows: (1) default 1 business day (2) default 2 business days (3) default 3 business days (4) default more than 3 business days	The Fines is based on the value of the securities that are in default of delivery at the following rates: 0.50% 0.75% 1.00% 1.75% <u>Note</u> Minimum rate from THB 300	

Effective from November 1, 2024, onwards.

Announced on October 31, 2024.


(Mr. Low See Kiong)

Deputy Chief Executive Officer

Operation (Retail) Department

