



# รายงานประจำปี 2556

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# Annual Report 2013



สมาคมบริษัทหลักทรัพย์ไทย

ASSOCIATION OF THAI SECURITIES COMPANIES





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# Association of Thai Securities Companies



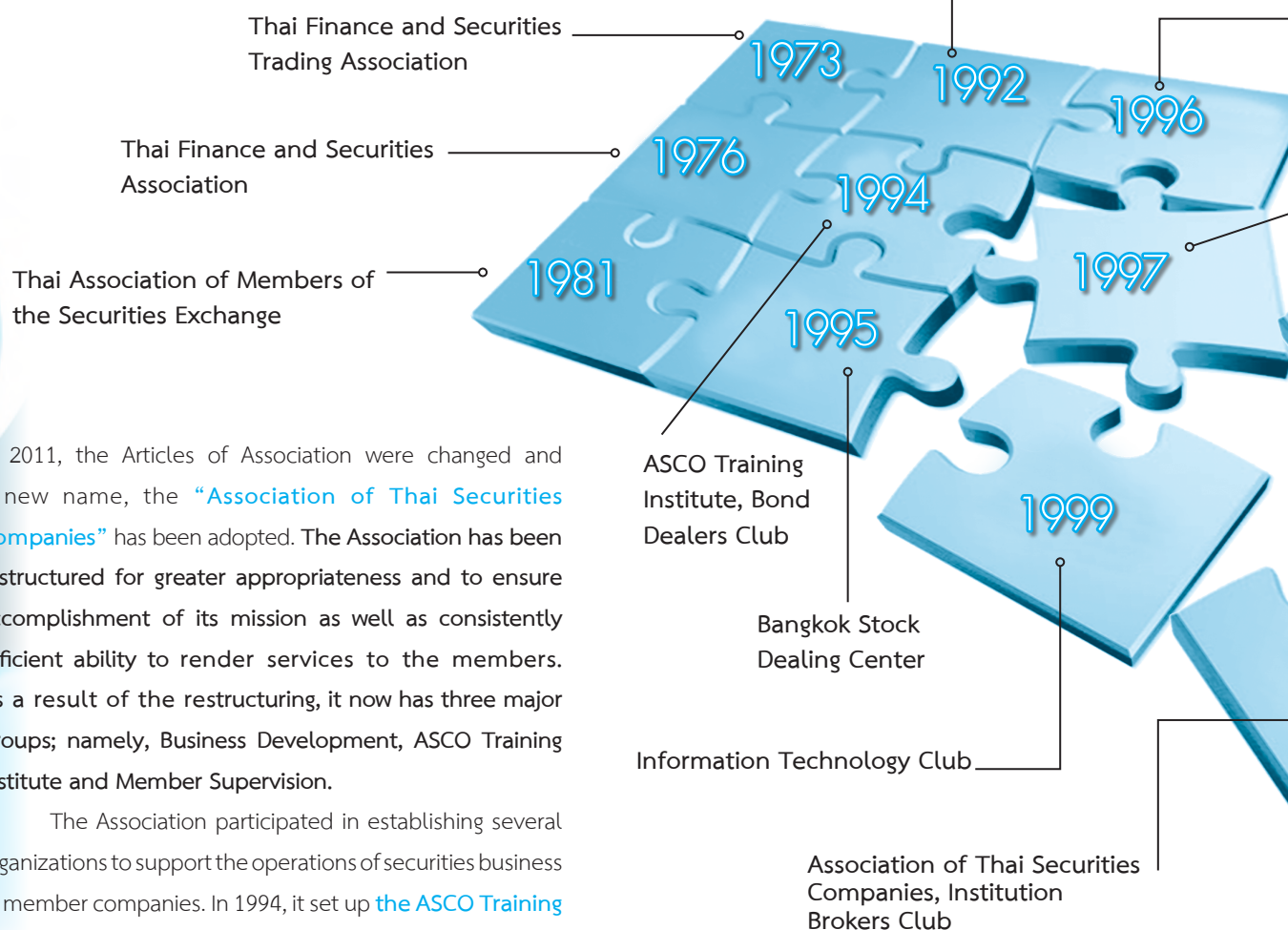




# About ASCO

The Association involved with the securities business was established for the first time in 1973 under the name “**Thai Finance and Securities Trading Association**”. After some changes in its rules and regulations in 1976 the name became “**Thai Finance and Securities Association**”. In 1981 a group of 30 securities companies left to form their own organization and the name changed again to “**The Association of Members of the Securities Exchange**”. When the Securities Exchange Act became law in 1992 the Association requested the Regulator to register it as the first organization to deal with the securities business in Thailand, its main purpose being the development of the Thai capital market and securities industry. The request was approved on September 17, 1992 under registration number 1/2535 with the name “**Association of Securities Companies**”(ASCO) The Association had the following objectives:

- To develop and promote the country’s capital and securities market
- To protect and safeguard member companies
- To improve the standard of business operations
- To cooperate with regulatory agencies in drafting rules and regulations in order to develop the infrastructure of the Thai capital market.



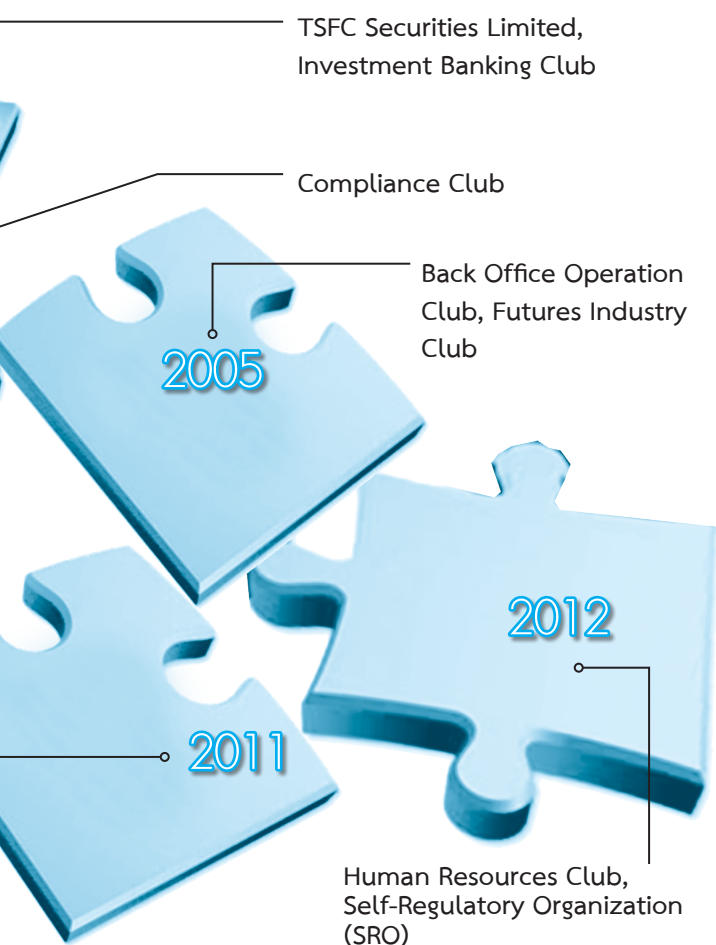
In 2011, the Articles of Association were changed and a new name, the “**Association of Thai Securities Companies**” has been adopted. The Association has been restructured for greater appropriateness and to ensure accomplishment of its mission as well as consistently efficient ability to render services to the members. As a result of the restructuring, it now has three major Groups; namely, Business Development, ASCO Training Institute and Member Supervision.

The Association participated in establishing several organizations to support the operations of securities business of member companies. In 1994, it set up the **ASCO Training Institute** with the objective of improving the caliber of personnel

and prepare them for work in the field of securities through the training and testing of securities staff. The **Bond Dealers Club** was also founded and was to become the Central Organization that would work out a standard system for the operation of bond dealers' business. It was expected that the development of the financial market will be affected by this move in the future. In 1995 in order to expand the capital market the Association set up the **Bangkok Stock Dealing Center** to help small and medium-sized businesses raise capital in a more efficient manner. (However, due to several factors in particular capital gains tax, the Bangkok Stock Dealing Center had to close its doors in 1999). In 1996, **TSFC Securities Limited** was established as a specialized financial intermediary providing funds for both the primary and secondary securities markets in Thailand. In 2004 The Association cooperated with the organizations that are involved with the capital market as well as The Stock Exchange of Thailand (SET) in establishing the **Federation of Thai Capital Market Organizations (FeTCO)**. Its mission was to ensure good corporate governance and cooperation among these organizations in developing the capital market in Thailand. And, in 2012, an **SRO (Self-Regulatory Organization)** function was added and will begin issuing guidelines for the member companies to follow.

The Association further expanded its network to cover all levels of operations and activities of member companies by establishing the **Investment Banking Club** in December 1996. The objective was to promote investment banking business from the standpoint of policy as well as operations. In 1997, the Association formed the **Compliance Club** to ensure that control and compliance of securities companies in accordance with international standard is enforced. In 1999 the **Information Technology Club** was founded to facilitate the development of the securities business as it was moving closer in the direction of E-Commerce. Inevitably this will lead to the growth

of the capital market and hence the economy. The **Back Office Operation Club** established in September 2005, was assigned the task of promoting and developing the standard of operations for the securities business, to disseminate research information and activities in this respect, to be the center for exchanging information, knowledge, experience and techniques on the operations of the securities business. The **Futures Industry Club** established in December 2005, was to promote and develop the standard of running the Futures business in both principle and operations, coordinate the collaboration between the members in resolving the Futures business's problems, compromise the dispute between members or third party in relation to running the Futures business, and to supporting the education, research, and the dissemination of information related to Futures business. And, in 2012, the **Human Resources (HR) Club** was established with primary objectives of serving as a center for human resources development, sharing views, knowledge, experience and HR management expertise, coordinating with the members in finding solutions to HR problems, providing advice in HR matters, as well as disseminating technical knowledge and HR research results and technical activities among the members.



## Message from the Chairperson

### Dear ASCO members

2013 was a good year for the securities business with the record high trading volumes both on the Stock Exchange of Thailand (SET) and the Thailand Futures Exchange (TFEX). The SET Index also hit the highest record in 20 years and the number of companies mobilizing funds through the stock market rose considerably, compared to 2012. However, the year also saw a high level of volatility and many challenges. The trading volumes were relatively high in the first half of the year due to investors' confidence in investing in the bourse but dropped in the second half following the occurrence of political protests.

Our association conducted a large number of activities in 2013 in support of the member companies to enhance their flexibility, efficiency and preparedness for business operations. We are determined to bring about sustainable growth and stability for investment on the stock market. Major activities conducted are categorized as follows:

For activities aimed at developing the business, the association launched the Securities Data Research Project in conjunction with the SET. The project's objective was to provide the participating member companies with databases for preparation of analysis reports at reasonable costs. Consultancy was also provided and handbooks were prepared to ease compliance to the US Foreign Account Tax Compliance Act (FATCA). We also cooperated with government agencies in issuing regulations to facilitate or reduce obstacles to business operations. Examples were criteria for investment in foreign markets by retail investors, granting technical analyst licenses, and approaches to developing investment consultants to the wealth management level.

With regard to development of human resources and investors, the Association's Training Institute (ATI) has been recognized as a key institute for training and testing of personnel in the securities business. This has resulted from the Institute's determination to provide quality training and to develop courses which are useful and meet the requirements of the trainees. During 2013, about 12,000 trainees underwent its training courses and approximately 20,000 were tested. In addition, the ATI played an important role in building up a supply of human resources for the securities business through activities conducted jointly with universities and the Thailand Securities Institute (TSI). These activities were aimed at preparing students interested in the various professions in the capital market or in investment. The Institute also supported the member companies in the activities conducted to educate investors at the seven SET Investment Centers (SET IC).

As for supervision, the association worked with the member companies and agencies concerned to revise or issue regulations to appropriately support the member companies' business operations. Among the important regulations and guidelines were those dealing with introducing broker agents and proprietary trading and preparation of the information of securities with large trading volumes.

Several other activities were also conducted by the Clubs established by the association to cover vast areas of business operations; namely, the Investment Banking Club, the Back Office Operation Club, the



*Pattera Dilokrunghthirapop*  
Chairperson



Compliance Club, the Futures Industry Club, the Information Technology Club and the Human Resources Club. During the year, each Club conducted activities which contributed significantly to the member companies' business and operations. Examples of such activities were the offering of additional channels for securities subscriptions-online and by phone via investment consultants; improvement of the operation systems of the securities business and training of back office personnel; revising the criteria for fixing the credit line for non-institutional investors; training of heads of securities compliance units for registration; pushing for reduction of fees for trading of futures contracts by the TFEX; preparation of a database of persons authorized for futures block trading; preparation of a report on the study of the specific business tax for presentation to the Revenue Department to support the proposal for reduction of the specific business tax rate on security and index futures; guidelines for intern students; starting salary survey; and educating HR executives and HR personnel in the role of HR as the CEO's strategic partner with regard to talent management and succession planning.

Regarding relationships with organizations related to foreign capital markets, the association participated in the annual conference of the International Council of Securities Associations (ICSA) and the Asia Securities Forum (ASF), of which it is a member. Study visits were also organized for the benefit of the member companies. A visit to Frankfurt, Germany, was organized in cooperation with the Futures Industry Club, and to Sydney, Australia, with the Investment Banking Club.

Social responsibility has always been high on the association's agenda. In 2013, the approach taken was to make use of the member companies' expertise in capital market in various social contribution activities. The association joined other agencies concerned, such as the Federation of Thai Capital Market Organizations (FETCO) and the Office of the SEC, to strengthen financial literacy among the general public. The member companies were encouraged to join the Private Sector Collective Action Coalition Against Corruption and to join hands with institutional investors in developing guidelines for institutional investors in countering corruption. Restoration and renovation work was handed over to four schools affected by the flooding, which was part of the "Restoring Flooded Schools to Communities" project of the Stock Market Flood Relief Fund in Nonthaburi and PhraNakhon Si Ayutthaya Provinces; namely, WatChulamanee School, WatSawang-arom School KalahomeUthit School and WatChanglek (Phiboonkiat) School.

Going forward in 2014, our association will remain committed to promoting ethics and professionalism, in addition to its key business objectives; i.e., business development, HRD training and testing, and supervision of the member companies, which are aimed at promoting business flexibility, enhancing efficiency and ensuring appropriate supervision. This is to contribute to sustainable strength and growth of the capital market and is in line with the association's vision statement "To promote and develop transparent and fair provision of financial and investment services by ethical professionals with appropriate self-regulation in order to ensure maximum efficiency of the capital market and contribution to national economic development."

Finally, I would like to thank the member companies and the Clubs for the excellent cooperation rendered to the association's operations and activities, and for their significant contributions which have resulted in the association being well recognized by agencies and organizations concerned. It is also my hope to see the member companies and the association jointly work further to ensure the Thai capital market's sustainable strength and growth well into the future.



(Pattera Dilokrungrathirapop)

Chairperson





## Vision

To promote and develop transparent and fair provision of financial and investment services by ethical professionals with appropriate self-regulation in order to ensure maximum efficiency of the capital market and contribution to national economic development.

## Mission

### Business development

Enhancing the member companies' business potential through expansion of the investor bases, human resources development, and common infrastructure; making preparations for the AEC; and studying and minimizing business obstacles.

### ATI (ASCO Training Institute)

Placing emphasis on operational efficiency to maintain the customer base and to achieve long-term growth in order to elevate the ATI as an organization imparting finance and investment knowledge to the national level.

### Supervision

Enhancing ethics and business code of conducts and making preparations for becoming an SRO.

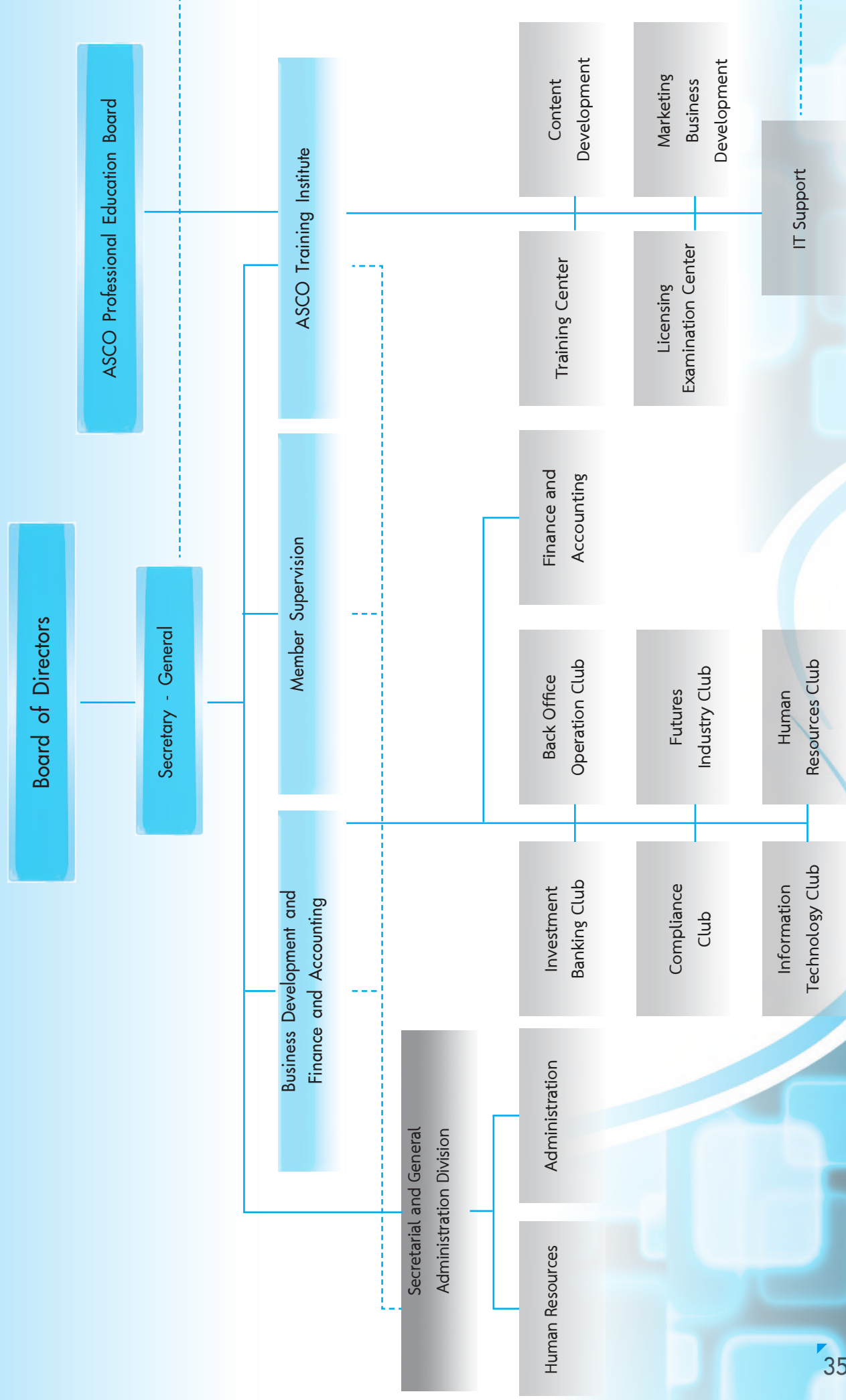
## Strategies

- Expanding investor bases
- Developing member companies' human resources
- Supporting member companies' business opportunity expansion
- Reducing business obstacles
- Providing common infrastructure to member companies
- Making preparations for regional capital market linkage
- Strengthening relationships among member companies and agencies concerned

- Serving as an efficient national-level training center imparting knowledge in finance and investment
- Developing training courses which directly address the requirements of the capital market and business operators in both short and long terms
- Sourcing qualified trainers suitable for each training course for efficient development of human capital in the capital market
- Serving as a testing center equipped with complete physical facilities and offering excellent service, ready to process examination applications once the system is migrated from the TSI
- Conducting activities jointly with network universities through the SET IC and the universities' Finance Clubs

- Setting service and operation standards for member companies with emphasis placed on the truthfulness and morality
- Promoting ethical behavior in the member companies' organizations
- Preparing work procedures relevant to operating as a full-fledged SRO

# Organization Chart Association of Thai Securities Companies





# Review of the Economy, Capital Market and Securities Business in 2013





# Review of the Economy, Capital Market and Securities Business in 2013

## Thailand economic situation

The Thai economy in 2013 grew by 2.9%, a sharp drop from the growth rate of 6.5% of the previous year (Figure 1), due to the slowdown of domestic demands from both the public and private sectors. Private investment also shrank. However, exports of goods and services grew slightly from the previous year as a result of the Baht appreciation. Imports of goods and services in 2013 increased at a decreasing rate, in line with the export slowdown.

Domestic spending in the private sector increased by merely 0.2%, compared to 6.7% of the previous year. The number of cars sold dropped considerably from the previous year when the excise tax refund measure for first-time car owners was still effective. Consumer confidence was also shaken by the political instability prevailing in the country. Private investment decreased by 2.8% per annum, compared to the 14.4% increase in 2012. The decrease was also in importation of both equipment and machinery and private sector construction, compared to the same period of the previous year, during which there was a great deal of repair work for houses and factories following the major flooding.

As regards government spending, there was also a slowdown from 2012, with public sector consumption increasing at a rate of 4.9%, compared to 7.5% of the previous year; while public sector investment increased at 1.3%, compared to 8.9% per year. The decrease in public sector construction was due to the decrease of non budget disbursements under the Thai KhemKaeng Project, the Development Policy Loan (DPL) and the loan for the Water Management Project.

In terms of domestic economic stability, headline inflation in 2013 was at 2.2% from 2012 (Figure 2), which was the lowest rate in four years. The rate started to be low early in the year in line with the

Figure 1 : Real GDP Growth (%)

unit: percent

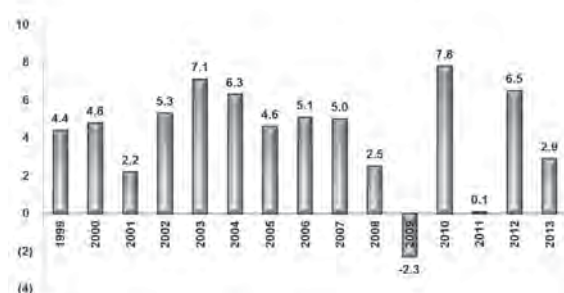
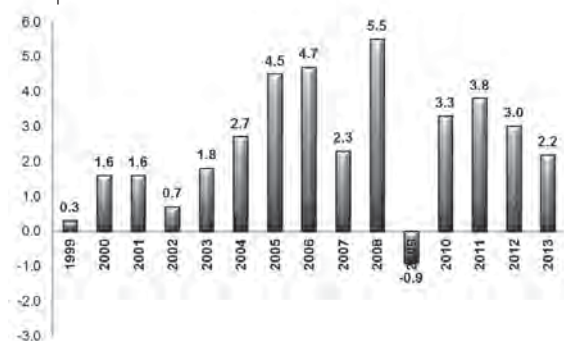


Figure 2 : Headline Inflation (%yoy)

unit: percent



Source: NESDB

fall of the average price of fuel oil dictated by the world oil prices. The global economic slowdown, coupled with the appreciation of the Baht resulting from the capital inflow, led to a drop of the Baht value of exports. Another reason was the falling prices of major agricultural commodities, such as rubber and palm oil, caused by weaker foreign demand.

For external stability, the current account deficit in 2013 was greater than that of the previous year, amounting to US\$ -2.8 billion, or -0.6% of the GDP (Figure 3), despite the greater trade balance surplus at \$ 6.4 billion (Figure 4) due to acceleration of exports in the third and fourth quarters. However, net foreign factor income decreased significantly last year and increased the amount of current account deficit.



Figure 3 : Current Account (% of GDP)

unit: percent

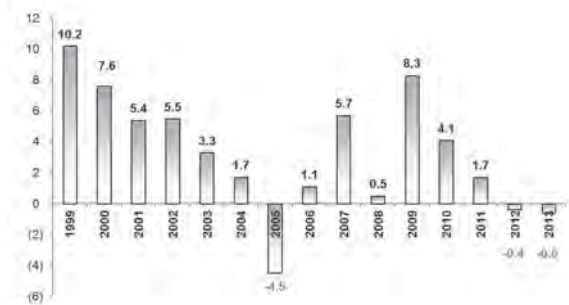
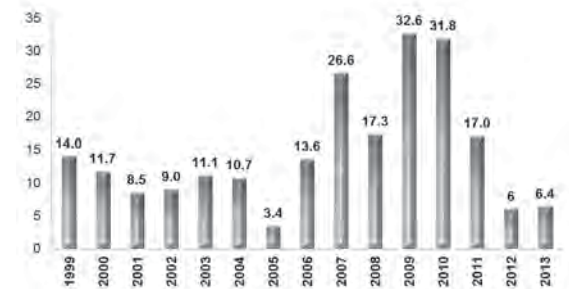


Figure 4 : Trade Balance (Billion USD)

unit: Billion USD



Source: NESDB

## Capital Market Situation

### Overview of the Stock Exchange of Thailand

At the end of 2013, the SET index closed at 1,298.71 points, decreasing by 6.7% from the end of 2012 (Figure 5) due to the signs of recovery of the economies of developed countries and the US adjusted monetary policy which induced investors to invest more in developed countries. Domestic investment, meanwhile, was affected by the pressure caused by political factors and the economic slowdown. The lowest point of the index was at 1,275.76 points in August and the highest point, which hit a 20-year record, was at 1,643.43 points in May. The MAI Index closed at 356.8 points, decreasing from the end of 2012 by 14.2%.

Combined market capitalization of the SET and the MAI at the end of 2013 totaled 11,674,130.16 million Baht (Figure 5), decreasing by 2.43% from the end of 2012, in line with the downward trend of the SET Index.

Figure 5 : SET-MAI Index & Market Capitalization

unit: point

unit: billion Bt.

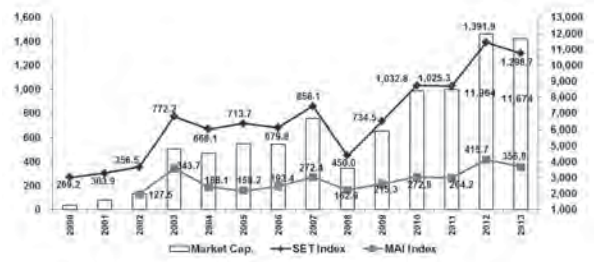
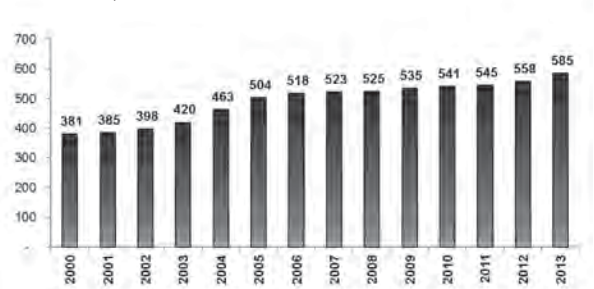


Figure 6 : No. of listed companies (SET + MAI)

unit : companies



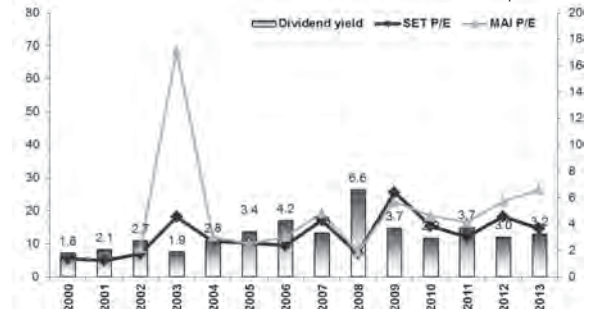
At the end of 2013, there were 490 companies listed on the SET. 14 new companies were listed and one delisted. As for the MAI, 95 companies were listed, 15 of which were new companies. Hence, as at the end of 2013, a total of 585 companies were listed on either the SET or the MAI (Figure 6).

The P/E ratio of the SET at the end of 2013 dropped from 18.25 times in 2012 to 14.6 times, and the MAI P/E ratio rose from 22.8 times at the end of 2012 to 28.32 times (Figure 7). However, the dividend yield of the Thaibourse went up from 3% at the end of 2012 to 3.24%, the highest among stock exchanges in the region.

Figure 7 : Dividend Yield and P/E

unit: times

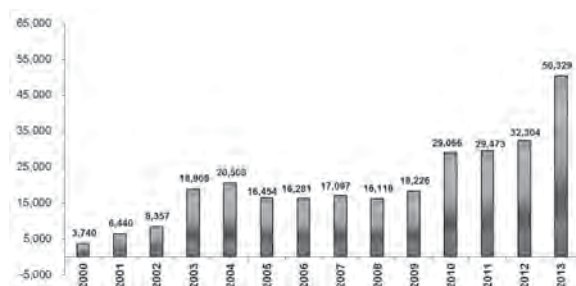
unit: percent



In 2013, the combined turnover of the SET and the MAI totaled 12,330,669 million Baht, rising from 7,914,566.52 million Baht of 2012 by 55.8%. The average daily turnover was record high since the bourse's establishment at 50,329.27 million Baht, increasing from 32,304 million Baht in 2012 (Figure 8).

Figure 8 : Average Daily Turnover

unit: billion Bt.



Securities turnover in 2013, categorized by investor type, was as follows: retail investors 55.28% of the total turnover, about the same proportion as the preceding year. Proprietary trading had a share of 13.13% and domestic institutional investors had an increase in the share, at 8.91%. Foreign investors' proportion dropped to 22.68% (Figure 9).

Figure 9 : Market Turnover Classified by Type of Investors

unit: percent



## Overview of the derivatives market

During 2013, the volume of trading of the Thai Futures Exchange (TFEX) totaled 16,664,126 million contracts, or a daily average of 68,017 contracts, rising by 55.2% from 2012, during which the daily average was 43,823 contracts. The main reason was the trading of the Single Stock Futures and the SET 50 Index Futures.

By underlying product category, the most traded was the Single Stock Futures, which constituted 50.5% of the total trading volume, followed by the SET50 Index Futures, the Gold Futures, and the USD Futures, which accounted for 34.1%, 13.2% and 1.4%, respectively.

As of December 27, 2013, the TFEX had open interest of 340,778 contracts, increasing from 238,981 contracts in the previous year. The derivatives accounts totaled 87,693, increasing by 17% from 74,964 accounts at the end of 2012.

During 2013, the TFEX made some adjustments to the regulation related to stock futures in order to better reflect the prices of the underlying stocks. New position limits were set at a higher level for underlying stocks of smaller sizes and the minimum size required for block trade transactions of high-valued contracts was decreased. In addition, underlying stocks were added to make a total of 60. The TFEX and the Thailand Clearing House Co., Ltd. (TCH) also revised the commission rates for trading and settlement of SET 50 Index Futures and 50-Baht Gold Futures to lower investors' costs. The TFEX is currently in the process of changing its futures trading system for compatibility with the SET's new system, both for trading and settlement. The new system is expected to be up and running in May 2014.

## Overview of the bond market

In 2013, a total of 8.79 trillion Baht of domestic bonds was issued, representing a decrease of 16.2% from 10.48 trillion Baht in 2012, due to the decreases of bonds issued by the government and public agencies.

The outstanding value of Thai bonds increased. As at the end of 2013, the outstanding value of bonds registered with the Thai Bond Market Association was 8.99 trillion Baht, increasing from 2012 by 17.1%.

Outright trading on the secondary market in 2013 totaled 19.8 trillion Baht, or an average of

80,711 million Baht per day, which represented an increase of 4.8% from the corresponding period of 2012.

### Capital market measures Capital market measures

Major capital market measures taken in 2013 in brief were as follows:

#### • The office of the Securities and Exchange Commission

1) Streamlined the rules governing advertising and sales promotion for all business operators to set the same standards, particularly with regard to characteristics, return payment conditions and the risks involved of the products and services. The revised rules cover securities businesses, derivatives businesses as well as other businesses related to financial products and services. In addition, the business operators are required to comply with the SEC's approved advertising or sales promotion guidelines issued by securities-related associations; that is, the Association of Thai Securities Companies, and the Association of Investment Management Companies.

2) Relaxed the limits of investment in foreign securities and derivatives, including foreign currency debt instruments issued in the home countries of institutional and retail investors, consistent with the Bank of Thailand's guidelines, with no limit for each investor (Within the US \$ 50 billion allotted to the Office of the SEC by the central bank. Institutional investors may apply for an allotment of US\$ 5 million each time and retail investors US \$ 500,000 each time. Additional requests are allowed.)

3) Required business operators investing in securities or futures contracts as proprietary trading to have in place a management system and a risk management system to manage risks which may arise from such investing. The minimum requirement is to comply with the guidelines prescribed by the Association of Thai Securities Companies and approved by the Office of the SEC.

4) Announced the ASEAN Disclosure Standards jointly with Malaysia and Singapore for convenience of securities issuers wishing to offer securities for sale in several ASEAN countries at the same time.

5) Reached an agreement with Malaysia and Singapore regarding the ASEAN Collective Investment Scheme Framework which will facilitate cross border offering of units of mutual funds approved in the home country to general investors in the member countries through a more convenient and speedier approval process.

#### • The Stock Exchange of Thailand

1) The SET, in cooperation with the Office of the SEC, parties concerned and securities companies issuing DW's, improved the efficiency in the offering and listing of DW's for speedier trading on the SET by connecting the systems of the SET and the Office of the SEC, as well as streamlining the procedure and reducing the use of paper.

2) The SET shortened the IPO time frame to trade on the exchange within three working days (down from four days) after the subscription date ends. The time shortened was in the capital increase registration time at the Ministry of Commerce; the securities deposit procedures at broker members for transferring shares to client accounts and accepting common shares as registered securities.

3) The SET resolved to approve revisions to the corporate governance principles to be observed by Thai listed companies to be up-to-date and in line with the ASEAN Corporate Governance Scorecard (ASEAN CG Scorecard). The move was to prepare Thai listed companies for the ASEAN Economic Community (AEC) which will be established in 2015. Companies listed on the bourse are required to follow the revised principle from 2014 onwards.

## Securities industry

At the end of 2013, there were 40 securities companies with brokerage licenses. Of this total, 38 were SET members.

As for the derivatives business, 43 companies were members of the Thailand Futures Exchange Plc, 42 of which were general members.

## Performance

The total revenue of the securities industry in 2013 was 48,829 million Baht, an increase of 37% from 35,636 million Baht at the end of 2012. Brokerage fees remained the main revenue of the securities business. In 2012, the brokerage revenues from securities trading totaled 34,848 million Baht, or 71.4% of the total revenue (Table 1).

Table 1: Revenue of Securities Industry

(unit : mil. baht)	2012	2013	% Change
Brokerage – Equity	22,570	32,263	42.9%
Brokerage - Derivatives	2,130	2,229	4.6%
Underwriting	1,118	1,589	42.0%
Financial Advisory	855	484	-43.4%
Gains(losses) on Equity Trading	1,300	-201	-115.4%
Gains on Derivatives Trading	934	4,180	347.6%
Interest and Dividend	2,640	3,060	15.9%
Interest on Margin Loans	2,038	2,904	42.5%
Others	2,052	2,321	13.1%
<b>Total Revenue</b>	<b>35,636</b>	<b>48,829</b>	<b>37.0%</b>

The expenses of the securities industry in 2013 totaled 30,691 million Baht, an increase of 24.8% from 24,600 million Baht in the corresponding period of 2012, with the major item being personnel expenses, which, in 2013, totaled 17,175 million Baht, accounting for 56% of total expenses (Table 2)

Table 2 : Expenses of Securities Industry

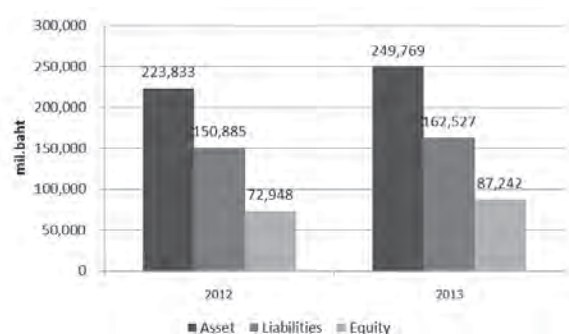
(unit : mil. baht)	2012	2013	% Change
Expenses on Borrowing	1,390	2,076	49.4%
Fee & Services Expenses	2,657	3,438	29.4%
Provision for Bad Debts & Doubtful A/C	-170	46	-127.1%
Personnel Expenses	13,507	17,175	27.1%
Premises & Equipment Expenses	3,382	3,563	5.3%
Other Expenses	3,835	4,394	14.6%
<b>Total Expenses</b>	<b>24,600</b>	<b>30,691</b>	<b>24.8%</b>

In 2013, the securities industry recorded net profit of 14,344 million Baht, an increase of 69.3% from 8,470 million Baht at the end of 2012.

## Financial position

The total assets of the securities industry in 2013 stood at 249,769 million Baht, an increase of 11.6% from the end of 2012, when total assets stood at 223,833 million Baht. The sources of funds, in 2013, comprised liabilities totaling 162,527 million Baht and shareholders' equity of 87,242 million Baht (Figure 10).

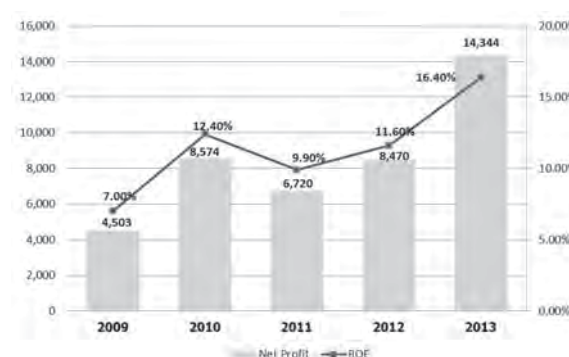
Figure 10 : Asset, Liabilities and Equity of Securities Industry



## Return on Equity (ROE)

The ROE of the securities industry at the end of 2013 was 16.4%, increasing from 11.6% at the end of 2012 (Figure 11).

Figure 11 : Net Profit and ROE of Securities Industry







# Operational Highlights 2013





# 2013 Operational Highlights

## Association of Thai Securities Companies

### Business Development

#### Business and operation standard development

- The Third Party Research Project was initiated and implemented to provide information regarding securities listed in Thailand and overseas and reporting templates to participating securities companies.
- KPMG was contracted and a working committee was set up to provide information necessary for preparation of an operation handbook for compliance with FATCA. Three training sessions were also offered to the members.
- An activity was conducted with an objective of expanding the investment base to the region, in cooperation with the ASCO Training Institute (ATI) and the Thailand Securities Institute (TSI). Under this project, SET Investment Centers were opened in seven provinces and 171 executives of provincial branches of securities companies participated.



*The Association joined the efforts to restore schools damaged by the flood on July 5, 2013*

- The workflow of overseas investment was revised in response to the relaxation of regulations by the Bank of Thailand. Views were also presented to the central bank regarding the move to allow retail investors to invest overseas.
- Guidelines were prepared for online share subscription and phone subscription via investment consultants.
- Several Working Groups were appointed to support business operations of the member companies; namely,
  - The Working Group on the Wealth Management Business Model for upgrading the performance of investment consultants
  - The Working Group on E-Business for gathering opinions toward internet trading and for reviewing the proposal to adjust service fees to be in line



*Securities Data Service Agreement Signing Ceremony with S&P Capital IQ on May 28, 2013*



with the current trading situation.

- An SBL Working Group for seeking inputs to the promotion of SBL transactions.
- A Bond Working Group to study and promote debt instrument businesses of securities companies.
- ThaiDR Working Group

### Representing the members in coordinating with agencies concerned

- Views were presented regarding preparation of databases of the capital markets in the Greater Mekong Subregion (GMS) by the Office of the SEC.
- The association prepared a preliminary proposal regarding ASEAN Financial Service Liberalization for submission to the Ministry of Finance.
- Opinions were presented to the Revenue Department requesting reduction of the rate of the specific business tax on security and index futures, along with comparisons with other countries' cases.

### Foreign relations and member relations

- A "Broker Badminton 2013" sport event was organized during February 16-17, 2013, to strengthen the relationships among the personnel of the member companies and agencies concerned.
- In cooperation with the Futures Industry Club, the Association organized a study visit to Frankfurt, Germany, during August 10-16, 2013, to enhance knowledge and strengthen relationships among personnel of the securities and futures businesses.
- A 2013 Soccer Competition for HRH Princess Maha Chakri Sirindhorn's Singha Broker Cup was organized to strengthen the relationships and unity among the members.

### Social contribution activities

- The Association joined other organizations in the capital market to sign a Declaration on the Standpoint of Institutional Investor Groups on Corporate Governance and Anti-Corruption initiated by five institutional investor groups on March 11, 2013.

- The Association joined other organizations related to the capital market in the "Financial Literacy: A Road to the Nation's Prosperity Project" on September 24, 2013.

- The Association joined the efforts to restore schools damaged by the flood under the "Restoring Flooded Schools to Communities" launched by the Stock Market Flood Relief Fund; namely, KalahomeUthit School, WatChulamanee School, WatChanglek School and WatSawang-arom School.



A visit to Frankfurt, Germany, during August 10-16, 2013, to observe the futures and securities businesses



The Association joined other organizations related to the capital market in the "Financial Literacy: A Road to the Nation's Prosperity Project" on September 24, 2013



"CEO Networking 2013" activity during November 8-10, 2013 at Chiang Rai province

## The ASCO Training Institute (ATI)

*For the ATI, 2013 was a year of leaping both in terms of training and in serving as a testing center. Over 25,000 people received services provided by the ATI. Five new training courses were developed for those with renewed licenses jointly by the ATI and faculty members of leading universities of the country. The contents covered capital market knowledge which address the needs of the trainees and business operators. In addition, the Institute provided training for securities back office personnel to enhance their knowledge and skills as well as to give them knowledge about new financial products, to bring about understanding and to increase their competence. Other projects were continued from the previous year, such as, the University Network Project, which has been satisfactorily carried out. Seven leading education institutes in the regions participated. The ATI also cooperated with the SET in granting over 1,500 scholarships to university students for training to sit for securities investment consultant license examination, which were passed by over 500. The following provides details of the activities carried out.*

### Operating results of ATI in 2013

#### Training

The ATI Training Center offered training courses to organizations and the general public both in Bangkok and up-country. A total of 11,957 people underwent the training.

The Back Office Operation Club, the ATI and the TSI jointly launched the “Strengthening Back Office Personnel @ Broker for 2013” project to enhance product knowledge about derivatives, to update back office personnel’s knowledge about the anti-money laundering law and the US FATCA as well as to raise knowledge, operating standards and service quality of personnel of securities and derivatives agent companies. The event was held on August 31 and September 1 and 14, 2013.

The ATI participated in the Young Financial Star Competition 2013 (YFS 2013) which has an objective of encouraging university students to acquire knowledge in financial planning and investment in order to prepare them for financial professions. The Institute provided training in the New Breed DL Course and testing for 357 participating students.



#### Examination

As the TSI has granted approval for the ATI to act as the center for examination for investor contact license. During January-December 2013, 18,891 people sat for examinations in 13 courses and 3,667 passed the examination.



## Developed students to be a financial professional

In 2013, the ATI and universities worked together in disseminating knowledge and educating students, faculty members and personnel as well as the general public in finance and investment. A memorandum for cooperation was signed for the Path to Financial Professions Project of which emphasis in on ethics, social benefits and academic excellence. Two new universities joined the projects, bringing the total number of network universities to seven; namely,

- Faculty of Economics, Chiang Mai University
- Faculty of Management Sciences, Prince of Songkla University
- Faculty of Management Sciences, KhonKaen University
- Faculty of Management Sciences, Kasetsart University, Sri Racha Campus
- Faculty of Management Sciences, Surattani Rajabhat University
- Faculty of Business, Economics and Communications, Vision Naresuan University
- Faculty of Management Science, UbonRat chathani University

## Training Course

The ATI has been developing training courses on a continuous basis. During 2013, five new courses were developed; namely,



1. Capital market risk management
2. Portfolio Management Advanced
3. Investment strategy through technical analysis
4. Securities valuation
5. Latest products on the derivatives market

In addition, the Institute has submitted an application to the Thai Financial Planners Association to be authorized as an institute for Certified Financial Planning (CFP) training which is aimed at training those wishing to be professional planners capable of providing complete consultancy in financial planning for clients. This training will be offered in 2014.



## Member Supervision Group

The following summarizes major activities conducted by the Member Supervision Group during 2013 :

- Criteria were established for serving as Introducing Broker Agents on February 26, 2013 with a view to promoting sales and increasing the number of investors in the capital market. Originally, only commercial banks, life and non-life insurance companies, asset management companies, Derivatives Agent Company and employees securities companies were allowed to act as introducing broker agents for securities companies. The new criteria allow qualified and registered juristic and general persons to perform the function and to be entitled to compensation as prescribed by the Association.

- With cooperation with the Back Office Operation Club and the Investment Banking Club, ASCO pushed for operation procedure guidelines for securities subscription via Investment Consultants (IC) by a recorded phone call and via on-line, as alternatives to filling in a subscription form. These new alternatives do not require subscribers to fill in and sign a hard-copy subscription form or to provide a supporting identification document. The Office of the Securities and Exchange Commission (SEC) has considered the principles of this initiative and has no objections. The Association held a meeting with the member companies to ensure their understanding of the procedures on May 16, 2013.

- The first half of 2013 saw a continuous increase of the SET Index and the trading volume, with trading concentrated on securities with high P/E ratios and a large number of securities required to be traded in a Cash Balance Account. It was found that in some cases the member companies did not provide securities analysis reports to investors for their benefit. The Association, with consent of the SEC, established guidelines for preparation of company reports for interested

investors. The guidelines required the member companies to prepare company reports for any securities of which either trading values of all types of customers fall in the top 20 or the trading values of general customers fall in the member companies' top ten and no fundamental analyses have been prepared for them. The requirement has been in force since June 1, 2013.

- With cooperation with the SEC and the Securities Analysts Association (SAA) criteria for granting technical analyst licenses was established to ensure investors that their technical analysts are qualified and sufficiently knowledgeable.

- The Article of Association was revised, with the main point being the stipulation that the members of the Board of Directors be elected, as opposed to every member company's representation being on the Board as before. The revised of the Article of Association was registered by the SEC on August 23, 2013.

- Criteria and procedures governing proprietary trading were also prescribed to establish operational standards for securities companies and to ensure their proper management of associated risks. Essentially, revisions and additions have been made to the old criteria, requiring the member companies to clearly specify in writing the category of the trading account: e.g., long-term proprietary trading account or proprietary day trading account or proprietary trading account for trading errors. The limit of proprietary day trading has been lowered from 75 to 50% of company's equity. The change has taken effect since October 30, 2013.

- The Association, in cooperation with the Compliance Club and the Back Office Operation Club, reviewed the criteria for setting the credit line

for retail customers in order to set operational standards for appropriate and efficient credit line determination. The additional standard was to stipulate that, for cash balance accounts, the credit line may not exceed the proceeds from sales of securities pledged as collateral for settlement, and, in the absence of documents showing the financial status, the credit line should not exceed 500,000 Baht. In addition, for the review of the credit line

which was originally done at least once a year, the Association requires, as an additional measure, that the review be done immediately or the trading be suspended in case the customer's behavior could involve in money laundering, group trading or nominees. The matter has been proposed to the SEC for approval and promulgation is expected in early 2014, with effect from April 1, 2014.

## Investment Banking Club

*The Investment Banking Club has been established with the main objectives of representing the members in coordinating and cooperating with agencies concerned as regards promotion and development of the investment banking business and the securities business in general. During 2013, a new member, AEC Securities Public Company Limited, was admitted, and the Club had a total of 76 members. The activities of the Club in 2013 are summarized below:*

### Improvement of operating standards

- Improvement of the sample form for new share subscription in order to fulfill the requirements of relevant notifications and regulations. The member companies can use the content of the form for subscription of securities, either by normal form filling, online subscription and subscription via investment consultants by phone call.
- Drafting of rights and duties of issuers and holders of derivative warrants (DW) in case of using

indices as underlying assets in order to standardize DW issuers' practices for consistency and appropriateness.

### Representing the members in coordinating with agencies concerned for business development

Opinions were presented to official agencies to improve investment banking regulations as follows:

#### Opinions presented to the Office of the SEC

- A discussion with the Office of the SEC was held jointly with the Back Office Operation Club on on-line share subscription and subscription via investment consultants by telephone call.
- Opinions were presented on the preparation of CLMV countries' capital market databases. The Club's recommendation was to add the following to the databases:



*The 2013 Annual General Meeting of Members on March 27, 2013.*

- 1) lists of financial advisors, auditors and valuers,
- 2) historical background information about the capital market of each country,
- 3) characteristics and behaviors of stakeholders,
- 4) relevant laws and regulations,
- 5) restrictions on expatriates and shareholding, and
- 6) capital gains, taxes and other relevant expenses.

- Inputs for rewording were given to the Executive Summary of the Registration Statement and the Draft Prospectus.

- Inputs were given to the revision to the Regulation Governing the Presentation of Financial Statements of Foreign Bank Branches for Consideration in Granting Approval and Disclosure of Information for Offering for Sale of Debt Instruments. The Club concurred with the revisions to reflect the credit risks involved and recommended disclosure of the Financial Statements of the Head Offices in the form of filing.

#### Opinions presented to the SET

- Opinions were presented regarding the revision of the DW Code. The Club was of the opinion that the revision should be based on prioritization of information affecting investors' decision in an order not confusing them.

- Opinions were presented regarding the changing of the ceiling and floor prices. The Club voiced disagreement to the planned change from 200% of the share subscription price to 100%, as it was viewed as not tackling the problem at the right cause.

- The Club expressed agreement with the SET with regard to revision of listing and disclosure criteria whereby listing of convertible debentures issued by foreign firms would be subject to the same criteria used for listing shares.

Agreement was also voiced regarding the revision of disclosure requirements consistent to disclosure requirements for listed securities under Section 56.

#### Cooperation with the Anti-Money Laundering Office

The Club distributed information about actions required by the anti-money laundering law to the member companies.

#### Activities and member relations

- An investment banking study visit to Sydney, Australia, was organized to enhance knowledge and to study the development of investment banking products and services in the region in connection with the establishment and offering for sale of real estate investment trusts (REIT), infrastructure funds and merger and acquisition (M&A), as well as the development of the investment banking business and the success factors.

- A representative was appointed to be the speaker on the topic "How to Choose the Right FA and Auditor", to educate trainees of the "New Shares-the Province's Pride", Class 2, Project, covering the overview and scope of duties of financial advisors.

#### Personnel Development

The Club organized financial advisor training courses and examination of knowledge of personnel operating in financial advisor areas, as well as refresher courses, in order to enhance their knowledge and understanding of the financial advisor profession and to establish standards for financial advisor professionals in the Thai capital market, as well as to offer learning opportunities on a broader scale and to increase the supply of effective resources for the securities industry in the long term. Two of such training and examination



sessions were held. The trainees were required to have no less than two years experience as financial advisors. In 2013, there were a total of 120 trainees and 97 took the examination, with 72 of them passing.

As for the refresher courses, during 2013, the Club organized training on the following subjects:

- 1) Regulations Governing Infrastructure Funds and Real Estate Investment Trusts,
- 2) Business Combination-Accounting and Taxation Practical Issues,
- 3) Internal Control In-Depth and Case Studies, and
- 4) Anti-Money Laundering Law: Principles and Action Guidelines.



A seminar on "Principles of and Compliance to the anti-money laundering law" on December 17, 2013.

During 2013, 172 trainees passed the 12-hour training courses counted as refresher courses and were awarded certificates.



*The Compliance Club was established on February 25, 1997, with the objective of supporting the performance of compliance officers in the securities business and other businesses licensed by the Securities and Exchange Commission (SEC), to ensure that their operations are efficient, and are in full compliance with relevant regulations. The Club is also committed to fostering cooperation among its members, serving as a center for exchange of ideas, knowledge, and information. Currently, it has 51 member companies. The following summarizes the Club's achievements in 2013.*

#### Improvement of operating standards

- An ASCO Compliance Training Program was organized in compliance with Notification of the Capital Market Supervisory Board TorThor 39/2555 on Requirements for Business Operators to Establish a Compliance Unit. The notification requires that securities companies and derivatives dealers see to have their personnel regularly attended training on compliance regulations and have the head of

their compliance unit attended a training course approved by the Office of the SEC at least every two years. The training, attended by a total of 76 officers, was held on September 13, 20, 27, 2013.

#### Representing the members in coordinating with agencies concerned for business development

- Opinions were presented regarding the operational guidelines of securities companies in

determining credit lines for retail customers with a view to setting operating standards which are appropriate and efficient.

- Representatives of the Club participated in a meeting to make preparations for undergoing AML/CFT assessment, held in cooperation with the Anti-Money Laundering Office (AMLO) on April 9, 2013.

- A representative was sent to be a speaker in the seminar project organized for officers responsible for supervising and examining reporting entities by the AMLO at its office on August 9, 2013.

- Views were presented on June 19, 2013 to the AMLO regarding the anti-money laundering law (Draft Ministerial Regulation Prescribing Rules and Procedures for Customer Due Diligence, nine Draft AMLO Notifications and the Draft Operational Guidelines for Customer Due Diligence which might pose obstacles to the business of securities companies.

- Views were presented to the Netbay Co., Ltd. and the AMLO, on the use of CDD Gateway service by the members as some operational obstacles had been encountered. Explanations were made by the service provider and the AMLO, and were forwarded to the members on October 10, 2013.

- A representative participated in a seminar organized to hear views of stakeholders toward the Anti-Money Laundering Bill in order to exchange ideas and to make recommendations for amending the anti-money laundering law to international standard. The event was organized by the AMLO on December 16, 2013.

- A discussion was held and recommendations were made to the SET on the report in support of its reward and punishment consideration. A format of the Compliance Annual Report was also presented for use in evaluating the members'

compliance operations.

- A discussion was held on August 9, 2013 and recommendations were made to the SET regarding the SET's equity instrument examination approach.

### Activities and member relations

- The Annual Compliance Relation Event was held in cooperation with the SET in order to promote mutual understanding of compliance operation which would benefit the member companies and the securities business. The event took place during September 7-8, 2013 at Kanchanaburi.

- An outing trip was organized together with the Office of the SEC to strengthen the relationship and to exchange views during November 23-24, 2013, at Pattaya, Chonburi.



*The 10<sup>th</sup> Compliance Relation Event organized by the Compliance Club in cooperation with the SET at Kanchanaburi, during September 7-8, 2013.*



*An ASCO Compliance Training Program was organized on September 13, 20, 27, 2013*

## Information Technology Club

*The Information Technology Club was established on September 14, 1999, with the objectives of promoting the development of IT principles and practices to attain acceptable standards and encouraging members to observe relevant rules and regulations and professional ethics. In addition, the Club serves as a center for exchange of information and for cooperation between its members and organizations concerned in addressing problems as well as promotion of IT studies and research and dissemination of IT information and technical knowledge. In 2013, the Club had 32 members. The following summarizes activities undertaken by the Club in 2013.*

### Representing the members in coordinating with agencies concerned for business development

- Serving as the center for development of pool software for the member companies for use in online stock subscription and telephone subscription via investment consultants for standardized application and cost saving.
- Preparing an order routing TOR for the systems designer to develop the system for the member companies.
- Cooperating with the SET in conducting a survey of the member companies' views toward the introduction of the dynamic price band.
- Cooperating with the Compliance Club in identifying obstacles encountered in using Netbay, CDD Gateway Filtering Solution service.
- Aligning understanding with the Office of the SEC regarding the control of the use of the company's assets by other parties who are not customers.
- Tracking the progress made by the member companies on improvement of the order queuing system.

### Activities and member relations

- The Club, in cooperation with the SET and the Back Office Operation Club, organized an event: "Networking Day @ Huahin" during July 13-14, 2013.



*The 2013 Annual General Meeting of Members on March 26, 2013.*



*"Networking Day @ Huahin" activity during July 13-14, 2013.*



## The Back Office Operation Club

*The Back Office Operation Club was set up with the objectives of developing and promoting the standards of back office operations, and providing a forum for exchange of ideas, knowledge and experience related to back office operations. To this end, the club serves as a center for developing new skills and know-how to keep pace with the expanded scope of the securities business for information exchange, and for promoting cooperation among its members in working together toward solutions to their problems. The Club also represents the member companies in coordinating with related agencies. Disseminating study results and organizing academic activities related to back office operations constitute the objectives of the Club as well. In 2013, the Club had 32 companies as members, with Classic Gold Futures Company Limited becoming a new member. The activities of the Club in 2013 are summarized below:*

### Improvement of operating standards

- Together with the Investment Banking Club, the Club developed guidelines for online share subscription and subscription by phone via Investment Consultants.
- The Club and the Compliance Club jointly worked on improvement of the guidelines for determining securities trading credit lines for customers.
- A standard application form for securities transfer was prepared.

### Representing the members in coordinating with agencies concerned for business development

The Club joined several working groups as follows:

- The Working Group on Back Office and Operation Re-engineering in cooperation with the SET in order to improve back office operation systems.
- The Working Group on Preparation of Reports on Overseas Investment which securities companies are required to submit to the Bank of Thailand.
- The Working Group set up to oversee obstacles and issues related to the transmission of corporate action news of listed companies (CA Non Swift).



2013 Annual General Meeting on March 27, 2013.

- The Working Group for the Study of FATCA Impact set up in preparation for securities companies' operations in relation to the Foreign Account Tax Compliance Act (FATCA).
- The Working Group for Proposing Principles and Operating Guidelines for Segregation of Monetary Assets of Clients of Securities Companies and Derivatives Dealers set up to avoid financial burden and operational flexibility on the part of the member companies.
- The Working Committee in cooperation with the Bangkok Bank for promotion of the e-Bill Payment Channel for convenient settlement of securities trading.



## Personnel development

- In cooperation with the ASCO Training Institute (ATI) and the Thailand Securities Institute (TSI), the Club organized the Strengthening Back Office Personnel @ Brokers Program to enhance knowledge in derivatives products and to update knowledge of the anti-money laundering law and FATCA. The program's objective was to raise the knowledge level and operation standards as well as service quality of the personnel of securities companies and derivative dealers, and consisted of two courses as follows:

1. Knowledge of the anti-money laundering law and FATCA
  - ▲ Class 1: Saturday, August 31, 2013
  - ▲ Class 2: Saturday, September 14, 2013
2. Introduction to Derivatives
  - ▲ Sunday, September 1, 2013



*The Club, in cooperation with the ATI and the TSI, organized a training program, Strengthening Back Office Personnel @ Brokers, on August 31 and September 1 and 14, 2013.*

## Activities and member relations

- During July 13-14, 2013, the Club conducted an activity "Networking Day @ Huahin", in cooperation with the SET and the Information Technology Club.

# The Futures Industry Club

*The Futures Industry Club was established with the objectives of promoting development and setting operating standards of the futures industry, in both principle and practice. It also serves as the center of coordination and cooperation among the members in solving problems related to futures trading, settles disputes among the members or with outside parties regarding futures trading, represents the members in coordinating and cooperating with agencies concerned, ensures that the members comply with the Club's rules, regulations and the Code of Conduct, and promotes research and dissemination of technical knowledge and information pertaining to the futures industry. In 2012, after two new members, the Asia Wealth Securities Company Limited and the AEC Securities Public Company Limited joined the Club, it had 41 member companies. It's activities during 2013 are summarized below:*

## Improvement of operating standards

- A notification of the Club Committee was issued on "Qualifications and Payment of Fees to Futures Contract Introducing Broker Agents" to order

to standardize and ensure efficiency of futures industry business operators' practices and to be consistent with the increasing volumes of futures trading. The notification is to serve as guidelines for the member companies.

- The Club established a database of authorized persons of the member companies for block trade order transmissions. The database is in the same fashion as that of the authorized persons of securities companies for dealings under put-thru trading.

- Opinions were sought from the member companies on the futures trading sales promotion expense limits to ensure compliance with the criteria set forth by the Office of the SEC prescribing the criteria, conditions and methods of advertisement and sales promotion, and to clarify the guidelines for paying commissions to company employees for introducing customers to securities companies.

- Opinions were sought from the member companies regarding the Regulation Governing Proprietary Trading.

### Representing the members in coordinating with agencies concerned for business development

- The Club Committee appointed the representatives to present views as experts to the TFEX Appeal Committee.

- The Club presented the results of the study on the specific business tax on security and index futures to the Revenue Department in support of the proposal for a reduction of the specific business tax rate. The move was aimed at equipping investors with a more efficient tool for their investment and risk management and to enhance the ability to compete against overseas financial institutions engaged in this business.

- Opinions were presented to the TFEX for use in disclosure of TFEX active accounts (defined in the same way as in the SET's disclosure of this information) and information about internet futures trading including : number of accounts and volumes of internet trading.

- A proposal was submitted to the BSB for use in developing applications in support of the member companies' business.

### Activities and member relations

- The Club, in cooperation with the ASCO, organized a study visit to Frankfurt, Germany, during August 10-16, 2013, to enhance knowledge and strengthen relationships among personnel of the futures business.

- The "TFEX New Year Party 2014" was organized on December 18, 2013, in cooperation with the TFEX, to offer an opportunity for a get-together and relationship strengthening.



*A visit to Frankfurt, Germany, during August 10-16, 2013, to observe the futures and securities businesses.*



*The "TFEX New Year Party 2014" on December 18, 2013.*

## Human Resources Club

*The Human Resources Club was established with primary objectives of serving as a center for professional development of member companies' human resources for the benefit of the securities industry as a whole, and for sharing views, knowledge, experience and HR management expertise. In 2013, there were 31 members, after the Stock Exchange of Thailand and the Asia Wealth Securities Company Limited joined the Club. The activities of the Club in 2013 are summarized below:*

### Improvement of operating standards

- Providing of guidelines for training students. The objective was to provide an opportunity to students to acquire skills and experience through training in a genuine securities business so that they can make use of knowledge and experience gained in their future career. The activity also helped to build a favorable image of securities business professions.
- Issuing a summary of the starting rate survey for use by member companies as their reference for determination of starting salaries for new graduates.

### Personnel development

Various activities were organized for HR personnel development, as follows:

- In collaboration with the Thailand Securities Institute (TSI) and the SET, the Club organized a seminar on "the Capital Market Vision: Preparation of People for Rising Asia". The objectives were to ensure senior executives' understanding of the changing environments of the world, Asia and Thailand, and techniques for linking corporate strategies with HRD in order to attain corporate objectives, and to enhance their coaching capability.
- An educational session was offered to the member companies on the topic "Transforming HR for the Future" with the objective of enhancing their knowledge and understanding of human resources development to prepare for competition at international level.
- A seminar on "Talent Management System & Succession Plan" was organized to promote understanding of talent management and succession planning.



A seminar on "Talent Management System & Succession Plan" on May 20, 2013.

- A study visit to the Bangkok Hospital, SoiSoonvijai, was organized to enhance knowledge in the areas of employee engagement and performance management.
- A visit to the Siam Commercial Bank Head Office to study "Talent Management" was organized to enhance member companies' understanding of HRM and HRD approaches for maximum benefit of the organization which will bring about sustainable success. The participating members also visited the Thai Bank Museum where invaluable financial exhibits are displayed.



A visit to the Siam Commercial Bank on November 25, 2013 to study talent management and to visit the Thai Bank Museum.





## မာနာပုဒ် Appendix





## คณะกรรมการสมาคม

### Board of Directors



คุณภัทธีรา ดิolkrunthirapop  
Mrs. Pattera Dilokrunthirapop  
นายกสมาคม  
Chairperson .....

1



คุณชาญชัย กองทองลักษณ์  
Mr. Charnchai Kongthongluck  
กรรมการ  
Director / Vice Chairman .....

2



คุณปริญญ์ ปานิชภักดิ์  
Mr. Prinn Panitchpakdi  
กรรมการ  
Director .....

7



คุณบุญพร บริบูรณ์สังศิลป์  
Mrs. Boonporn Boriboonsongsil  
กรรมการ  
Director .....

3



คุณเผด็จภพ สงเคราะห์  
Mr. Padermpob Songkroh  
กรรมการ  
Director .....

8



คุณสุชาย สุทัศน์ธรรมกุล  
Mr. Suchai Sutasthumkul  
กรรมการ  
Director .....

4



คุณกอบเกียรติ บุญธีรवार  
Mr. Kobkiat Boontherawara  
กรรมการ  
Director .....

9



คุณอัสวินี ไตลังคะ  
Mrs. Asvini Tailanga  
กรรมการ  
Director .....

5



คุณปรัชญา กุลวนิชพิสิฐ  
Mr. Prachaya Kulvanichpisit  
กรรมการ  
Director .....

10



คุณพิเชฐ สิทธิอำนวย  
Mr. Pichet Sithi-Amnuai  
กรรมการ  
Director .....

6



คุณญาณศักดิ์ มโนมัยพิบูลย์  
Mr. Yarnsak Manomaiphiboon  
เลขาธิการ  
Secretary - General .....

11

## ที่ปรึกษาคณะกรรมการ

### Advisor



นายโยธิน อารี  
Mr. Yothin Ari

1



นายยุทธ วรฉัตรธาร  
Mr. Yuth Vorachattarn

3



นายสุเทพ พิทยานนท์  
Mr. Suthep Peetakanont

5



นายภควัต โกวิทวัฒนพงศ์  
Mr. Pakhawat Kovithvathanaphong

2



นายสมเจตน์ หมูศิริเลิศ  
Mr. Somjate Moosirilert

4

## ฟั้แทนบริษัทสมาชิก

### List of Representative Member Companies



บล. กรุงศรี จก. (มหาชน)

Krungsri Securities Public Company Limited (KSS)

นายมงคล กิตติภูมิวงศ์

กรรมการผู้จัดการใหญ่

Web Site : [www.krungsrisecurities.com](http://www.krungsrisecurities.com)

Mr. Monkhol Kittipoomvong

Managing Director



บล. กสิกรไทย จก. (มหาชน)

Kasikorn Securities Public Company Limited (KS)

นายเปติมภพ สงเคราะห์

กรรมการผู้จัดการ

Web Site : [www.kasikornsecurities.com](http://www.kasikornsecurities.com)

Mr. Padermpob Songkroh

Managing Director



บล. โกลบลิค จก.

Globlex Securities Company Limited (GBS)

นายกิตติพันธ์ ภูษณวรรณ

กรรมการผู้จัดการอาวุโส

Web Site : [www.globlex.co.th](http://www.globlex.co.th)

Mr. Kittiphan Phusanawan

Senior Managing Director



บล. คันทรี กรุ๊ป จก. (มหาชน)

Country Group Securities Public Company Limited (CGS)

นายสุรพล ขวัญใจธัญญา

กรรมการและรองประธานกรรมการบริหาร

Web Site : [www.cgsec.co.th](http://www.cgsec.co.th)

Mr. Surabhon Kwunchaithunya

Director and Vice Executive Chairman



บล. เคเคเทรด จก.

KKTRADE Securities Company Limited (KKTRADE)

นายชาญศักดิ์ ธนเตชา

กรรมการผู้จัดการ

Web Site : [www.kktrade.co.th](http://www.kktrade.co.th)

Mr. Charnsak Thanataecha

Managing Director





บล. เคจีไอ (ประเทศไทย) จก. (มหาชน)  
KGI Securities (Thailand) Public Company Limited (KGI)



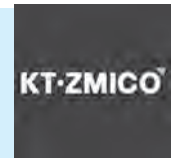
นางสุชาดา โสทธิภาพกุล  
กรรมการผู้จัดการ

Mrs. Suchada Sodthibhaphkul  
Managing Director

Web Site : [www.kgiworld.co.th](http://www.kgiworld.co.th)



บล. เคที ซีบีโก้ จก.  
KT ZMICO Securities Company Limited (KTZ)



นายชัยภัทร ศรีวิสารวาจา

Mr. Chaipatr Srivisarvacha

ประธานกรรมการบริหารและประธานเจ้าหน้าที่บริหาร

Executive Chairman & CEO

Web Site : [www.ktzmico.com](http://www.ktzmico.com)



บล. เคทีบี (ประเทศไทย) จก.  
KTB Securities (Thailand) Company Limited (KTBST)



นายเท ฮี คิม

Mr. Tae Hee Kim

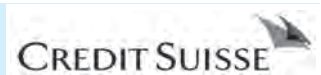
ประธานเจ้าหน้าที่บริหาร

Chief Executive Officer

Web Site : [www.ktbst.co.th](http://www.ktbst.co.th)



บล. เครดิต สวิส (ประเทศไทย) จก.  
Credit Suisse Securities (Thailand) Limited (CS)



นายพรชัย ประเสริฐสินธนา

Mr. Pornchai Prasertsintanah

กรรมการผู้จัดการ

Managing Director

Web Site : [www.credit-suisse.com](http://www.credit-suisse.com)



บล. เจพีมอร์แกน (ประเทศไทย) จก.  
JP Morgan Securities (Thailand) Limited (JPM)



นายอาจนัย สุจริตกุล

Mr. Arddanai Sucharitkul

กรรมการผู้อำนวยการ

Managing Director

Web Site : [www.jpmorgan.com](http://www.jpmorgan.com)



บล. ซิตี้คอร์ป (ประเทศไทย) จก.  
Citicorp Securities (Thailand) Limited (CST)

นายริชาร์ด มาร์ค บาวเวอร์ส

Mr. Richard Mark Bowers

กรรมการผู้จัดการ

Managing Director



บล. ซีบีโก้ จก. (มหาชน)  
Seamico Securities Public Company Limited (ZMICO)

นายชัยภัทร ศรีวิสารวาจา  
ประธานกรรมการบริหาร

Mr. Chaipatr Srivisarvacha  
Executive Chairman

Web Site: [www.seamico.com](http://www.seamico.com)

SEAMICO



บล. ซี แอล เอส เอ (ประเทศไทย) จก.  
CLSA Securities (Thailand) Limited (CLSA)

นายปริญญ์ พานิชภักดิ์  
กรรมการผู้จัดการ

Mr. Prinn Panitchpakdi  
Managing Director

Web Site : [www.clsa.com](http://www.clsa.com)

CLSA



บล. ซีไอเอ็มบี (ประเทศไทย) จก.  
CIMB Securities (Thailand) Company Limited (CIMBS)

นายสุชาย สุธัสธรรมกุล  
ประธานเจ้าหน้าที่บริหาร

Mr. Suchai Sutasthumkul  
Chief Executive Officer

Web Site : [www.cimbsecurities.co.th](http://www.cimbsecurities.co.th)

CIMB



บล. ดีบีเอส วิคเคอร์ส (ประเทศไทย) จก.  
DBS Vickers Securities (Thailand) Company Limited (DBSV)

นางภัทธีรา ดิปลกรังษิระภพ  
ประธานเจ้าหน้าที่บริหาร

Mrs. Pattera Dilokrunghthirapop  
Chief Executive Officer

Web Site : [www.dbsvitrade.com](http://www.dbsvitrade.com)

DBS VICKERS SECURITIES



บล. ทรีนีตี จก.  
Trinity Securities Company Limited (TRINITY)

นายชาญชัย กงทองลักษณ์  
กรรมการผู้จัดการ

Mr. Charnchai Kongthongluck  
President

Web Site : [www.trinitythai.com](http://www.trinitythai.com)

TRINITY



บล. ทีเอสโก้ จก.  
TISCO Securities Company Limited (TSC)

นายธรรพ์พร เตชะกิจจขร  
กรรมการผู้จัดการ

Mr. Tharatporn Techakitkachorn  
Managing Director

Web Site : [www.tiscosec.com](http://www.tiscosec.com)

TISCO





บล. ไทยพาณิชย์ จก.  
SCB Securities Company Limited (SCBS)



ม.ล. ทองมกุฏ ทองใหญ่  
ประธานเจ้าหน้าที่บริหาร

M.L. Thongmakut Thongyai  
Chief Executive Officer

Web Site : [www.scbs.com](http://www.scbs.com)



บล. ธนชาต จก. (มหาชน)  
Thanachart Securities Public Company Limited (TNS)



นางอศ्वินี ไตลังคะ

Mrs. Asvini Tailanga

กรรมการบริษัท / กรรมการผู้จัดการ / กรรมการบริหาร

Director / Managing Director / Member of the Executive of Board

Web Site : [www.tnsitrade.com](http://www.tnsitrade.com)



บล. โนมูระ พัฒนสิน จก. (มหาชน)  
Capital Nomura Securities Public Company Limited (CNS)



นายสุเทพ พิทยานนท์

Mr. Suthep Peetakanont

ประธานกรรมการและประธานกรรมการบริหาร

Chairman of the Board of Directors and Chairman of the Board of Executive Directors

Web Site : [www.cns.co.th](http://www.cns.co.th), [www.nomuradirect.com](http://www.nomuradirect.com)



บล. บัวหลวง จก. (มหาชน)  
Bualuang Securities Public Company Limited (BLS)



นายพิเชษฐ สิทธิอำนวย

Mr. Pichet Sithi-Amnuai

กรรมการผู้อำนวยการ

President

Web Site : [www.bualuang.co.th](http://www.bualuang.co.th)



บล. เพียรกิจหลักทรัพย์ จก. (มหาชน)  
TSFC Securities Public Company Limited (TSFC)



นางสาวเยาวลักษณ์ อรามทวีทอง  
กรรมการผู้จัดการ

Miss Yaowaluk Aramthaveethong  
President

Web Site : [www.tsfc.co.th](http://www.tsfc.co.th)



บล. ฟินันเซีย ไชรัส จก. (มหาชน)  
Finansia Syrus Securities Public Company Limited (FSS)



นางพรพริ้ง สุขสันติสุวรรณ  
กรรมการผู้อำนวยการ

Mrs. Pornpring Suksantisuwan  
President

Web Site : [www.fnsyrus.com](http://www.fnsyrus.com)



บล. ฟิลิป (ประเทศไทย) จก. (มหาชน)  
Phillip Securities (Thailand) Public Company Limited (PST)



นายปรัชญา กุลวนิชพิสิฐ  
ประธานเจ้าหน้าที่บริหาร

Mr. Prachaya Kulvanichpisit  
Chief Executive Officer

Web Site : [www.poems.in.th](http://www.poems.in.th)



บล. ภัทร จก. (มหาชน)  
Phatra Securities Public Company Limited (PHATRA)



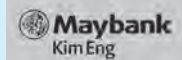
นายกฤติยา วีรบุรุษ  
กรรมการผู้จัดการใหญ่

Mr. Krittiya Veeraburus  
President

Web Site : [www.phatrasercurities.com](http://www.phatrasercurities.com)



บล. เมย์แบงก์ กิมเอ็ง (ประเทศไทย) จก. (มหาชน)  
Maybank Kim Eng Securities (Thailand) Public Company Limited (MBKET)



นางบุญพร บริบูรณ์สงส์ศิลป์  
ประธานเจ้าหน้าที่บริหาร

Mrs. Boonporn Boriboonsongsilp  
Chief Executive Officer

Web Site : [www.maybank-ke.co.th](http://www.maybank-ke.co.th)



บล. เมอร์ชันทน์ พาร์ทเนอร์ จก. (มหาชน)  
Merchant Partners Securities Public Company Limited (MP)



นายถนอมพงษ์ ปฐมศักดิ์  
กรรมการผู้จัดการ

Mr. Thanomphon Pathomsak  
Managing Director

Web Site : [www.merchant.co.th](http://www.merchant.co.th)



บล. เมอร์ริล ลินช์ (ประเทศไทย) จก.  
Merrill Lynch Securities (Thailand) Limited (ML)



นายพีระ ระยามาศ  
กรรมการผู้จัดการ

Mr. Peera Rayamas  
Managing Director

Web Site : [www.baml.com](http://www.baml.com)



บล. แมคควอรี (ประเทศไทย) จก.  
Macquarie Securities (Thailand) Limited (MACQ)



นายวิลเลียม แองกัส เคินท์  
กรรมการผู้จัดการ

Mr. William Angus Kent  
Managing Director

Web Site : [www.macquarie.com](http://www.macquarie.com)



บล. ยูบีเอส (ประเทศไทย) จก.  
UBS Securities (Thailand) Limited (UBS)

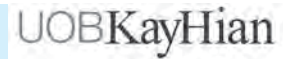


นางวิภารัตน์ มีสิทธิ์สกุล  
กรรมการผู้อำนวยการ  
Web Site : [www.ubs.com](http://www.ubs.com)

Mrs. Viparat Misitsakul  
Chief Operating Officer



บล. ยูโอบี เคย์ฮิอัน (ประเทศไทย) จก. (มหาชน)  
UOB Kay Hian Securities (Thailand) Public Company Limited (UOBKH)



นายชัยพัชร นาคมนานาคุ่ม  
ประธานเจ้าหน้าที่บริหาร  
Web Site : [www.uobkayhian.co.th](http://www.uobkayhian.co.th)

Mr. Chaipat Narkmontanakum  
Chief Executive Officer



บล. แอปเปิ้ล เวลธ์ จก.  
Apple Wealth Securities Company Limited (APPLE)



นางกาญจนา อุทัยชัยศิริ  
กรรมการผู้จัดการใหญ่  
Web Site : [www.applewealthsecurities.com](http://www.applewealthsecurities.com)

Mrs. Kanchana Uthaichaisiri  
President



บล. อาร์เอชบี โอเอสเค (ประเทศไทย) จก. (มหาชน)  
RHB OSK Securities (Thailand) Public Company Limited (RHB OSK)



นางสาวสุพิน สุระวิชัย  
กรรมการบริหาร  
Web Site : [www.osk188.co.th](http://www.osk188.co.th)

Ms. Supin Suravichai  
Executive Director



บล. เอเชีย เวลธ์ จก.  
Asia Wealth Securities Company Limited (AWS)



ดร. พิชิต อัคราทิตย์  
ประธานเจ้าหน้าที่บริหาร  
Web Site : [www.asiawealth.co.th](http://www.asiawealth.co.th)

Ph.D. Pichit Akrathit  
Chief Executive Officer



บล. เอเชีย พลัส จก. (มหาชน)  
Asia Plus Securities Public Company Limited (ASP)



ดร.พัชร สุระจรัส  
กรรมการบริหาร  
Web Site : [www.asiaplus.co.th](http://www.asiaplus.co.th)

Dr. Patchara Surajaras  
Executive Director





บ. เออีซี จก. (มหาชน)  
AEC Securities Public Company Limited (AECS)

นายกอบเกียรติ บุญธีรวัชร

ประธานเจ้าหน้าที่บริหาร

Web Site : [www.aecs.com](http://www.aecs.com)

Mr. Kobkiat Boontharawara

Chief Executive Officer



บ. ไอรา จก. (มหาชน)  
AIRA Securities Public Company Limited (AIRA)

นายไพโรจน์ เหลืองเถลิงพงษ์

ประธานเจ้าหน้าที่บริหาร

Web Site : [www.aira.co.th](http://www.aira.co.th)

Mr. Pairaj Laungthaleongpong

Chief Executive Officer



บ. ไอ วี โกลบอล จก. (มหาชน)  
I V Global Securities Public Company Limited (IVG)

นางศรีพร สุทธิพงษ์

กรรมการผู้อำนวยการ

Web Site : [www.ivglobal.co.th](http://www.ivglobal.co.th)

Mrs. Sriporn Sudthipongse

President & Chief Executive Officer



สมาคมบริษัทหลักทรัพย์ไทย  
Association of Thai Securities Companies

นายญาณศักดิ์ มโนมัยพิบูลย์

เลขาธิการ

Web Site : [www.asco.or.th](http://www.asco.or.th)

Mr. Yarnsak Manomaiphiboon

Secretary - General





คณะกรรมการชมรม

คณะกรรมการสถาบันฟื้ทอบรม และ

คณะทำงานเฉพาะกิจ

Clubs' Board of Directors,  
ATI's Board of Directors And  
Working Group



## คณะกรรมการชมรมวาณิชธนกิจ

## IB Club's Board of Directors

1.	คุณนรเชษฐ์ แสงรุจิ	บล. ภัทร จก. (มหาชน)	ประธานกรรมการ
	Mr. Norachet Sangruji	Phatra Securities PCL.	Chairperson
2.	คุณประเสริฐ ภัทรดิลก	บ. แอดไวเซอร์รี่ พลัส จก.	รองประธานกรรมการ
	Mr. Prasert Patradhilok	Advisory Plus Co., Ltd.	Vice Chairperson
3.	คุณสันทัต สงวนดีกุล	บล. ธนชาติ จก. (มหาชน)	กรรมการและเหรัญญิก
	Mr. Santhatt Sangwandikul	Thanachart Securities PCL.	Director / Treasurer
4.	คุณมนตรี ศรีไพศาล	บล. เมย์แบงก์ กิมเอ็ง (ประเทศไทย) จก. (มหาชน)	กรรมการ
	Mr. Montree Sornpaisarn	Maybank Kim Eng Securities (Thailand) PCL.	Director
5.	คุณสมภพ กีระสุนทรพงษ์	บล. ฟินันเซีย ไชรัส จก. (มหาชน)	กรรมการ
	Mr. Somphop Keerasuntonpong	Finansia Syrus Securities PCL.	Director
6.	คุณสิทธิไชย มหาคุณ	บล. ซีไอเอ็มบี (ประเทศไทย) จก.	กรรมการ
	Mr. Sittichai Mahaguna	CIMB Securities (Thailand) Ltd.	Director
7.	คุณพรพิมล ดำรงศิริ	บ. ทีปรีक्षा เอเชีย พลัส จก.	กรรมการ
	Mrs. Pornpimol Damrongsiri	Asia Plus Advisory Co., Ltd.	Director
8.	คุณนิมิต วงศ์จริยกุล	บล. โนมูระ พัฒนสิน จก. (มหาชน)	กรรมการ
	Mr. Nimit Wongjariyakul	Capital Nomura Securities PCL.	Director
9.	คุณพัชร เนตรสุวรรณ	บ. แคปปิตอล แอ็ดวานเทจ จก.	กรรมการ
	Mr. Patchara Netsuwan	Capital Advantage Co., Ltd.	Director
10.	คุณแมนพงศ์ เสนานรงค์	บล. กสิกรไทย จก. (มหาชน)	กรรมการ
	Mr. Manpong Senanarong	Kasikorn Securities PCL.	Director
11.	คุณรัฐชัย ชีระธนาวัฒน์	บล. อาร์เอชบี โอเอสเค (ประเทศไทย) จก. (มหาชน)	กรรมการ
	Mr. Ratachai Teratanavat	RHB OSK Securities (Thailand) PCL.	Director
12.	คุณญาณศักดิ์ มโนมัยพิบูลย์	สมาคมบริษัทหลักทรัพย์ไทย	กรรมการและเลขาธิการ
	Mr. Yarnsak Manomaiphiboon	Association of Thai Securities Companies	Director / Secretary



## ที่ปรึกษาคณะกรรมการชมรมวานิชธนกิจ

### IB Club's Advisors

1.	รศ. พิเศษ เสตเสถียร Assoc. Prof. Pises Sethsathira	ช. ไทยพาณิชย์ จก. (มหาชน) Siam Commercial Bank
2.	คุณรุทร ชาวนะกวี Mr. Ruth Chaowanagawi	บ. เอ็นส์ท แอนด์ ยัง คอร์ปอเรท เซอร์วิสเสส จก. Ernst & Young Corporate Services Limited
3.	คุณเพ็ญศรี สุธีรศานต์ Ms. Pensri Suteerasarn	สมาคมบริษัทจดทะเบียนไทย Thai Listed Companies Association
4.	ดร. สมจินต์ ศรไพศาล Dr. Somjin Sornpaisarn	สมาคมบริษัทจัดการลงทุน Association of Investment Management Company
5.	คุณเพ็ญพนอ บุญกล้า Miss Peangpanor Boonklum	บ. วีระวงศ์, ชินวัฒน์ และเพ็ญพนอ จก. Weerawong, Chinnavat & Peangpanor Limited

## คณะกรรมการชมรมผู้ดูแลการปฏิบัติงานด้านหลักทรัพย์

### Compliance Club's Board of Directors

1.	คุณอารีย์ เต็มวัฒนาภักดี Mrs. Aree Termwattanakdee	บล. เคที ซีมิโก้ จก. KT ZMICO Securities Co., Ltd.	ประธานกรรมการ Chairperson
2.	คุณเกรียงศักดิ์ เข้มเหลือ Mr. Griangsak Khemleung	ช. ธนชาติ จก. (มหาชน) Thanachart Bank PCL.	รองประธานกรรมการด้านธนาคาร Vice Chairperson
3.	คุณสุวรรณี ลิ้มปวงศ์แสน Miss Suwannee Limpanavongsaen	บล. ทรีนีตี้ จก. Trinity Securities Co., Ltd.	รองประธานกรรมการด้านหลักทรัพย์ Vice Chairperson
4.	คุณสุกนา รักธรรม Miss Sakuna Rucktham	บล. ฟิลลิป (ประเทศไทย) จก. (มหาชน) Phillip Securities (Thailand) PCL.	กรรมการและเหรัญญิก Director / Treasurer
5.	คุณณภาพร โอสุวรรณกุล Miss Napaporn O-suwankul	บล. เครดิต สวิส (ประเทศไทย) จก. Credit Suisse Securities (Thailand) Ltd.	กรรมการ Director
6.	คุณสุภาพร อร่ามเจียรจ่าง Mrs. Supaporn Aramtiantamrong	บล. ทิสโก้ จก. TISCO Securities Co., Ltd.	กรรมการ Director
7.	คุณภัทรพร มิลินทสุด Mrs. Patraporn Milindasuta	บล. ภัทร จก. (มหาชน) Phatra Securities PCL.	กรรมการ Director
8.	คุณกอบโชค อัมพรพูลสุข Mrs. Kobchok Umpompulsuk	บล. ธนชาติ จก. (มหาชน) Thanachart Securities PCL.	กรรมการ Director
9.	คุณณกร ลัมภเวส Mr. Nakorn Lampaves	บล. ซีไอเอ็มบี (ประเทศไทย) จก. CIMB Securities (Thailand) Co., Ltd.	กรรมการ Director
10.	คุณเบญจวรรณ แวนไดน์ Mrs. Benjawan Vanduyne	บล. แมคควอรี (ประเทศไทย) จก. Macquarie Securities (Thailand) Ltd.	กรรมการ Director
11.	คุณนวรรตน์ โรจนาประดับ Mrs. Nawarat Rojanapradup	บล. ฟินันเซีย ไซรัส จก. (มหาชน) Finansia Syrus Securities PCL.	กรรมการ Director

12.	คุณพงษ์พันธุ์ สุขยางค์	ธ. ไทยพาณิชย์ จก. (มหาชน)	กรรมการ
	Mr. Pongphan Sukhyanga	Siam Commercial Bank	Director
13.	คุณไพศาล วรเศรษฐศิริ	ธ. กสิกรไทย จก. (มหาชน)	กรรมการ
	Mr. Phaisarn Vorasetsiri	Kasikorn Bank PCL.	Director
14.	คุณอภิชาติ ศักดิ์ชื่นยศ	บ. ฮั่วเซ่งเฮง โกลด์ ฟิวเจอร์ส จก.	กรรมการ
	Mr. Apichart Sakchuenyod	Hua Seng Heng Gold Futures Co., Ltd.	Director
15.	คุณญาณศักดิ์ มโนมัยพิบูลย์	สมาคมบริษัทหลักทรัพย์ไทย	กรรมการและเลขาธิการ
	Mr. Yarnsak Manomaiphiboon	Association of Thai Securities Companies	Director / Secretary

## คณะกรรมการชมรมเทคโนโลยีสารสนเทศ IT Club's Board of Directors

1.	คุณพิเชษฐ สิทธิอำนวย	บล. บัวหลวง จก. (มหาชน)	ประธานกรรมการ
	Mr. Pichet Sithi-Amnuai	Bualuang Securities PCL.	Chairperson
2.	คุณธนาทร เบญจัทธนนท์	บล. ดีบีเอส วิคเคอร์ส (ประเทศไทย) จก.	รองประธานกรรมการ
	Mr. Thanatorn Benjapattranon	DBSV Vickers Securities (Thailand) Co., Ltd.	Vice Chairperson
3.	คุณประเสริฐ ไชยศิริ	บล. ธนชาติ จก. (มหาชน)	รองประธานกรรมการ
	Mr. Prasert Chaisiri	Thanachart Securities PCL.	Vice Chairperson
4.	คุณอรุณทิพย์ ตระกูลฤทธิเดช	บล. ทีเอสจี จก. จก.	กรรมการและเหรัญญิก
	Mrs. Aroonthip Trakoolrittidech	TISCO Securities Co., Ltd.	Director / Treasurer
5.	คุณราเชนทร์ บุญยะไวโรจน์	บล. เครดิต สวิส (ประเทศไทย) จำกัด	กรรมการ
	Mr. Rashane Boonyawairote	Credit Suisse Securities (Thailand) Ltd.	Director
6.	คุณต่อวงศ์ เสรีภาพ	บล. โกลเบล็ก จก.	กรรมการ
	Mr. Torwong Sereephap	Globlex Securities Co., Ltd.	Director
7.	คุณชาคร ทองหุ่น	บล. ไอรา จก. (มหาชน)	กรรมการ
	Mr. Chakhorn Tonghoon	AIRA Securities PCL.	Director
8.	คุณณัฐพล โลหิตพิทักษ์	บล. โนมูระ พัฒนสิน จก. (มหาชน)	กรรมการ
	Mr. Natthapon Lohachitpitak	Capital Nomura Securities PCL.	Director
9.	คุณประเสริฐ เอี่ยมสกุลพานิช	บล. เอเชีย พลัส จก. (มหาชน)	กรรมการ
	Mr. Prasert Eiamsakulpanich	Asia Plus Securities PCL.	Director
10.	คุณวิชษฐ์ พรสินศิริรักษ์	บล. เมย์แบงก์ กิมเอ็ง (ประเทศไทย) จก. (มหาชน)	กรรมการ
	Mr. Vichet Pornsinsirak	Maybank Kim Eng Securities (Thailand) PCL.	Director
11.	คุณพิสิษฐ์ พรตังจิตลิต	บล. กสิกรไทย จก. (มหาชน)	กรรมการ
	Mr. Pisit Porntangjitlikit	Kasikorn Securities PCL.	Director
12.	คุณสุพจน์ คำวงศ์	บ. ฮั่วเซ่งเฮง โกลด์ ฟิวเจอร์ส จก.	กรรมการ
	Mr. Supoj Kamwong	Hua Seng Heng Gold Futures Co., Ltd.	Director
13.	คุณญาณศักดิ์ มโนมัยพิบูลย์	สมาคมบริษัทหลักทรัพย์ไทย	กรรมการและเลขาธิการ
	Mr. Yarnsak Manomaiphiboon	Association of Thai Securities Companies	Director / Secretary

## คณะกรรมการชมรมปฏิบัติการหลักทรัพย์

### Boo Club's Board of Directors

1.	คุณกฤษณา หลีว Mrs. Chrisana Leiw	บล. โนมูระ พัฒนสิน จก. (มหาชน) Capital Nomura Securities PCL.	ประธานกรรมการ Chairperson
2.	คุณศรัญญา หลากสุขถม Miss Saranya Larksukthom	บล. เคจีไอ (ประเทศไทย) จก. (มหาชน) KGI Securities (Thailand) PCL.	รองประธานกรรมการ Vice Chairperson
3.	คุณพรรณนิภา กุลยานนท์ Mrs. Pannipa Gulyanon	บล. เอเชีย พลัส จก. (มหาชน) Asia Plus Securities PCL.	กรรมการและเหรัญญิก Director / Treasurer
4.	คุณอัญชญา ไกรสอาด Miss Aunchana Girsard	บล. ทิสโก้ จก. TISCO Securities Co., Ltd.	กรรมการ Director
5.	คุณทอมมี นนท์อาสา Mr. Tommy Nondhasa	บล. ฟิลลิป (ประเทศไทย) จก. (มหาชน) Phillip Securities (Thailand) PCL.	กรรมการ Director
6.	คุณกุลندا รุจจนเวท Mrs. Kulnada Rujjanavate	บล. ทรินิตี้ จก. Trinity Securities Co., Ltd.	กรรมการ Director
7.	คุณนันท์ธีรัตน์ ขวลิทเลขา Mrs. Nantirat Chavalitlekha	บล. เจพีมอร์แกน (ประเทศไทย) จก. JPMorgan Securities (Thailand) Ltd.	กรรมการ Director
8.	คุณอภิชาติ จงสงวนประดับ Mr. Aphichart Chongsanguanpradab	บล. ภัทร จก. (มหาชน) Phatra Securities PCL.	กรรมการ Director
9.	คุณญาณศักดิ์ มโนมัยพิบูลย์ Mr. Yarnsak Manomaiphiboon	สมาคมบริษัทหลักทรัพย์ไทย Association of Thai Securities Companies	กรรมการและเลขาธิการ Director / Secretary

## ที่ปรึกษาคณะกรรมการชมรม

### Boo Club's Advisors

1.	คุณชวเลิศ เชาว์ชวานิล Mr. Chavalert Chaochavanil	บล. กสิกรไทย จก. (มหาชน) Kasikorn Securities PCL.
2.	คุณพรพริ้ง สุขสันติสุวรรณ Ms. Pornpring Suksantisuwan	บล. ฟินันเซีย ไซรัส จก. (มหาชน) Finansia Syrus Securities PCL.



## คณะกรรมการชมรมผู้ประกอบการธุรกิจสัญญาซื้อขายล่วงหน้า

### FI Club's Board of Directors

1.	คุณชาญชัย กองทองลักษณ์ Mr. Charnchai Kongthongluck	บล. ทรินิตี้ จก. Trinity Securities Co., Ltd.	ประธานกรรมการ Chairperson
2.	คุณนพดล นิมมานพิภักดิ์ Mr. Nopadon Nimmanpipak	บล. ภัทร จก. (มหาชน) Phatra Securities PCL.	รองประธานกรรมการ Vice Chairperson
3.	คุณกฤษณา หลีว Mrs. Chrisana Leiw	บล. โนมูระ พัฒนสิน จก. (มหาชน) Capital Nomura Securities PCL.	กรรมการและเหรัญญิก Director / Treasurer
4.	คุณอศวีณี ไตลังคะ Mrs. Asvini Tailanga	บล. ธนชาต จก. (มหาชน) Thanachart Securities PCL.	กรรมการ Director
5.	คุณเชาว์ อรุณวัฒน์ Mr. Chao Arunyawat	บล. เคที ซีมิโก้ จก. KT ZMICO Securities Co., Ltd.	กรรมการ Director
6.	คุณมนู ตังทตสวัสต์ Mr. Manu Tangtatswas	บล. บัวหลวง จก. (มหาชน) Bualuang Securities PLC.	กรรมการ Director
7.	คุณเกียรติศักดิ์ สิริรัตนกิจ Mr. Kiattisak Sirirattanakit	บล. เมย์แบงก์ กิมเอ็ง (ประเทศไทย) จก. (มหาชน) Maybank Kim Eng Securities (Thailand) PCL.	กรรมการ Director
8.	คุณกิดาการ สุวรรณธรรมา Mr. Kidakan Suwanathama	บล. ฟิลลิป (ประเทศไทย) จก. (มหาชน) Phillip Securities (Thailand) PCL.	กรรมการ Director
9.	คุณกัณฐรา ลดาวัลย์ ณ อยุธยา Mr. Kuntra Ladavalaya Na Ayudhya	บล. ฟินันเซีย ไซรัส จก. (มหาชน) Finansia Syrus Securities PCL.	กรรมการ Director
10.	คุณณมล อัจฉานวยวิภาส Miss Naruemol Artamnuayvipas	บล. เอเชีย พลัส จก. (มหาชน) Asia Plus Securities PCL.	กรรมการ Director
11.	คุณชาญศักดิ์ ธนเดชา Mr. Charnsak Thanataecha	บล. เคเคเทรด จก. KKTRADE Securities Co., Ltd.	กรรมการ Director
12.	คุณบุญเลิศ สิริภทรวณิช Mr. Boonlert Siripatvanich	บ. ออสสิริส ฟิวเจอร์ส จก. Ausiris Futures Co., Ltd.	กรรมการ Director
13.	คุณญาณศักดิ์ มโนมัยพิบูลย์ Mr. Yarnsak Manomaiphiboon	สมาคมบริษัทหลักทรัพย์ไทย Association of Thai Securities Companies	กรรมการและเลขาธิการ Director / Secretary

## ที่ปรึกษาคณะกรรมการชมรม

### FI Club's Advisors

1.	คุณณพพร โอสุวรรณกุล Ms. Napaporn Osuwankul	บล. เครดิต สวิส (ประเทศไทย) จก. Credit Suisse Securities (Thailand) Ltd.
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## คณะกรรมการชมรมบริหารทรัพยากรบุคคลบริษัทหลักทรัพย์

### HR Club's Board of Directors

1.	คุณนิยะดา จ่างตระกูล Ms. Niyada Changtrakul	บล. ตรีเน็ต จก. Trinity Securities Co., Ltd.	ประธานกรรมการ Chairperson
2.	คุณชาติชาย สุทธศิริ Mr. Chartchai Suthasiri	บล. บัวหลวง จก. (มหาชน) Bualuang Securities PCL.	รองประธานกรรมการ Vice Chairperson
3.	คุณไพรัช ธนาชัยแสง Mr. Pairat Thanachaisang	บ. ทุนภัทร จก. (มหาชน) Phatra Capital PCL.	กรรมการและเหรัญญิก Director / Treasurer
4.	คุณประทีป จงเจริญสุข Mr. Prateep Chongcharoensuk	บล. เมย์แบงก์ กิมเอ็ง (ประเทศไทย) จก. (มหาชน) Maybank Kim Eng Securities (Thailand) PCL.	กรรมการ Director
5.	คุณวีรภัทร สภากาญจน์ Mr. Weerapat Sapakarn	บล. อาร์เอชบี โอเอสเค (ประเทศไทย) จก. (มหาชน) RHB OSK Securities (Thailand) PCL.	กรรมการ Director
6.	คุณพิมลรัตน์ ธีพัฒน์วิจิตรกุล Ms. Pimonrat Reephattanavijitkul	บล. ไทยพาณิชย์ จก. SCB Securities Co., Ltd.	กรรมการ Director
7.	คุณสุนีย์ อาชนิยุต Ms. Sune Archawaniyut	บล. ดีบีเอส วิคเคอร์ส (ประเทศไทย) จก. DBSV Vickers Securities (Thailand) Co., Ltd.	กรรมการ Director
8.	คุณพรจิรา ศิวากรณ์ Ms. Pornjira Siwakorn	บล. ธนชาต จก. (มหาชน) Thanachart Securities PCL.	กรรมการ Director
9.	คุณพัฒน์นรี นิธิทัตธรรมธร Ms. Patnaree Nititattammathorn	บ. ฮั่วเซ่งเฮง โกลด์ ฟิวเจอร์ส จก. Hua Seng Heng Gold Futures Co., Ltd.	กรรมการ Director
10.	คุณญาณศักดิ์ มโนมัยพิบูลย์ Mr. Yarnsak Manomaiphiboon	สมาคมบริษัทหลักทรัพย์ไทย Association of Thai Securities Companies	กรรมการและเลขาธิการ Director / Secretary

## ที่ปรึกษาคณะกรรมการชมรม

### HR Club's Advisors

1.	ดร.กฤษฎา เสกตระกูล Dr. Krisada Sektrakul	ศูนย์ส่งเสริมการพัฒนาความรู้ตลาดทุน SET Thailand Securities Institute, The Stock Exchange of Thailand
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## คณะกรรมการสถาบันฟิโอบรม สมาคมบริษัทหลักทรัพย์ไทย

## ATI's Board of Directors

1.	คุณภัทธีรา ดิลกรุ่งธีระภพ	บล. ดีบีเอส วิคเคอร์ส (ประเทศไทย) จก.	ประธานกรรมการ
	Mrs. Pattera Dilokrunghthirapop	DBSV Vickers Securities (Thailand) Co., Ltd.	Chairperson
2.	คุณบุญพร บริบูรณ์สังศิลป์	บล. เมย์แบงก์ กิมเอ็ง (ประเทศไทย) จก. (มหาชน)	กรรมการ
	Mrs. Boonporn Boriboonsongsil	Maybank Kim Eng Securities (Thailand) PCL.	Director
3.	คุณบรรณรงค์ พิษญากร	บล. บัวหลวง จก. (มหาชน)	กรรมการ
	Mr. Bannarong Pichyakorn	Bualuang Securities PCL.	Director
4.	คุณชาญศักดิ์ ธนเตชา	บล. เคเคเทรด จก.	กรรมการ
	Mr. Charnsak Thanataecha	KKTRADE Securities Co., Ltd.	Director
5.	รศ.ดร. เอกชัย นิตยาเกษตรวัฒน์	สถาบันบัณฑิตพัฒนบริหารศาสตร์	กรรมการ
	Assoc.Prof.Dr.Aekkachai Nittayakasetwat	National Institute of Development Administration	Director
6.	อ.ดร. รัชชัย สีลาเจริญ	จุฬาลงกรณ์ มหาวิทยาลัย	กรรมการ
	Dr. Ruttachai Seelajaroen	Chulalongkorn University	Director
7.	คุณญาณศักดิ์ มโนมัยพิบูลย์	สมาคมบริษัทหลักทรัพย์ไทย	กรรมการ
	Mr. Yarnsak Manomaiphiboon	Association of Thai Securities Companies	Director
8.	คุณสาธิต วรรณศิลป์	สมาคมบริษัทหลักทรัพย์ไทย	กรรมการ และ เลขานุการ
	Mr. Satit Wannasilpin	Association of Thai Securities Companies	Director/Secretary

## คณะทำงานเฉพาะกิจ สมาคมบริษัทหลักทรัพย์ไทย

## Working Group

1.	คณะทำงานเพื่อศึกษาถึงผลกระทบของ FATCA
	FATCA Working Group
2.	คณะทำงานพัฒนาระบบ ThaiDR
	ThaiDR Working Group
3.	คณะทำงานเกี่ยวกับธุรกรรม E-Business
	E-Business Working Group
4.	คณะทำงาน Wealth Management Model
	Wealth Management Business Model Working Group
5.	คณะทำงานธุรกรรมด้านตราสารหนี้
	Bond Working Group
6.	คณะทำงานเพื่อศึกษาปัญหาและอุปสรรคเกี่ยวกับธุรกรรม SBL
	SBL Working Group
7.	คณะทำงาน Back Office Reengineering
	Back Office Reengineering Working Group
8.	คณะอนุกรรมการกองทุนเพื่อพัฒนาผู้ลงทุน
	Investor Development Fund Committee



# รายนามบริษัทสมาชิกชมรม

## Directory of Member Companies



# ราชานามบริษัทสมาชิกสมาคม Directory of Member Companies

NO.	บริษัท	Companies	ชมรม IB	ชมรม CC	ชมรม IT	ชมรม FI	ชมรม BOO	ชมรม HR
			IB Club	CC Club	IT Club	FI Club	BOO Club	HR Club
1	บล. กรุงศรี จก. (มหาชน)	Ayudhya Securities Public Company Limited	◆	◆	◆	◆	◆	◆
2	บล. กสิกรไทย จก. (มหาชน)	Kasikorn Securities Public Company Limited	◆	◆	◆	◆	◆	◆
3	บล. โกลเบล็ก จก.	Globlex Securities Company Limited	◆	◆	◆	◆	◆	◆
4	บล. คันทรี กรุ๊ป จก. (มหาชน)	Country Group Securities Public Company Limited	◆	◆	◆	◆	◆	◆
5	บล. เคเคเทรด จก.	KKTRADE Securities Company Limited		◆	◆	◆	◆	◆
6	บล. เคจีไอ (ประเทศไทย) จก. (มหาชน)	KGI Securities (Thailand) Public Company Limited	◆	◆	◆	◆	◆	◆
7	บล. เคที ซีมิโก้ จก.	KT ZMICO Securities Company Limited	◆	◆	◆	◆	◆	◆
8	บล. เคทีบี (ประเทศไทย) จก.	KTB Securities (Thailand) Company Limited	◆	◆	◆	◆	◆	◆
9	บล. เครดิต สวิส (ประเทศไทย) จก.	Credit Suisse Securities (Thailand) Limited		◆	◆	◆	◆	
10	บล. เจพีมอร์แกน (ประเทศไทย) จก.	JPMorgan Securities (Thailand) Limited	◆	◆	◆	◆	◆	
11	บล. ซิตี้คอร์ป (ประเทศไทย) จก.	Citicorp Securities (Thailand) Limited	◆	◆				
12	บล. ซีมิโก้ จก. (มหาชน)	Seamico Securities Public Company Limited	◆					
13	บล. ซี แอล เอส เอ (ประเทศไทย) จก.	CLSA Securities (Thailand) Limited		◆		◆	◆	◆
14	บล. ซีไอเอ็มบี (ประเทศไทย) จก.	CIMB Securities (Thailand) Company Limited	◆	◆	◆	◆	◆	◆
15	บล. ดีบีเอส วิกเคอร์ส (ประเทศไทย) จก.	DBS Vickers Securities (Thailand) Company Limited	◆	◆	◆	◆	◆	◆
16	บล. ทรินิตี้ จก.	Trinity Securities Company Limited	◆	◆	◆	◆	◆	◆
17	บล. ทีเอสโก จก.	TISCO Securities Company Limited	◆	◆	◆	◆	◆	◆
18	บล. ไทยพาณิชย์ จก.	SCB Securities Company Limited		◆	◆	◆	◆	◆
19	บล. ธนชาต จก. (มหาชน)	Thanachart Securities Public Company Limited	◆	◆	◆	◆	◆	◆
20	บล. โนมูระ พัฒนสิน จก. (มหาชน)	Capital Nomura Securities Public Company Limited	◆	◆	◆	◆	◆	◆
21	บล. บัวหลวง จก. (มหาชน)	Bualuang Securities Public Company Limited	◆	◆	◆	◆	◆	◆
22	บล. บาร์เคลย์ แคปิตอล (ประเทศไทย) จก.	Barclays Capital Securities (Thailand) Limited	◆	◆				
23	บล. เพ็ญศรีหลักทรัพย์ จก. (มหาชน)	TSFC Securities Public Company Limited		◆	◆			◆
24	บล. ฟินันซ่า จก.	Finansa Securities Limited	◆					
25	บล. ฟินันเซีย ไชรัส จก. (มหาชน)	Finansia Syrus Securities Public Company Limited	◆	◆	◆	◆	◆	◆
26	บล. ฟิลลิป (ประเทศไทย) จก. (มหาชน)	Phillip Securities (Thailand) Public Company Limited	◆	◆	◆	◆	◆	◆
27	บล. ภัทร จก. (มหาชน)	Phatra Securities Public Company Limited	◆	◆	◆	◆	◆	◆
28	บล. เมย์แบงก์กิมเอ็ง (ประเทศไทย) จก. (มหาชน)	Maybank Kim Eng Securities (Thailand) Public Company Limited	◆	◆	◆	◆	◆	◆
29	บล. เมอร์ชันทน์ พาร์ทเนอร์ จก. (มหาชน)	Merchant Partners Securities Public Company Limited	◆	◆		◆	◆	◆
30	บล. แมคควอรี (ประเทศไทย) จก.	Macquarie Securities (Thailand) Limited	◆	◆	◆	◆	◆	
31	บล. ยูบีเอส (ประเทศไทย) จก.	UBS Securities (Thailand) Limited	◆	◆	◆	◆	◆	
32	บล. ยูเอสบี เคย์เฮียน (ประเทศไทย) จก. (มหาชน)	UOB Kay Hian Securities (Thailand) Public Company Limited	◆	◆	◆	◆	◆	◆
33	บล. แอปเพิล เวลธ์ จก.	Apple Wealth Securities Company Limited				◆		
34	บล. อาร์เอชบี โอเอสเค (ประเทศไทย) จก. (มหาชน)	RHB OSK Securities (Thailand) Public Company Limited	◆	◆	◆	◆	◆	◆
35	บล. เอเชีย เวลธ์ จก.	Asia Wealth Securities Company Limited				◆		◆
36	บล. เอเชีย พลัส จก. (มหาชน)	Asia Plus Securities Public Company Limited	◆	◆	◆	◆	◆	◆
37	บล. เออีซี จำกัด (มหาชน)	AEC Securities Public Company Limited	◆	◆		◆		
38	บล. ไอรา จก. (มหาชน)	AIRA Securities Public Company Limited	◆	◆	◆	◆	◆	◆
39	บล. ไอวี โกลบอล จก. (มหาชน)	I V Global Securities Public Company Limited	◆	◆	◆	◆	◆	



## รายนามบริษัทสมาชิกชมรม Directory of Member Companies

NO.	บริษัทตัวแทนสัญญาซื้อขายล่วงหน้า TFXE Full License Members	ชมรม IB	ชมรม CC	ชมรม IT	ชมรม FI	ชมรม BOO	ชมรม HR
		IB Club	CC Club	IT Club	FI Club	BOO Club	HR Club
1	บ. คลาสสิก โกลด์ ฟิวเจอร์ส จก.		◆	◆	◆	◆	
2	บ. จีที เวลธ์ แมเนจเม้นท์ จก.		◆		◆		
3	บ. วายแอลจี บุลเลียน แอนด์ ฟิวเจอร์ส จก.		◆		◆		
4	บ. ออสสิริส ฟิวเจอร์ส จก.		◆		◆		◆
5	บ. เอ็มทีเอส โกลด์ ฟิวเจอร์ จก.		◆		◆		
6	บ. ฮัวเซ่งเฮง โกลด์ ฟิวเจอร์ส จก.		◆	◆	◆		◆
7	บ. ยูโอบี บุลเลียน แอนด์ ฟิวเจอร์ (ไทย) จก.				◆		
NO.	ธนาคารพาณิชย์ Banks	ชมรม IB	ชมรม CC	ชมรม IT	ชมรม FI	ชมรม BOO	ชมรม HR
		IB Club	CC Club	IT Club	FI Club	BOO Club	HR Club
1	ธ. กรุงเทพ จก. (มหาชน)	◆	◆				
2	ธ. กรุงไทย จก. (มหาชน)	◆	◆				
3	ธ. กรุงศรีอยุธยา จก. (มหาชน)	◆	◆				
4	ธ. กสิกรไทย จก. (มหาชน)	◆	◆				
5	ธ. ซีไอเอ็มบี (ไทย) จก. (มหาชน)	◆	◆				
6	ธ. ดอยซ์แบงก์ เอจี สาขากรุงเทพฯ	◆	◆				
7	ธ. ทหารไทย จก. (มหาชน)	◆	◆				
8	ธ. ทีสโก้ จก. (มหาชน)	◆					
9	ธ. ไทยพาณิชย์ จก. (มหาชน)	◆	◆				
10	ธ. เพื่อการส่งออกและนำเข้าแห่งประเทศไทย	◆					
11	ธ. ธนชาต จก. (มหาชน)		◆				
12	ธ. แลนด์ แอนด์ เฮาส์ จก. (มหาชน)		◆				
13	ธ. ยูโอบี จก. (มหาชน)	◆					
14	ธ. ฮ่องกงและเซี่ยงไฮ้แบงกิงคอร์ปอเรชั่น จก.	◆					

# ราชานามบริษัทสมาชิกชมรม Directory of Member Companies

NO.	หน่วยงานอื่นๆ	Other Companies	ชมรม IB	ชมรม CC	ชมรม IT	ชมรม FI	ชมรม BOO	ชมรม HR
			IB Club	CC Club	IT Club	FI Club	BOO Club	HR Club
1	ตลาดหลักทรัพย์แห่งประเทศไทย	The Stock Exchange of Thailand						◆
2	บ. กรุงไทย แอดไวส์เซอร์ จก.	KTB Advisory Company Limited	◆					
3	บ. แกรนท์ ธอนตัน เซอร์วิส เซส จก.	Grant Thornton Services Limited	◆					
4	บ. เคพีเอ็มจี ภูมิไชย ที่ปรึกษาธุรกิจ จก.	KPMG Phoomchai Business Advisory Limited	◆					
5	บ. แคปปิตอล พลัส แอดไวเซอร์ จก.	Capital Plus Advisory Company Limited	◆					
6	บ. แคปปิตอล ลิงค์ แอดไวเซอร์ จก.	Capital Link Advisory Company Limited	◆					
7	บ. แคปปิตอล แอดวานเทจ จก.	Capital Advantage Company Limited	◆					
8	บ. เจดี พาร์ทเนอร์ จก.	Jaydee Partners Limited	◆					
9	บ. เจวีเอส ที่ปรึกษาการเงิน จก.	JVS Financial Advisory Company Limited	◆					
10	บ. เซจแคปปิตอล จก.	Sage Capital Limited	◆					
11	บ. ดีลอยท์ ทัช โหมทสุ ไชยศ ที่ปรึกษา จก.	Deloitte Touche Tohmatsu Jaiyos Advisory Company Limited	◆					
12	บ. ดีเอส พรูเดนเชียล แมนเนจเม้นท์ จก.	DS Prudential Mangement Company Limited	◆					
13	บ. เดอะควอนท์ กรุ๊ป จก.	The Quant Group Company Limited	◆					
14	บ. ทริปเปิ้ล เอ พลัส แอดไวเซอร์ จก.	Triple A Plub Advisory Company Limited	◆					
15	บ. ทรินิตี้ แอดไวเซอร์ 2001 จก.	Trinity Advisory 2001 Company Limited	◆					
16	บ. ที่ปรึกษา เอเชีย พลัส จก.	Asia Plub Advisory Company Limited	◆					
17	บ. ไทยสเตรทิจิค แคปปิตอล จก.	Thai Strategic Capital Company Limited	◆					
18	บ. บางกอก ซิตี้ แอดไวเซอร์ จก.	Bangkok City Advisory Company Limited	◆					
19	บ. เบเคอร์ ทิลลี่ คอร์ปอเรท แอดไวเซอร์ เซอร์วิส (ประเทศไทย) จก.	Baker Tilly Corporate Advisory Services (Thailand) Limited	◆					
20	บ. เพลินจิต แคปปิตอล จก.	Ploenchit Capital Limited	◆					
21	บ. ไพร์วอเตอร์เฮาส์คูเปอร์ส เอฟเอเอส จก.	PricewaterhouseCoopers FAS Limited	◆					
22	บ. ฟินเน็กซ์ แอดไวเซอร์ จก.	Finnex Advisory Company Limited	◆					
23	บ. เวลท์ พลัส แอดไวเซอร์ จก.	Wealth Plus Advisory Company Limited	◆					
24	บ. สิลม แอดไวเซอร์ จก.	Silom Advisory Company Limited	◆					
25	บ. อวานการ์ด แคปปิตอล จก.	Avantgarde Capital Company Limited	◆					
26	บ. ออพท์เอเชีย แคปปิตอล จก.	OptAsia Capital Company Limited	◆					
27	บ. เอแคป คอร์ปอเรท เซอร์วิส เซส จก.	Acap Corporate Services Company Limited	◆					
28	บ. เอสซีเอ็มบี จก.	SCMB Company Limited	◆					
29	บ. เอ็นส์ท แอนด์ ยัง คอร์ปอเรท เซอร์วิส เซส จก.	Ernst & Young Corporate Services Limited	◆					
30	บ. แอดไวเซอร์ พลัส จก.	Advisory Plus Company Limited	◆					
31	บ. แอ็บโซลูท แอดไวเซอร์ จก.	Absolute Advisory Company Limited	◆					
32	บ. แอสเซท โปร แมนเนจเม้นท์ จก.	Asset Pro Management Company Limited	◆					
33	บ. ไอรา แอดไวเซอร์ จก.	AIRA Advisory Company Limited	◆					
			76	51	32	40	32	31









**สมาคมบริษัทหลักทรัพย์ไทย**

**ASSOCIATION OF THAI SECURITIES COMPANIES**

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