



Thailand's SEC Anti-Financial Crime Framework

The Securities and Exchange Commission's (SEC) new anti-financial crime framework marks a significant shift in Thailand's capital market regulation. Effective from 16 August 2026, the measures require brokers, asset managers, and other intermediaries to strengthen customer due diligence (CDD), transaction monitoring, and beneficial ownership verification.

The framework reflects a risk-based approach aligned with international anti-money laundering (AML) standards and positions market intermediaries as key gatekeepers in preventing illicit financial activity. Firms are expected to strengthen onboarding procedures, identify ultimate beneficial owners (UBOs), verify funding sources, and monitor transactions that may be inconsistent with customers' risk profiles. In addition, stricter traceability requirements are expected to increase compliance obligations while reducing the use of mule accounts and suspicious fund transfers.

Failure to implement adequate controls may expose firms to regulatory sanctions and reputational risks. Accordingly, capital market operators should review and update their AML and Counter Financing of Terrorism (CFT) policies, internal controls, and reporting procedures before the new rules take effect.

Overall, although the measures may increase compliance costs, they are expected to strengthen market transparency, investor confidence, and the integrity of Thailand's capital markets in the long term.

Should you have any question, please do not hesitate to contact us via info@bgloballaw.com

