

Checklist: Litigation or major disputes

When the fund/trust (the “Fund”) is involved in material litigation or disputes, such as where the claim value exceeds 5% of the Fund’s net asset value, based on the latest consolidated financial statements disclosed through the Stock Exchange’s information disclosure system (or the separate financial statements, if consolidated financial statements are not available), or where the case materially affects the Fund’s business operations, the Fund is required to immediately disclose such information to the Stock Exchange of Thailand (SET). The Fund must also report the progress of such litigation or dispute until the case has been finalized.

● **Information to be disclosed**

	Check (✓)
1. The date of the fund files the legal lawsuit or the fund has been sued	
2. Information of counterparty (If the counterparty is a juristic person specify the ultimate shareholder)	
3. Summary of key issue of the litigation or disputes (e.g., the date of the incident, the cause of the dispute, and the damages claimed or being claimed against the Fund)	
4. Actions taken to manage the dispute and key milestones in the Fund’s next steps (e.g., investigation of the alleged facts, negotiations with the counterparty, litigation or appeal proceedings, court hearings, or the scheduled date for the court’s judgment)	
5. Possible impact <ul style="list-style-type: none">• Impact on Fund’s operation• Estimate the damages or compensation that the Fund may be required to pay or may receive if the case is lost or won (e.g., claim amount and litigation provisions)	
6. Statement indicating that the Fund will report updates to the Stock Exchange of Thailand (SET) when there is progress in the dispute	

● **Template for Disclosure to the Stock Exchange of Thailand (SET)**

Example Headline	Template
Notification of the Fund’s Dispute	Other
Progress Report on the Fund’s Dispute	Other

Reference

Regulations of the Stock Exchange of Thailand Re: Listing, Disclosure of Information and Delisting of Investment Trust Units B.E. 2558 (2015)

Regulations of the Stock Exchange of Thailand Re: Disclosure of Information and Other Acts of a Property Fund B.E. 2561 (2018)

Regulations of the Stock Exchange of Thailand Re: Listing and Delisting of Investment Units and Disclosure of Information of Infrastructure Fund, 2011