

Unofficial Translation

Readers should be aware that only the original Thai text has legal force, and that this English translation is strictly for reference.

Notification of the Office of the Securities and Exchange Commission

No. Sor Thor. 33/2567

Re: Rules in Detail on Establishment of Information Technology Systems

(No. 2)

By virtue of Clause 3(1) of the *Notification of the Securities and Exchange Commission No. Kor Jor. 16/2561 Re: Rules, Conditions and Procedures for Approval of ICO Portals*, dated 3 July 2018 in conjunction with Clause 6(7) (d) (f) and (g) of the *Notification of the Securities and Exchange Commission No. Kor Jor. 16/2561 Re: Rules, Conditions and Procedures for Approval of ICO Portals*, dated 3 July 2018, as amended by the *Notification of the Securities and Exchange Commission No. Kor Jor. 7/2563 Re: Rules, Conditions and Procedures for Approval of ICO Portals (No. 4)*, dated 24 March 2020, Clause 3(1) in conjunction with Clause 11, Clause 17, Clause 18 and Clause 19 of the *Notification of the Securities and Exchange Commission No. Kor Thor. 19/2561 Re: Rules, Conditions and Procedures for Undertaking Digital Asset Businesses*, dated 3 July 2018, and Clause 9 (4) (7) and (8) of the *Notification of the Securities and Exchange Commission No. Kor Thor. 19/2561 Re: Rules, Conditions and Procedures for Undertaking Digital Asset Businesses*, dated 3 July 2018, as amended by the *Notification of the Securities and Exchange Commission No. Kor Thor. 23/2567 Re: Rules, Conditions, and Procedures for Undertaking Digital Asset Businesses (No. 24)*, dated 8 August 2024, Clause 5(1) in conjunction with Paragraph 1 (6), (11) and (12) of Clause 12 and Clause 14 of the *Notification of the Capital Market Supervisory Board No. Tor Thor. 35/2556 Re: Standard Conduct of Business, Management Arrangement, Operating Systems, and Providing Services to Clients of Securities Companies and Derivatives Intermediaries*, dated 6 September 2013, Clause 4(1) in conjunction with Clause 26 and Clause 32 of the *Notification of the Capital Market Supervisory Board No. Tor Thor. 30/2559 Re: Rules on Operating Derivatives Exchange*, dated 3 August 2016, Clause 5(1) in conjunction with Clause 21, Paragraph 1 of Clause 27, Clause 37 and Clause 43 of the *Notification of the Capital Market Supervisory Board No. Tor Thor. 31/2559 Re: Rules on Operating Derivatives Clearing House*, dated 3 August 2016, Clause 5(1) in conjunction with Clause 11, Paragraph 1 of Clause 17, and Clause 33 of the *Notification of the Capital Market Supervisory Board No.*

Tor Thor. 32/2559 Re: Rules, Conditions and Procedures for Operating Derivatives Clearing House and Securities Depository, dated 3 August 2016, and Clause 5(1) in conjunction with Clause 31(1) and Paragraph 1 (d) of (4) of the *Notification of the Capital Market Supervisory Board No. Tor Jor. 21/2562 Re: Rules on Offering for Sale of Securities through Crowdfunding*, dated 12 April 2019, and Clause 31(4/1) of the *Notification of the Capital Market Supervisory Board No. Tor Jor. 21/2562 Re: Rules on Offering for Sale of Securities through Crowdfunding*, dated 12 April 2019, as amended by the *Notification of the Capital Market Supervisory Board No. Tor Jor. 14/2563 Re: Rules on Offering for Sale of Securities through Crowdfunding (No. 2)*, dated 28 February 2020, the Office of the Securities and Exchange Commission hereby issues the following regulations:

Clause 1 The provision under sub-clause (d) of (1) in the definition of “business operator” under Clause 2 of the Notification of the Office of the Securities and Exchange Commission No. Sor Thor. 38/2565 Re: Rules in Detail on Establishment of Information Technology Systems, dated 28 September 2022, shall be repealed and replaced by the following provision:

“(d) investment advisory utilizing technology for communication or service delivery to clients”

Clause 2 The provision under sub-clause (j) of (1) in the definition of “business operator” under Clause 2 of the Notification of the Office of the Securities and Exchange Commission No. Sor Thor. 38/2565 Re: Rules in Detail on Establishment of Information Technology Systems, dated 28 September 2022, shall be repealed and replaced by the following provision:

“(j) derivatives advisory utilizing technology for communication or service delivery to clients”

Clause 3 The definition of “technology for communication or service delivery to clients” shall be added between the definitions of “business operator” and “information technology” under Clause 2 of the Notification of the Office of the Securities and Exchange Commission No. Sor Thor. 38/2565 Re: Rules in Detail on Establishment of Information Technology Systems, dated 28 September 2022.

“Technology for communication or service delivery to clients” means technology or computer systems used for any of the following purposes:

- (1) communicating with clients;
- (2) preparing or delivering services or product information to clients; or
- (3) processing, analyzing, generating outputs or advice for clients to support their investment decision-making.

Clause 4 Paragraph 1 of Clause 4 of the Notification of the Office of the Securities and Exchange Commission No. Sor Thor. 38/2565 Re: Rules in Detail on Establishment of Information Technology Systems, dated 28 September 2022, shall be repealed and replaced by the following provision:

“In the interest of complying with the regulations specified in this Notification, a business operator shall conduct an assessment of information technology systems’ impact on the business operation of the business operator according to the RLA (Risk Level Assessment) form, and submit the results of such assessment to the SEC Office within the first quarter of each year according to the form and procedures specified on the website of the SEC Office.”

Clause 5 *Appendix 1: Vocabulary* attached to the Notification of the Office of the Securities and Exchange Commission No. Sor Thor. 38/2565 Re: Rules in Detail on Establishment of Information Technology Systems, dated 28 September 2022, shall be repealed and replaced by Appendix 1: Vocabulary attached to this Notification.

Clause 6 *Appendix 2: Information Technology Governance* attached to the Notification of the Office of the Securities and Exchange Commission No. Sor Thor. 38/2565 Re: Rules in Detail on Establishment of Information Technology Systems, dated 28 September 2022, shall be repealed and replaced by *Appendix 2: Information Technology Governance* attached to this Notification.

Clause 7 *Appendix 3: Information Technology Security* attached to the Notification of the Office of the Securities and Exchange Commission No. Sor Thor. 38/2565 Re: Rules in Detail on Establishment of Information Technology Systems, dated 28

September 2022, shall be repealed and replaced by *Appendix 3: Information Technology Security* attached to this Notification.

Clause 8 *Appendix 4: Information Technology Audit* attached to the Notification of the Office of the Securities and Exchange Commission No. Sor Thor. 38/2565 Re: Rules in Detail on Establishment of Information Technology Systems, dated 28 September 2022, shall be repealed and replaced by *Appendix 4: Information Technology Audit* attached to this Notification.

Clause 9 This Notification shall come into force on 1 January 2025.

Notified this 21st day of November 2024.

(Mrs. Pornanong Budsaratragoon)

Secretary-General

Office of the Securities and Exchange Commission