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Notification of the Office of the Securities and Exchange Commission
No. SorThor/Nor. 12/2551
Re: Rules for Establishment of Risk Management System
for Business Continuity
of Derivatives Business Operators

By virtue of:

(1) The first paragraph of Clause 7 of the Notification of the Securities and Exchange Commission No. KorThor. 65/2547 Re: Rules for Undertaking Derivatives Business for Licensed Derivatives Broker dated 22 December 2004 and Clause 28/1 of the Notification of the Securities and Exchange Commission No. KorThor. 65/2547 Re: Rules for Undertaking Derivatives Business for Licensed Derivatives Broker dated 22 December 2004 as amended by the Notification of the Securities and Exchange Commission No. KorThor. 25/2549 Re: Rules for Undertaking Derivatives Business for Licensed Derivatives Broker (No. 3) dated 25 October 2006; and

(2) Clause 2 (1) and Clause 12 of the Notification of the Securities and Exchange Commission No. KorNor. 20/2547 Re: Rules for Derivatives Fund Management dated 16 April 2004, the Office of the Securities and Exchange Commission hereby issues the following regulations:

Clause 1. In this Notification;

“derivatives business operator” means any company licensed to undertake derivatives business in the category of derivatives broker or derivatives fund manager or any company registered to undertake derivatives business in the category of derivatives fund manager.

Clause 2. The derivatives business operator shall establish a risk management system for business continuity according to the rules set forth in the Notification of the Office of the Securities and Exchange Commission No.

SorThor/Nor/Dor/Khor. 11/2551 Re: Rules, Conditions, and Procedures for Establishment of Risk Management System for Business Continuity of Securities Companies dated 28 April 2008 issued by virtue of the Securities and Exchange Act B.E. 2535 (1992).

Clause 3. This Notification shall come into force as from 1 October 2008.

Notified this 28th day of April 2008.

(Mr. Thirachai Phuvanatanarubala)

Secretary-General

The Office of the Securities and Exchange Commission