

## 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. Nor Por. 7/2565

Re: Guidelines on Establishment of Information Technology Systems

---

Whereas the *Notification of the Securities and Exchange Commission No. Kor Jor. 16/2561 Re: Rules, Conditions and Procedures for Approval of an ICO Portal Service Provider*, dated 3 July 2018, as amended, (“SEC Notification No. Kor Jor. 16/2561”), 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, (“SEC Notification No. Kor Thor. 19/2561”), 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, as amended, (“CMSB Notification No. Tor Thor. 35/2556”), the *Notification of the Capital Market Supervisory Board No. Tor Thor. 30/2559 Re: Rules for Operation of Derivatives Exchanges*, dated 3 August 2016, (“CMSB Notification No. Tor Thor. 30/2559”), the *Notification of the Capital Market Supervisory Board No. Tor Thor. 31/2559 Re: Rules for Operation of Derivatives Clearing Houses*, dated 3 August 2016, (“CMSB Notification No. Tor Thor. 31/2559”), the *Notification of the Capital Market Supervisory Board No. Tor Thor. 32/2559 Re: Rules, Conditions and Procedures for Operation of Securities Clearing Houses and Central Securities Depositories*, dated 3 August 2016, (“CMSB Notification No. Tor Thor. 32/2559”), the *Notification of the Capital Market Supervisory Board No. Tor Jor. 21/2562 Re: Offering of Securities for Sale through Crowdfunding Portals*, dated 12 April 2019, as amended, (“CMSB Notification No. Tor Jor. 21/2562”), and 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, (“*SEC Office Notification No. Sor Thor. 38/2565*”), require that business operators establish information technology governance, information technology security and information technology audit, as well as regular review of the suitability thereof;

In the interest of meeting the aforesaid requirements by the business operators, the SEC Office, by virtue of Clause 3(2) in conjunction with Clause 6(7) (d), (f) and (g) of the *SEC Notification No. Kor Jor. 16/2561*, Clause 3(2) in conjunction with Clause 9(4) and (8), Clause 11, Clause 17, Clause 18 and Clause 19 of the *SEC Notification No. Kor Jor. 19/2561*, Clause 5(3), in conjunction with Paragraph 1(6)(11) and (12) of Clause 12, and Clause 14 of the *CMSB Notification No. Tor Thor. 35/2556*, Clause 4(2) in conjunction with Clause 26 and Clause 32 of the *CMSB Notification No. Tor Thor. 30/2559*, Clause 5(2) in conjunction with Clause 21, Paragraph 1 of Clause 27, Clause 37 and Clause 43 of the *CMSB Notification No. Tor Thor. 31/2559*, Clause 5(2) in conjunction with Clause 11, Paragraph 1 of Clause 17 and Clause 33 of the *CMSB Notification No. Tor Thor. 32/2559*, and Clause 5(2) in conjunction with Clause 31(1) and Paragraph 1 (d) of (4), and (4/1) of the *CMSB Notification No. Tor Jor. 21/2562*, hereby issues the following Guidelines:

Clause 1 The *Notification of the Office of the Securities and Exchange Commission No. Nor Por. 3/2559 Re: Guidelines on Establishment of Information Technology Systems*, dated 12 September 2016, shall be repealed.

Clause 2 The Guidelines deal with the following matters:

- (1) Information Technology Governance;
- (2) Information Technology Security;
- (3) Information Technology Audit; and
- (4) Review of suitability of (1), (2) and (3).

Clause 3 The details of the Guidelines under Clause 2 are described in the Appendix attached hereto.

Clause 4 In the case that the business operators have fully complied with these Guidelines, the SEC Office shall consider that the business operators have already complied with the *SEC Notification No. Kor Jor. 16/2561*, the *SEC Notification No. Kor Jor. 19/2561*, the *CMSB Notification No. Tor Thor. 35/2556*, the *CMSB Notification No. Tor Thor. 30/2559*, the *CMSB Notification No. Tor Thor. 31/2559*, the *CMSB Notification No. Tor Thor. 32/2559*, and the *CMSB Notification No. Tor Jor. 21/2562* with respect to information technology systems, and the *SEC Office Notification No. Sor Thor. 38/2565*. In case of adopting different approaches from the Guidelines, the business operators are obligated to prove that their approaches follow the principles and comply with the requirements of the aforesaid notifications.

Clause 5 This Notification shall come into force from 1 July 2023 onwards.

Notified this 28<sup>th</sup> day of September 2022.

(Ms. Ruenvadee Suwanmongkol)

Secretary-General

Office of the Securities and Exchange Commission