

Rules and Regulations for Dealing in Derivatives

Paper 25

Thailand Securities Institute

July 2014

Document title : SD-EXAM-TSI	Paper No. : 25
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Related documents : -	

Paper : 25 Rules and Regulations for Dealing in Derivatives

Examination type: Multiple choice (4 choices)

Number of questions: 30

Duration: 45 Minutes

Passing criteria: 70%

Topics	No. of Questions
3.2 Rules and Regulations for Dealing in Derivatives	
3.2.1 Thailand Futures Exchange (TFEX) Rules and Regulations	10
3.2.2 Thailand Clearing House (TCH): Settlement and Clearing Rules	10
3.2.3 Derivatives Act and Related Laws	10
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Rules and Regulations for Dealing in Derivatives

Section 3:

Products Knowledge and Rules and Regulations for Dealing in Derivatives

3.2 Rules and Regulations for Dealing in Derivatives

1. Thailand Futures Exchange (TFEX) Rules and Regulations

Learning Objective Statement:

1. To explain the characteristics of SET 50 Index Futures;
2. To calculate multiplier, tick size and position limit;
3. To explain trading and settlement procedures for derivatives.

2. Thailand Clearing House (TCH): Settlement and Clearing Rules

Learning Objective Statement:

1. To explain the roles of TCH;
2. To explain the risk management measures of TCH, including the qualifications of TCH members, margin requirements, margin management, financial resources, and default procedures.

3. Derivatives Act and Related Laws

Learning Objective Statement:

1. To explain the scope of futures contracts according to the Derivatives Act;
2. To explain the objectives and supervision mechanisms of the Derivatives Act.

3.1 Rules for Derivatives Business Operators

Learning Objective Statement:

1. To explain the rules for various derivatives business operators;
2. To explain the types of derivatives business operators, licensing, and rules for derivatives business operators in accordance with the Derivatives Act.

3.2 Standard Practices of Derivatives Investor Contacts

Learning Objective Statement:

1. To explain standard practices of derivatives investor contacts in the derivatives business and unfair practices relevant to such contracts.

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3.3 Unfair Derivatives Trading Practices

Learning Objective Statement:

1. To explain how to prevent undesirable behavior affecting stability and reliability of capital markets, and abstain from fraudulent activities in capital markets.
