

# Rules and Regulations for Dealing in Securities (Excluding Derivatives)

## Paper 24

Thailand Securities Institute

July 2014

Document title : SD-EXAM-TSI	Paper No. : 24
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Related documents : -	

Paper 24: Rules and Regulations for Dealing in Securities (Excluding Derivatives)

Examination type: Multiple choice (4 choices)

Number of questions: 30

Duration: 45 Minutes

Passing criteria: 70%

Topics	No. of Questions
<a href="#">3.2 Rules and Regulations for Dealing in Securities (Excluding Derivatives)</a>	
3.2.1 Equity Instrument Trading Principles and Procedures	10
3.2.2 Debt Instrument Trading Principles and Procedures	10
3.2.3 Rules and Regulations Governing Mutual Fund Trading	10
	<a href="#">30</a>

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## Rules and Regulations for Dealing in Securities (Excluding Derivatives)

### Section 3

#### Products Knowledge and Rules and Regulations for Dealing in Securities (Excluding Derivatives)

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### 3.2: Rules and Regulations for Dealing in Securities (Excluding Derivatives)

#### 1. Equity Instrument Trading Principles and Procedures

##### Learning Objective Statement:

1. To explain the trading system, order matching method, and trading hours of SET
2. To explain trading methods and procedures of SET's trading system
3. To explain the types of orders and their limitations
4. To explain trading size and describe the types of SET trading boards
5. To explain the criteria for ceiling and floor limits and spread
6. To explain the methods and procedures for opening a trading account
7. To explain the types of trading accounts and their differences
8. To explain rules for margin accounts
9. To explain and calculate margins
10. To explain prohibited trading behaviors
11. To explain SET's roles and measures used in trading supervision
12. To explain the objectives and meanings of signs posted on the trading board indicating situations or conditions applicable to a particular security
13. To explain the circuit breaker mechanism
14. To explain SET's contingency plan for computer malfunctions

#### 2. Debt Instrument Trading Principles and Procedures

##### Learning Objective Statement:

1. To explain the Thai BMA system and methods for debt instrument trading
2. To explain BEX's trading procedures, including account opening, ordering, settlement, and delivery
3. To explain BEX's trading system, methods, and rules
4. To explain the symbols indicating the names of instruments traded on BEX
5. To explain the objectives and meaning of signs indicating situations or conditions applicable to particular security

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### 3. Rules and regulations governing mutual fund trading

#### Learning Objective Statement:

1. To understand and describe mutual fund investment procedures
2. To understand investment unit bid and offer prices
3. To understand the rules, conditions and limitations of investing in mutual funds issued by different regulators
4. To understand the standard measurements used for evaluating performance under different mutual fund investment policies based on Association of Asset Management Companies criteria
5. To understand the expenses related to mutual fund operations
6. To understand the rules, conditions, setup procedures and management of mutual funds

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