

**Request Form for Connection of the Company's Computer System
to the Trading System of SET / TFEX**

Date _____

To: President of The Stock Exchange of Thailand (SET) /
Managing Director of Thailand Futures Exchange (TFEX)

We, _____, (hereinafter referred to as the "Company"), Member No. _____, would like to apply for permission to connect the Company's computer system to the trading system of the Stock Exchange of Thailand or Thailand Futures Exchange, with the following details:

Exchange	<input type="checkbox"/> The Stock Exchange of Thailand (SET) or <input type="checkbox"/> Thailand Futures Exchange (TFEX)
Change or Modification to the Company's system	<input type="checkbox"/> Apply for the first time to use the system (New Platform) <input type="checkbox"/> Change the independent software vendor (ISV) or service provider <input type="checkbox"/> Change the software technology used in trading system <input type="checkbox"/> Change the functional specification of trading system <input type="checkbox"/> Change the network architecture of the Company's computer systems used in trading system <input type="checkbox"/> Change the installation site of a server of the Company's computer system used in trading system <input type="checkbox"/> Others (please specify): _____
Application submit date:	_____
Tentative implementation date:	_____
Purpose of use	<input type="checkbox"/> Front Office for authorized traders <input type="checkbox"/> Internet trading <input type="checkbox"/> Direct market access (DMA) <input type="checkbox"/> Program trading / Algorithmic Trading <input type="checkbox"/> Market maker <input type="checkbox"/> Others (please specify): _____
Protocol	<input type="checkbox"/> EMAPI <input type="checkbox"/> FIX
System Information	Name of system: _____ Version: _____ Name of ISV: _____ System Installation Site: _____ In case of requesting for implementation on the current system, please specify the acting user of the member (such as 0099_CU1 for SET or D0099_CU1 for TFEX): _____ which is developed by the independent software vendor named: _____

Compliance to SET's regulations [SET only]	<input type="checkbox"/> For the purpose of supervising, the company has minimum controls as follows: 1. Verification all orders before submitting into the trading system as follows: 1.1 Credit / Exposure limit 1.2 Maximum Value Per Order 1.3 Maximum Volume Per Order 1.5 Order Price Check 1.5 Price band control (Ceiling and Floor) (By putting in place the risk management system, the member must have authority to full control and also manage in the mentioned system.) 2. Having the system or any functionality which disables the new trading orders and also promptly cancelled the exiting orders in some trading circumstance (Kill Switch) 3. Putting in place the risk management or any system in order to screen trading orders before submitting to the trading system. This preventive management is generated to comply with the SET /TFEX rules and regulations such as; 3.1 Prevention of self-matching order (Wash Sale) 3.2 Prevention of selling securities without having the possession in that securities (Naked Short Selling) * For 1-3 Details as attached with MO-Compliance1 4. Having the procedure to acknowledge customers of the company to not using Program Trading / Algorithmic Trading without the approval from SET.	
Security	<input type="checkbox"/> Such application <u>affects</u> the system's security **Members need to submit Form MO-SECURITY1	<input type="checkbox"/> Such application <u>does not</u> <u>affect</u> the system's security

We also provide the information for consideration as follows:

	Details	Attachment to the application	Remarks
Required Documents for all cases of connections			
1.	Hardware and Software Description	<input type="checkbox"/>	_____
2.	System and Network Diagram	<input type="checkbox"/>	_____
3.	Software specification (system process flow, functional specification of the system, and program description).	<input type="checkbox"/>	_____
4.	System security assessment form (Form MO-SECURITY1).	<input type="checkbox"/>	_____
5.	System manual	<input type="checkbox"/>	_____
6.	Test cases, test scripts, test results and responsible testers.	<input type="checkbox"/>	_____
7.	Certificate of Software in the Company's computer system by the Independent Software Vendor/Service Provider (Form MO-ISV1)	<input type="checkbox"/>	_____
8.	Direct Market Access (DMA) request form. (Form MO-DMA1) *only in case of requesting for DMA.	<input type="checkbox"/>	_____

	Details	Attachment to the application	Remarks
9.	Program trading/ Algorithmic Trading request form (FORM MO-PROG1/ALGO1) *only in case of requesting for program trading / algorithmic trading form	<input type="checkbox"/>	_____
10.	Qualification certificate of the independent software vendor or service provider of the Company (For first time application of ISV)	<input type="checkbox"/>	_____
11	Details of trading supervision through member system (Form MO-Compliance1) *This form is not required for changing network architecture, network equipment, server location and hardware specification.	<input type="checkbox"/>	_____

We hereby certify that the Company's computer system, which is connected with the trading system of the Stock Exchange of Thailand (SET) and Thailand Futures Exchange (TFEX), operates with no conflict with, and complies with, the Rule and Regulations of SET or TFEX, and will not cause any damage to the trading system of SET or TFEX. The Company is willing to deliver any information relating to trading transactions of the Company and the customers, or other documents as may be required by SET or TFEX. If this application becomes inaccurate, and/or the connection of the computer system incurs any damage to SET or TFEX, the Company agrees to be responsible for all such damage incurred to SET or TFEX.

 (_____)
 Title _____
 Authorized Person
 Company's stamp

 (_____)
 Title _____
 Authorized Person

Contact Person: _____
 Department/Unit: _____
 Telephone Number: _____
 E-mail: _____