## 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
- [ ] The Stock Exchange of Thailand (SET) or
- [ ] Thailand Futures Exchange (TFEX)

### Change or Modification to the Company’s system
- [ ] Apply for the first time to use the system (New Platform)
- [ ] Change the independent software vendor (ISV) or service provider
- [ ] Change the software technology used in trading system
- [ ] Change the functional specification of trading system
- [ ] Change the network architecture of the Company’s computer systems used in trading system
- [ ] Change the installation site of a server of the Company’s computer system used in trading system
- [ ] Others (please specify):_________________________________________________

### Application submit date:
________________________________

### Tentative implementation date:
________________________________

### Purpose of use
- [ ] Main trading system
- [ ] Internet trading
- [ ] Direct market access (DMA)
- [ ] Program trading
- [ ] Market maker
- [ ] Others (please specify):

### Protocol
- [ ] EMAPI
- [ ] FIX

### System Information
- Name of system:___________________________________________________
- Version:_______________________________________________________
- Name of ISV:__________________________________________
- System Installation Site:______________________________________

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Securities Trading Operations Department / Email: SecuritiesTradingOperationsDepartment@set.or.th

Derivatives Trading Operations Department / Email: DerivativesTradingOperationsDepartment@set.or.th

6 July 2017
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: ___________________

Security  ❑ Such application affects the system's security  ❑ Such application does not affect the system's security

**Members need to submit Form MO-SECURITY1**

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We also provide the information for consideration as follows:

<table>
<thead>
<tr>
<th>Details</th>
<th>Attachment to the application</th>
<th>Remarks</th>
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<tbody>
<tr>
<td><strong>Required Documents for all cases of connections</strong></td>
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<tr>
<td>1. Hardware specifications of PCs and servers, computer software (e.g. operating system, database, etc), System architecture, and the installation site of such equipment, including the main site, backup site, branch, DMA, or others.</td>
<td>☐</td>
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<tr>
<td>2. Details of the network infrastructure of the Company's trading system, the network connections between the head office, branches, DMA, and internal network infrastructure of all the computer equipment used in the trading system.</td>
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<td>3. Software specification (system process flow, functional specification of the system, and program description).</td>
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<td>4. System security assessment form (Form MO-SECURITY1).</td>
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<td>5. System manual</td>
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<td>6. Test cases, test scripts, test results and responsible testers.</td>
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<tr>
<td>7. Certificate of Software in the Company’s computer system by the Independent Software Vendor/Service Provider (Form MO-ISV1)</td>
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<td>8. Direct Market Access (DMA) request form. (Form MO-DMA1) *only in case of requesting for DMA.</td>
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<td>9. Program trading request form (FORM MO-PROG1) *only in case of requesting for program trading</td>
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<td>10. Qualification certificate of the independent software vendor or service provider of the Company (For first time application of ISV)</td>
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<td>11. Details of DMA clients form. (Form MO-DMA Client) *only in case of requesting for DMA</td>
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<td>Details</td>
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<td>12</td>
<td>Details of DMA Pre-trade Risk Management (Form MO-DMA RM) *only in case of requesting for DMA</td>
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</table>

We hereby certify that the Company’s computer system, which is connected with the trading system, 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: __________________________