

Details of pre-trade risk management controls
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We, _____, (hereinafter referred to as the "Company"), Member No. _____, would like to inform that the company has the pre-trade risk management controls to verify all orders before submitting into the trading system. The details are as follows:

- Having credit limit control
- Having maximum order volume per order and maximum order value per order control
- Having price limit control within ceiling and floor price
- Putting in place any mechanism in order to monitoring or protect the self-matched transaction (Wash Sale)

(Wash sale transaction refers to placing bid and offer at the price and volume, which getting matched or likely to be matched with the whole or in significant part by the same client or the same client group and also the end beneficiary of these accounts is the same person.

Please clarify the company's procedure, monitoring practice for monitoring or protecting wash sale transactions and also provide any company's measurement when the wash sale transactions were detected.)

Detail : _____

- Having mechanism to prevent selling securities whereby the member or customer does not have such securities in its possession or whereby no person has authorized the sale of such securities. Prevent sale of securities without securities possession (Short selling)

(Describe of work system or method which companies applied in order to prevent Naked short selling transactions including with explanation of supervising and inspecting method and procedure measure of companies if found that actions in violations of such rule).

Detail : _____

- Having a mechanism to ensure that the short selling price is higher than the last trading price (plus tick). (Describe of work system or method which companies applied in order to ensure that all short selling transaction comply with the SET's rule strictly.)

Detail : _____

- Other : _____

