

**Direct Market Access (DMA) Request Form**

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 inform our DMA customers' connection for the following purposes:

- Connection of DMA system
- Amendment of DMA system which was already approved by SET or TFEX
- Amendment of DMA customers
- Termination of DMA's system service
- Other (please specify): \_\_\_\_\_

Section 1: Information on the Company's customers

No.	Customer Name	Customer Type*	Account No.	Customer detail	Customers' Application Software		
					Application name	ISV/Developer	Server location

\*For example: Customer, Foreign, Principal, or Institution.

The Company hereby certifies that the above-mentioned customers meet all of the qualifications required by SET's and/or TFEX's rules with respect of trading of securities and/or derivatives (as the case may be).

Section 2: The Company's Supervision measures to control DMA trading (please mark ✓ in )

- Some automatic order checking system that the company can configure parameters as follows:  
(Only for Equity Market submit DMA details in MO-DMA RM Form)
1. Credit / Exposure limit
  2. Maximum value per order
  3. Maximum volume per order
  4. Order price check (ex. % of last traded price)
  5. Others (if any)

**FORM : MO-DMA1**

- A kill switch function which can stop all processes and auto-cancel the unmatched order that the company authorizes to use. (Only for Equity Market submit DMA details in MO-DMA RM Form)
- End-of-Day Surveillance System
- Monitoring of DMA trading by company staff
- Having internal procedures to ensure that clients meet SET's criteria
- Contract or agreement of the Company and the DMA customer
- Notifying customer regarding DMA trading rules, and the prohibition of inappropriate order entry , of which the customer has acknowledged and agreed to comply with
- System log that available upon the request of SET or TFEX
- Having procedures to review the Pre-trade risk management including parameter at least once a year
- Other (please specify): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

The Company hereby warrants that the information provided in this Application is accurate and complete. In case the Company's warranty is untrue or incorrect, or the Company's connection to the DMA system causes any damage to SET and/or TFEX, the Company agrees to be responsible for any damage incurred to SET and/or TFEX. In addition, the Company agrees that SET and/or TFEX may terminate or suspend the Company's connection to the DMA system, or request the Company to suspend the trading services provided for its customers through the DMA system as SET and/or TFEX deems appropriate.

\_\_\_\_\_  
( \_\_\_\_\_ )

Title \_\_\_\_\_

Authorized Person

Company's stamp

\_\_\_\_\_  
( \_\_\_\_\_ )

Title \_\_\_\_\_

Authorized Person

Contact: \_\_\_\_\_

Department/Division: \_\_\_\_\_

Tel: \_\_\_\_\_

E-mail: \_\_\_\_\_

**Details of the automated order checking system via Direct Market Access (DMA)**

1. Having Automated Pre-trade Risk Management that the company can configure parameters as follows

1.1 Risk management control of credit/exposure limit

Details: \_\_\_\_\_

Example of the test results (Screen display) of the company's risk management control:

1.2 Risk management control of maximum value per order size

Details: \_\_\_\_\_

Example of the test results (Screen display) of the company's risk management control:

Sample

1.3 Risk management control of maximum volume per order size

Details: \_\_\_\_\_

Example of the test results (Screen display) of the company's risk management control:

1.4 Risk management control of order price

Details: \_\_\_\_\_

Example of the test results (Screen display) of the company's risk management control:

Sample

1.5 Others risk management control conditions (if any)

Details: \_\_\_\_\_

Example of the test results (Screen display) of the company's risk management control:

2. Having a kill switch function which can stop all new order processes and / or auto-cancel the unmatched orders. The company has the authority to perform such functions.

Details: \_\_\_\_\_

Example of the test results (Screen display) of the company's risk management control:

**Information on the DMA customer (Juristic person)**

Customer name: \_\_\_\_\_

is qualified as a Juristic person as specified by the SET as follows:

- Having a stable financial position
- Having experience in investment in the capital market, either domestic or international market.
- The management team have neither been accused of nor charged by the The Securities and Exchange Commission (SEC) or The Stock Exchange of Thailand (SET) and have not been improper trading practices by SET.

**Management team**

Name	Position