

Headline: List of securities which fulfilled the market surveillance criteria

Security Symbol: AQ, BGT, MAI, SET, U

Announcement Details

Level 1 : Cash Balance			
Security	Symbol	Start date	End date
BGT CORPORATION PUBLIC COMPANY LIMITED	BGT	23-Sep-2021	12-Oct-2021
Extended Period			
U CITY PUBLIC COMPANY LIMITED	U	23-Sep-2021	12-Oct-2021
Preferred stock of U CITY PUBLIC COMPANY LIMITED	U-P	23-Sep-2021	12-Oct-2021
Warrant of U CITY PUBLIC COMPANY LIMITED No. 4	U-W4	23-Sep-2021	12-Oct-2021
Level 2 : Excluded from credit limit and Cash Balance			
Security	Symbol	Start date	End date
AQ ESTATE PUBLIC COMPANY LIMITED	AQ	23-Sep-2021	12-Oct-2021
Extended Period			
-	-	-	-
Level 3 : Prohibit Net settlement, Excluded from credit limit and Cash Balance			
Security	Symbol	Start date	End date
-	-	-	-
Extended Period			
-	-	-	-

Remark:

1. Cash balance means each member must ensure that its customers pay the full amount in cash prior to trading.
2. Excluded from credit limit means the member must not use the security as collateral in the calculation of the customer's credit line in all types of account.
3. Prohibit Net Settlement means the member must not offset the trading value of buy amount and sell amount of a certain security on a given day. (The amount received from sale of the particular security will be credited back on the following day.)

Please note that the main factors used as criteria for the restricted securities above are the turnover ratio, the trading value and the price not corresponding with the fundamental factors such as P/E ratio, etc.