

Guideline for Application for Permission to Connect Computer Systems used in Trading to TFEX Trading System

Procedures

1. The member must submit the application to TFEX made in the specified form, together with supporting documents as required. TFEX may request additional information or supporting documents from the member or specify additional conditions in granting permission as it deems appropriate.
2. The member may participate in the test at the time specified by TFEX by submitting the application at least seven (7) business days prior to the date of the test.
3. In case that a system test is required, the member must conduct the test in accordance with the details and schedules specified by TFEX. The member must pass the test or submit the test results (as the case may be) as required.
4. TFEX will notify the member of its decision within 10 business days from the receipt of full and accurate information or documents as requested.
5. The member must confirm the commencement date of the system for which permission is sought with TFEX within seven (7) business days from the date of notification of the decision as mentioned above.
6. In the event that the member fails to commence the system within three (3) months after receiving the results of the test, TFEX reserves the right to cancel such test results at its discretion.

In addition, TFEX may designate other organizations, such as SET, to be responsible for the tests and details of the foregoing procedures.

The Computer System Used in Trading for Which Permission Must Be Sought

The member is required to apply for permission to use an In-house Application and/or a software of an independent software vendor or service provider in accordance with the details below.

1. First Application for Permission

In the following cases, the conformance test must be passed prior to commencing use of the programs:

1.1 to connect the computer programs used in trading for use as

- Front Office Application
- Internet Trading Application

1.2 to connect the computer programs used in trading via the Direct Market Access (DMA) system

1.3 to connect the computer programs for Program Trading

2. Changes and Amendments to member's computer system

In the following cases, the conformance test must be passed prior to commencing use of the programs:

2.1 change of independent software vendor or service provider;

2.2 change in the technology of the computer programs used in trading;

2.3 change in the functional specifications of computer system, with respect to the Trading System.

- Unofficial Translation -

In the following cases, the member may submit the test results for examination:

- 2.4 change in the member's network architecture used in trading;
 - 2.5 change of the location of server of the member's computer system used in trading.
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3. Request for addition, change of information or cancellation of customers trading through DMA
 - 3.1 Adding customers trading through DMA if the new customers connect to the member by the same method for which permission has been sought;
 - 3.2 Updating of a customer's data or cancellation of the provision of trading service through DMA for customers for whom permission has been granted;
 - 3.3 Adding customers trading through DMA, and the new customers connect to the member by a method different from that for which permission has been granted by TFEX.
 4. TFEX may require an application for permission in other cases as it deems necessary and appropriate.

Submission of Documents

Supporting documents to be submitted together with the application are as follows:

1. MO-API1 Form, to be attached to the initial application and to every application for change which affects API users;
2. MO-Member 1 Form, to be attached to the initial application and to every application for change;
3. MO-ISV1 Form, to be submitted where the member uses services of the independent software vendor or service provider;
4. MO-Security1, an additional document used in submission of an application for the first time and upon change in security of systems;
5. MO-DMA1, an additional document for application related to customers who connect through DMA;
6. MO-PROG1, an additional document for application related to computer connections for program trading.
7. MO-COMPLIANCE1, an additional document for application related to computer connections for program trading.

Enquiries

- Inquiries on the application for system connection permission, please contact:
Derivatives Trading Operation Unit, Derivatives Trading Operation Department
E-mail: DerivativesTradingOperationUnit@set.or.th

- Inquiries on technical connection, please contact:
Derivatives Trading System Unit, Trading System Department
E-mail: DerivativesTradingSystemUnit@set.or.th

Enforcement

This guideline will replace the Guidelines for Application for Permission to Connect Computer Systems Used in Trading to TFEX Trading System, dated 30 June 2010, and shall come into force from 6 May 2014 onwards.

Summary of Guideline for Application for Permission to Connect Computer Systems Used in Trading to the TFEX Trading System

Type of Application	Application Form	System Test
1. Application Submitted for the First Time		
1.1 Application for Permission to Connect the Computer Programs Used in Trading as <ul style="list-style-type: none"> ▫ <i>Front Office Application</i> ▫ <i>Internet Trading Application</i> 	MO-API1 Form MO-Member1 Form MO-ISV1 Form* MO-Security1 Form	<ul style="list-style-type: none"> ▪ Submit the application at least seven business days prior to the start of the test date ▪ The computer program must pass the conformance test prior to use ▪ Members must test the system in accordance with the details and schedule specified by TFEX
1.2 Application for Permission to Connect the Computer Programs used in Trading Via DMA System	MO-API1 Form MO-Member1 Form MO-ISV1 Form* MO-DMA1 Form MO-Security1 Form	
1.3 Application for Permission to Connect with Program Trading	MO-API1 Form MO-Member1 Form MO-ISV1 Form* MO-Security1 Form MO-DMA1 Form (if applicable) MO-PROG1 Form MO-COMPLIANCE1 Form	

Type of Application	Application Form	System Test
2. Changes or Amendments to Members' Computer System		
2.1 Change of Independent Software Vendor or Service Provider	MO-API1 Form (if affecting API User) MO-Member1 Form MO-ISV1 Form*	<ul style="list-style-type: none"> ▪ Submit the application at least seven business days prior to the start of the test date; ▪ The computer program must pass the conformance test prior to use; ▪ Members must test the system in accordance with the details and schedule specified by TFEX
2.2 Change in the technology of the computer programs	MO-Security1 Form (if affecting security)	
2.3 Change in the function specifications of the member's computer system with respect to the trading that connect to the Trading System		
2.4 Change in the member's network architecture connected to the Trading System	MO-API1 Form (if affecting API User) MO-Member1 Form MO-ISV1 Form (if related to systems of the independent	<ul style="list-style-type: none"> ▪ Submit the application at least seven business days prior to the start of the test date; ▪ Members shall conduct the test within the company and submit the results of the test together with the MO-Member 1 Form
2.5 Change of the location of server of the member's computer system connected to the Trading System	software vendor or service provider) MO-Security1 Form (if affecting security)	

Type of Application	Application Form	System Test
3 Request for addition, change of information, or cancellation of customers trading through DMA		
3.1 A member wishes to add customers trading through DMA, and the new customers connect to the member by the same method for which permission has been sought 3.2 Update of a customer's data or cancellation of the provision of trading service through DMA for customers for whom permission has been granted	Notify TFEX of changes of data using MO-DMA1 form at least seven business days in advance	<ul style="list-style-type: none"> ▪ A conformance test is not required.
3.3 A member wishes to add customers trading through DMA, and the new customers connect to the member by a method different from that for which permission has been granted by TFEX	MO-Member1 Form MO-ISV1 Form* MO-Security1 (if affecting security) MO-DMA1	<ul style="list-style-type: none"> ▪ Submit the application at least seven business days prior to the start of the test date ▪ The computer program must pass the conformance test prior to use; ▪ Members must test the system in accordance with the details and schedule specified by TFEX

Remark:

* Submit the document if the member uses the services of an independent software vendor or service provider.

Example of forms can be downloaded from the link <https://www.tfex.co.th/en/rules/form.html>.