

System Security Assessment Form
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System Security Assessment

1. Members must have standard security system for connecting to the exchange trading system according to the SEC and SET policies. (Notification of the Office of the Securities and Exchange Commission No. Nor Por. 3/2559 Guidelines for Establishment of Information Technology System)	Yes	No
2. Members must manage the security system to allow only designated user to access to only specify information and functions. Members must assign different user roles to different user and must have adequate audit trail log for all incident that happen in the system.	Yes	No
3. Before access the members trading system, user must be identified by member as a true authorized user. Thus, the member trading system must be up to dated and secured by providing suitable security check for authorisation before any user accessing such as username and password, One-time password (OTP) and session control.	Yes	No
4. During order submission process, members must identify the existence of the user's before sending transaction to the SET trading system. By using any necessary means such as PIN ID with sufficient length and security strength according to security standard.	Yes	No
5. Must have a warning message about the risk that may occur during the usage period, have Agreement or Disclaimer about associated risk that may occur and must have log keeping of these Agreement or Disclaimer.	Yes	No
6. Members must have an adequate procedure control on how to use the member trading program or application and to make sure that inappropriate trading that can cause damage to the whole market must be prevented.	Yes	No
7. Must have a secured delivery process of sensitive information such as Username and Password and must educated user on how to keep and understand the security related issue of these sensitive information. For example the use of complicated or complexed password, not giving password to anyone, always logout when inactive for a certain period or end of use and the risk of keeping password close by for easy login usage.	Yes	No