

Headline: List of securities which fulfilled the market surveillance criteria

Security Symbol: GL, KCM, MAI, PRINC, SET

Announcement Details

Level 1 : Cash Balance			
Security	Symbol	Start date	End date
Warrant of GROUP LEASE PUBLIC COMPANY LIMITED No. 4	GL-W4	02-Oct-2017	10-Nov-2017
K.C. METALSHEET PUBLIC COMPANY LIMITED	KCM	02-Oct-2017	10-Nov-2017
PRINCIPAL CAPITAL PUBLIC COMPANY LIMITED	PRINC	02-Oct-2017	10-Nov-2017
Extended Period			
-	-	-	-
Level 2 : Excluded from credit limit and Cash Balance			
Security	Symbol	Start date	End date
-	-	-	-
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.