Appendix 5

**INE Filing Form of Technology System for the Market-making Business**

Any crucial change to the technology system should be reported in this form to INE. Please provide a detailed description in section 3 if necessary.

**1. Basic Information**

|  |  |  |  |
| --- | --- | --- | --- |
| Name of company |  | | |
| Address of company |  | | |
| Name of the person in charge of market-making technology system |  | Mobile |  |
| Email |  |
| Name of the contact person for market-making technology system (1) |  | Mobile |  |
| Email |  |
| Name of the contact person for market-making technology system (2) |  | Mobile |  |
| Email |  |

**2. System Information**

**(1) Hardware Information**

|  |  |
| --- | --- |
| Item | Content |
| Address of Data Center |  |
| Type of Server[[1]](#footnote-1) |  |
| Quantity |  |

**(2) Market Maker’s Software Information**

|  |  |
| --- | --- |
| Item | Content |
| Software Name |  |
| Software Version |  |
| Developer | □ Developed independently  □ Developed by a third-party  □ Other, \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Diagram of Software Framework | (can be clarified with more pages) |
| Description of Software Function[[2]](#footnote-2) | (can be clarified with more pages) |

**(3) Information of Designated Futures Firm Member**

|  |  |
| --- | --- |
| Item | Content |
| Name of Member |  |
| Trading Seat of Member |  |
| Name of Counter System |  |
| Version of Counter System |  |
| Access Type and Bandwidth (to Member) | □ Leased Line, Bandwidth\_\_\_\_\_\_\_\_  □ LAN, Bandwidth\_\_\_\_\_\_\_\_  □ Internet, Bandwidth \_\_\_\_\_\_\_\_  □ Others\_\_\_\_\_\_\_ Bandwidth \_\_\_\_\_\_\_\_ |
| Spare Access Type | □ Yes, Type \_\_\_\_\_\_\_\_\_, Bandwidth\_\_\_\_\_\_\_  □ No |

**3. Other Information (can be clarified with more pages)**

1. Please list each server type separately. [↑](#footnote-ref-1)
2. The description of software functions should include but not limited to basic functions such as transaction management, risk control, funds management, position management, and data statistics. Some necessary risk indicators can be monitored and warned. The performance and capacity of technology system should meet INE’s requirements. [↑](#footnote-ref-2)