

### **Attachment 3**

#### **Information of Head of Audit Department and Head of Legal & Compliance Department**

### Head of Audit Department

Name	Age (Years)	Highest education	No. of shares held in company	Relationship among Executives		Relevant work experiences
Miss Sirima Prapapanich	44	MBA – Assumption University	None	None	Sept 2013 - present	Head of Internal Audit KGI Securities (Thailand) Plc.
Certificate: CPA, CIA, CRMA Training. - COSO with increasing internal control efficiency - Risk Based Audit					June 2011 – Aug 2013	Audit Development Team Manager Audit Division Siam Commercial Bank Plc. (Head Office)
					Aug 2006 - May 2011	Head of Compliance and Internal Audit Department Siam City Securities Co., Ltd.
					Aug 2004 - July 2006	Internal Audit Manager Asia Sermkij Leasing Plc.
					May 1995 - July 2004	Deputy Manager Compliance Department Capital Nomura Securities Plc.
					May 1991 - April 1995	Senior External Auditor SGV-NA Thalang & Co., Ltd Authur Andersen

### Duties and responsibilities

1. Prepare annual audit plan, assess the adequacy and efficiency of internal control system for the processes and operating systems in order to comply with International Auditing Standards, including propose the audit plan to management and asking approval from Audit Committee.
2. Achieve approved audit plan and ad-hoc plan as requested by the management and Audit Committee.
3. Act as a secretary of audit committee, provide the agenda paper for the audit committees including report audit findings and audit performance as compared with audit plan to the audit committee.
4. Support current operations and provide audit information to Audit Committee and management.
5. Develop audit staff to have enough knowledge of audit field and business.
6. Other activities based on assignments.

### Head of Legal & Compliance Department

Name	Age (Years)	Highest education / Certificates	No. of shares held in company	Relationship among Executives		Relevant work experiences
Mr. Thanachai Meechoke	32	-Master of Law (LL.M.) DukeUniversity School of Law, Durham, North Carolina, USA	None	None	Nov 2012-Present	Head of Legal & Compliance Department KGI Securities (Thailand) Plc.
Certificate: - ASCO Compliance Training Program Certificate - Bond Regulatory Update Certificate - ThaiBMA Compliance Certificate		-Master of Laws Degree Chulalongkorn University - Bachelor of Laws Chulalongkorn University			Year 2004-2012  Year 2003-2004	-Executive Officer Office of Securities and Exchange Commission  -Legal Officer, Office of the Administrative Court

### Duty and responsibilities:

1. To monitor and control all Business unit to comply with rules and regulations, and develop the procedure to ensure the corporate compliance.
2. To render and provide legal opinion / review legal documents or contracts.
3. To coordinate with Regulator and related regulatory Authority as requested.
4. To host a training program as well as update rules and regulations to relevant staffs.
5. To handle all legal procedures, and legal cases.