

### **Attachment 3**

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

### Head of Audit Department

| Name / Position  | Age (Years) | Education / Training  | Portion of shares held in company (Direct and Indirect) (%)  | Relationship among Director and management | Work experiences and Position in other companies  |
|--|-------------|---|--|--|---|
| <p>Ms. Rungthip Vanitchapan</p> <p>Position in the Company:<br/>-Senior Vice President Audit Department<br/>-Disciplinary Committee<br/>-Corporate Governance Committee</p> <p>The Appointment date as a management: 1<sup>st</sup> Feb 2016</p> | 46          | <p>-Master of Communication Arts (Advertising), Bangkok University</p> <p>-Bachelor of Business Administration (Finance), Thammasat University</p> <p><u>Training Program</u><br/>-COSO 2013 Internal Control framework by Federation of Accounting Professions<br/>-FATCA Workshop (Foreign Account Tax Compliance Act) 2013 by Association of Securities Companies (ASCO)<br/>-The Anti-Money Laundering Act and Financial support for terrorism Act. 1999 by the Anti-Money Laundering Office (AMLO)<br/>-Foreign Investment Course 2010 by Bank of Thailand (BOT)</p> | <p>Beginning of the year = 0%</p> <p>Ending of the year = 0%</p> <p>(No trading transaction in 2016)</p> | -None-                                     | <p><u>Work experiences</u><br/>Jun. 2006 - Jan 2016 Senior Manager Compliance Department, Thanachart Securities Plc.</p> <p>May 2005- Mar 2006 Marketing Communications Manager, Payment Solution Co.,Ltd., (Shin Corporation Group)</p> <p>Nov.2004 - May 2005 Corporate Public Relations Manager, Office of Bangkok Fashion City By Ministry of Industry.</p> <p>Nov.2001- Nov 2004 Marketing Manager, WinStore Co., Ltd.</p> <p>Aug.1995 - Oct. 2000 Senior Officer, Members Supervision &amp; Examination Department The Stock Exchange of Thailand</p> <p><u>Position in Other listed companies</u> -None-</p> <p><u>Position in Other non-listed companies</u> -None-</p> |

### Duties and responsibilities

1. Prepare annual audit plan, assess the adequacy and efficiency of internal control systems in order to comply with International Auditing Standards. Propose the audit plan to management and obtain approval from the Audit Committee.
2. Complete the approved audit plan and any ad-hoc plans as requested by management and the Audit Committee.
3. Act as the secretary of the Audit Committee, prepare the agenda for the Audit Committee meetings including reports of audit findings and audit performance compared with the audit plan.
4. Support current operations and provide audit information to the Audit Committee and management.
5. Develop audit staff and train them in auditing procedures and operations.
6. Other activities as assigned by management or Audit Committee.

### Head of Legal & Compliance Department

| Name / Position   | Age (Years) | Education / Training   | Portion of shares held in company (Direct and Indirect)(%)   | Relationship among Director and management | Work experiences and Position in other companies   |
|---|-------------|--|--|--|--|
| <p>Ms. Nantarat Surakhaka *</p> <p>Position in the Company:</p> <ul style="list-style-type: none"> <li>-Executive Vice President, COO Office Support Department</li> <li>- Risk Management Committee</li> <li>- Debt Recovery Committee</li> <li>- Purchase Committee</li> <li>- Disciplinary Committee</li> <li>- Corporate Governance Committee</li> </ul> <p>The Appointment date as a management: 1<sup>st</sup> Mar 2013</p> | 48          | <p>LL.M. ,Widener University, Delaware, USA.</p> <p><u>Training Program</u></p> <ul style="list-style-type: none"> <li>-Director Certification Program Class 199/2015</li> <li>- Corporate Governance for Capital market Intermediaries 5/2015</li> </ul> <p>from Thai Institute of Directors Association (IOD)</p> <ul style="list-style-type: none"> <li>- ASCO Compliance Training Program from ASCO</li> </ul> | <p>Beginning of the year = 0%</p> <p>Ending of the year = 0%</p> <p>(No trading transaction in 2016)</p> | -None-                                     | <p><u>Work experiences</u></p> <p>Jan 2010 - Feb 2013 Senior Vice President COO Office (Corporate Strategy) KGI Securities (Thailand) Plc.</p> <p>Jun 2005 - Aug 2006 Vice President, Legal and Debt Recovery Division KGI Securities (Thailand) Plc.</p> <p>Apr 1996 - May 2005 Legal Officer The Office of the Securities and Exchange Commission</p> <p><u>Position in Other listed companies</u></p> <p>-None-</p> <p><u>Position in Other non-listed companies</u></p> <p>Nov 2011 - Present Authorized Director One Asset Management Limited</p> |

Note: \*Mr. Thanachai Meechoke resigned from the Company, effective on 20<sup>th</sup> January 2015. The Company has appointed Ms. Nantarat Surakhaka as the acting head Legal and Compliance Department until the Company appoints a new permanent head of Legal and Compliance Department.

#### Duty and responsibilities:

1. To monitor and control all Business Units to ensure that they comply with relevant rules and regulations, and develop procedures to ensure corporate compliance.
2. To render and provide legal opinions / review legal documents or contracts.
3. To handle legal procedures and Company legal cases.
4. To coordinate with the Company's regulator and related regulatory authorities.
5. To host a training program and to update rules and regulations for Company employees.