

### **Attachment 3**

**Information of Head of Audit Department,  
Head of Legal & Compliance Department,  
Head of Finance & Accounting Department  
and Accountant Officer**

### 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: -Senior Vice President, Audit Department -Disciplinary Committee member -Corporate Governance Committee member</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> -COSO 2013 Internal Control framework by Federation of Accounting Professions -FATCA Workshop (Foreign Account Tax Compliance Act) 2013 by Association of Securities Companies (ASCO) -The Anti-Money Laundering Act and Financial support for terrorism Act. 1999 by the Anti-Money Laundering Office (AMLO) -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 2017)</p>	-None-	<p><u>Work experiences</u></p> <p>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></p> <p>-None-</p> <p><u>Position in Other non-listed companies</u></p> <p>-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
<b>Ms. Nantararat Surakhaka *</b>  <b>Position in the Company:</b> -Executive Vice President, COO Office Support Department - Risk Management Committee member - Debt Recovery Committee member - Purchase Committee member - Disciplinary Committee member - Corporate Governance Committee member  The Appointment date as a management: 1 <sup>st</sup> Mar 2013	48	LL.M. , Widener University, Delaware, USA.  <u>Training Program</u> -Director Certification Program Class 199/2015  - Corporate Governance for Capital market Intermediaries 5/2015  from Thai Institute of Directors Association (IOD)  - ASCO Compliance Training Program from ASCO	Beginning of the year = 0% Ending of the year = 0%  (No trading transaction in 2017)	-None-	<u>Work experiences</u> Jan 2010 - Feb 2013 Senior Vice President COO Office (Corporate Strategy) KGI Securities (Thailand) Plc.  Jun 2005 - Aug 2006 Vice President, Legal and Debt Recovery Division KGI Securities (Thailand) Plc.  Apr 1996 - May 2005 Legal Officer The Office of the Securities and Exchange Commission  <u>Position in Other listed companies</u>  <u>Position in Other non-listed companies</u> Nov 2011 - Present Authorized Director One Asset Management Limited

Note: \*Mr. Thanachai Meechoke resigned from the Company, effective on 20<sup>th</sup> January 2015. The Company has appointed Ms. Nantararat 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.

### Head of Finance & Accounting 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
Ms. Khunmira Thunnom  Position in the Company:  -Executive Vice President, Finance and Accounting Department  - Risk Management Committee - Debt Recovery Committee  The Appointment date as a management : 1 <sup>st</sup> Apr 2008	52	Master of Accountancy, Financial Accounting, Chulalongkorn University, Thailand.  Certified Public Accountant (Thailand), Registration No. 3973  <u>Training Program</u> - CFO Certification Program – Class 1/2004 by Institute of Certified Accountants and Auditors of Thailand (change to Federation of Accounting Professions of Thailand)	Beginning of the year = 0% Ending of the year = 0%  (No trading transaction in 2017)	-None-	<u>Work experiences</u> 1993 - Mar 2008 -Senior Vice President (2001 - 2008) -Vice President (1993 - 2001) Finance & Accounting Department KGI Securities (Thailand) Plc.  1989 - 1992 Assistant Manager Ernst & Young Office Limited (change company name to EY Office Company Limited)  <u>Position in Other listed companies</u> -None-  <u>Position in Other non-listed companies</u> -None-

#### Duty and responsibilities;

1. To manage and develop accounting and financial information system, and supervise the accountant officer in order to ensure that the Company's financial statements present fairly in accordance with Thai financial reporting standards and prepare on time.
2. To report the Company's statements of financial position & financial performance, other financial information, adequate internal control system and audit results of the auditor to Audit Committee, Board of Directors and Shareholders
3. To analyze accounting & financial information and other information related, including adequacy of liquidity and a net capital ratio of the Company in order to provide necessary suggestions to CEO and executive directors for the decision making on business operation to meet the corporate strategy and plan.
4. To prepare and control the annual financial budget of the Company in accordance with each business strategy and plan, including the budget of capital expenditure in new technology system development, funding usage projection and headcount budget plan. In addition, together with Treasury Department, to provide sufficient capital for the business operation according to the budget plan and coordinate with Human Resource Department to control the headcount regarding the budget plan.
5. To prepare and analyze the three-year financial projection including the business plan and risk controls of the Company to ensure that the company credit rating is able to be retained or developed in future.
6. To have role and responsibilities in Risk Management Committee including the Sub-Committee s which are Credit Risk Sub-Committee, Trading Business Risk Sub-Committee, Investment Banking Business Risk Sub-Committee, and ISMS Management Sub-Committee.
7. To have role and responsibilities in Debt Recovery Committee.
8. To coordinate and collaborate with the management of various departments to drive the Company's plan and strategy for achievement.
9. To communicate important financial information to any related party investors or shareholders to build a good understanding and confidence in the Company.
10. Other activities regarding assignment.

### Accountant Officer

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
Ms. Wipha Katikubanan Position in the Company: -Senior Vice President, Finance and Accounting Department - Health and Environment Committee member  The Appointment date as a accountant : 26 <sup>th</sup> Apr 2016	49	Master of Accountancy, Financial Accounting, Chulalongkorn University, Thailand.  <u>Training Program</u> In 2017 -TFRS9 Financial Instruments by SEC - TAS12 Income taxes by FAP - TAS17 Leases by FAP  In-House Training -Cyber Security Awareness	Beginning of the year = 0% Ending of the year = 0%  (No trading transaction in 2017)	-None-	<u>Work experiences</u> 1999 - Apr 2016      -Vice President (2001 - 2016) -Assistant Vice President (1999 - 2001) Finance & Accounting Department KGI Securities (Thailand) Plc.  1991 - 1994      KPMG Peat Marwick Suthee (change company name to KPMG Phoomchai Audit Ltd.)  <u>Position in Other listed companies</u> -None-  <u>Position in Other non-listed companies</u> -None-

### Duty and responsibilities:

1. To prepare accounts for reflecting the current operation results, financial position or change in financial position of the Company with the accounting duty in accordance with reality and accounting standards, with proper and complete supporting documents used for making entries in accounts.
2. To prepare financial statements in accordance with accounting standards and the Regulation of The Stock Exchange of Thailand (SET) and The Securities and Exchange Commission (SEC).
3. To arrange financial statements to be audited and accompanied by an opinion of a certificated auditor.
4. To submit the reports relating to financial information in accordance with the regulators such as Ministry of Commerce, Revenue Department , The Stock Exchange of Thailand (SET) and The Securities and Exchange Commission (SEC).
5. To retain accounts and supporting documents used for making entries in accounts.
6. To develop and evaluate relevant internal controls, financial information technology system to obtain sufficient appropriate financial information in accordance with reality, accounting standards and the Regulation of The Stock Exchange of Thailand (SET) and The Securities and Exchange Commission (SEC) with no material misstatement of financial information, whether due to fraud or error.
7. To prepare properly and submit tax to Revenue Department on time.
8. To develop staff skills to be up-to-date in accounting and business knowledge.
9. Other activities as assigned by CFO.