

### **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:</p> <ul style="list-style-type: none"> <li>■ Senior Vice President, Audit Department</li> <li>■ Disciplinary Committee member</li> <li>■ SMS Management Committee</li> </ul> <p>The Appointment date as a management: 1<sup>st</sup> Feb 2016</p>	47	<ul style="list-style-type: none"> <li>■ Master of Communication Arts (Advertising), Bangkok University</li> <li>■ Bachelor of Business Administration (Finance), Thammasat University</li> </ul> <p><u>Training Program</u></p> <ul style="list-style-type: none"> <li>■ The course assessment of information security management system comply to ISO/IEC 27001</li> <li>■ COSO2013 Internal Control framework by Federation of Accounting Professions</li> <li>■ The Anti-Money Laundering Act and Financial support for terrorism Act by the Anti -Money Laundering Office (AMLO)</li> </ul>	<p>Beginning of the year = 0%</p> <p>Ending of the year = 0%</p> <p>(No trading transaction in 2018)</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> -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>Mr. Surachet Amnuaywittayakul</p> <p>Position in the Company:</p> <ul style="list-style-type: none"> <li>■ Senior Vice President, Legal &amp; Compliance Department</li> <li>■ ISMS Management Committee member</li> <li>■ Debt Recovery Committee member</li> <li>■ Health and Environment Committee member</li> </ul> <p>The Appointment date as a management: 1<sup>st</sup> May 2018</p>	46	<p>Bachelor of Law, Thammasat University</p> <ul style="list-style-type: none"> <li>■ Attorney at Law, license no.328/2540</li> <li>■ Notarial Services Attorney, license no.3106/2552</li> </ul> <p><u>Training Program</u></p> <ul style="list-style-type: none"> <li>■ Licensed Signature Certifier (Public Company)</li> <li>■ ASCO's Compliance Training Program</li> <li>■ AML/CFT Training Program</li> <li>■ FATCA Training Program</li> </ul>	<p>Beginning of the year = 0%</p> <p>Ending of the year = 0%</p> <p>(No trading transaction in 2018)</p>	-None-	<p><u>Work experiences</u></p> <p>Jan 2008 - Dec 2016 -Vice President (2013-2016) -Assistant Vice-President (2008-2012) Legal &amp; Compliance Department KGI Securities (Thailand) Plc.</p> <p>Nov 1999 - Dec 2007 -Assistant Vice President (2006-2007) -Manager (May 2002-Dec2005) -Deputy Manager (Nov 1999-Apr.2002) Legal and Debt Recovery Division KGI Securities (Thailand) Plc.</p> <p>Mar 1996 – Oct 1999 Officer Reclamation &amp; Litigation Department Phatra Thanakit Finance PLC</p> <p><u>Position in Other listed companies</u> -None-</p> <p><u>Position in Other non-listed companies</u> -None-</p>

### 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
<p>Ms. Khunmira Thunnom</p> <p>Position in the Company:</p> <ul style="list-style-type: none"> <li>Executive Vice President, Finance and Accounting Department</li> <li>Risk Management Committee</li> <li>Debt Recovery Committee</li> </ul> <p>The Appointment date as a management : 1<sup>st</sup> Apr 2008</p>	53	<p>Master of Accountancy, Financial Accounting, Chulalongkorn University, Thailand.</p> <p>Certified Public Accountant (Thailand), Registration No. 3973</p> <p><u>Training Program</u></p> <ul style="list-style-type: none"> <li>CFO Certification Program – Class 1/2004 by The Institute of Certified Accountants and Auditors of Thailand (change to Federation of Accounting Professions of Thailand)</li> </ul>	<p>Beginning of the year = 0% Ending of the year = 0%</p> <p>(No trading transaction in 2018)</p>	-None-	<p><u>Work experiences</u></p> <p>1993 - Mar 2008 -Senior Vice President (2001 - 2008) -Vice President (1993 - 2001) Finance &amp; Accounting Department KGI Securities (Thailand) Plc.</p> <p>1989 - 1992 Assistant Manager Ernst &amp; Young Office Limited (change company name to EY Office Company Limited)</p> <p><u>Position in Other listed companies</u> -None-</p> <p><u>Position in Other non-listed companies</u> -None-</p>

### Duty and responsibilities:

- 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.
- 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
- 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 COO and executive directors for the decision making on business operation to meet the corporate strategy and plan.
- 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.
- 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.
- 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.
- To have role and responsibilities in Debt Recovery Committee.
- To coordinate and collaborate with the management of various departments to drive the Company's plan and strategy for achievement.
- To communicate important financial information to any related party investors or shareholders to build a good understanding and confidence in the Company.
- 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 an accountant : 26 <sup>th</sup> Nov 2018	50	Master of Accountancy, Financial Accounting, Chulalongkorn University, Thailand.  <u>Training Program</u> ■ Continuous accounting knowledge improvement training in compliance with Department of Business Development ■ Occupational Health, Safety and Environment committee course	Beginning of the year = 0% Ending of the year = 0%  (No trading transaction in 2018)	-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.