



C. Other Operational Committees

The Company also sets up various operational committees to supervise and supervise each particular task as set out below.

1) Executive Committee

The Executive Committee consists of:

Dr. Visit Ongpipattanakul	Chief Executive Chairman
Dr. Veeraphat Phetcharakupt	Executive Committee
Ms. Suwannee Limpanavongsaen	Executive Committee

The roles and duties of the Executive Committee

1. Consider and approve the determination of the company's objectives, vision, mission, policies, key goals, and strategies as proposed by the Chief Executive Officer (CEO) for submission to the Board of Directors for approval.
2. Review and scrutinize the business plan, budget, management structure, and Delegation of Authority (DoA) to align with the company's objectives, vision, mission, policies, key goals, and business strategies as proposed by the CEO for submission to the Board of Directors for approval, and implement actions as approved by the Board of Directors.
3. Oversee, manage, monitor, and evaluate the company's performance and overall management operations to ensure efficiency and effectiveness, including reviewing proposals from management.
4. Decide on investments in projects according to the approved plan and budget that exceeds the CEO's authority and fall within the approval framework of the Executive Committee.
5. Establish a comprehensive enterprise risk management policy that sets the company's acceptable risk levels (Risk Appetite) and oversee compliance with the risk management policy to ensure effective risk management.
 - 5.1 Develop a risk management strategy considering the company's objectives, vision, mission, policies, key goals, and business strategies.
 - 5.2 Establish a process for identifying the company's risks by analyzing the causes of risks, the likelihood of occurrence, and the severity level of risks that may impact the company's operations.
 - 5.3 Approve risk management practices and mitigation measures proposed by the relevant departments to ensure they cover all identified risks and are effective in controlling or reducing those risks in alignment with the risk management policy and acceptable risk levels.

- 5.4 Oversee the departments/committees to regularly monitor the implementation of risk management practices or measures to ensure that adjustments or corrective actions can be made promptly if the risks change or intensify.
- 5.5 Review the adequacy and appropriateness of the policy, strategy, mitigation measures, and practices to ensure they align with the company's business direction.
- 5.6 Supervise the adequacy of the company's funds, liquidity, and working capital for its business operations.
- 5.7 Supervise the adequacy of the company's funds, liquidity, and working capital for its business operations.
6. Establish the organizational structure for positions below the Chief Executive Officer (CEO).
7. Recruit and select qualified personnel to hold senior executive positions, including positions at or above the CEO level, and submit the proposal for approval to the Nomination and Remuneration Committee.
8. Approve expenditure within the approved budget or annual expenditure framework as per the approval of the Board of Directors.
9. Set the framework and policy for determining salaries, and approve salary increases, bonuses, compensation, and awards for executives and employees holding positions below the CEO.
10. Consider the total compensation budget for employees and executives below the CEO level and present it to the Nomination and Remuneration Committee for review. Also, consider the allocation framework of the budget, as approved by the Nomination and Remuneration Committee and the Board of Directors, for the executives, employees, or contractors acting on behalf of the company.
11. Report on the key performance results of the executive committee to the Board of Directors regularly.
12. Evaluate annual performance, both at the committee and individual levels, and report the results to the Board of Directors for consideration, including preparing the executive committee's report.
13. Undertake other duties as assigned by the Board of Directors or according to the policies established by the Board.
14. Delegate authority to one or more individuals to perform specific actions on behalf of the Executive Committee.
15. Review or amend the Executive Committee's charter at least once a year to ensure alignment with the current situation and present it to the Board of Directors for acknowledgment or approval, as applicable.

Any delegation of authority, duties, and responsibilities of the Executive Committee shall not involve the delegation of authority or sub-delegation that would allow the Executive Committee or any person delegated by the Executive Committee to approve transactions in which they or any person who may have a conflict of interest (as defined in the regulations of the Securities and Exchange Commission and/or the Capital Market Supervisory Board) may have an interest or benefit of any kind or may have any

other conflict of interest with the company or its subsidiaries, except for the approval of transactions in accordance with the policies and criteria approved by the Board of Directors

2) Investment Committee

The Investment Committee consists of:

Dr. Visit Ongpipattanakul
Mrs. Kanoktip Saichumin
Mr. Chatpong Talabnak
Mrs. Vanida Chiemanukulkit

The roles and duties of the Investment Committee

1. Consider and present to the Executive Committee for approval the criteria for managing personal funds, such as the selection of investable instruments (Investment Universe), selection of brokers, guidelines for exercising rights, new investment forms or policies, and various risk parameters to be defined.
2. To define the Securities Universe for investment
3. To give opinions on investment strategy and investment trend
4. Oversee the operation of personal fund management to ensure compliance with the established criteria
5. Review/modify/improve the risk management practices in fund management in collaboration with the Risk Management Department and present them to the Executive Committee for approval.
6. To supervise the overall operation of the fund and provide resolution in case where the returns on investment do not turn out as targeted and report to the Executive Committee.

3) Underwriting Committee

Underwriting Committee consists of:

Dr. Visit Ongpipattanakul
Dr. Veeraphat Phetcharakupt
Ms. Suwannee Limpanavongsaen
Mrs. Supattra Phuphatana
Mr. Ashwani Ahuja
Mrs. Kanoktip Saichumin
Mr. Ditdanai Sangkharom
Mrs. Chayatip Chaisanit

The roles and duties of the Underwriting Committee

1. To approve an underwriting of any equity instrument, debt instrument, derivatives and any other types of financial instruments.

2. To stipulate criteria for risk management and risk control.
3. To approve criteria for allocation of underwritten securities or instruments to clients or target investors.

Underwriting Committee's Authority

The Underwriting Committee are authorized to approve a securities underwriting in types of best effort deal and firm underwritten deal whereby the credit lines of such underwritings shall fall within the limit approved by the company's board of directors. The Underwriting Committee's authority to approve securities underwriting is illustrated below.

- Securities Underwriting through Best Effort Deal basis

Credit Line	Type of Securities	Criteria for Endorsement by Authorized Persons
More than Baht 500 million More than Baht 700 million	Equity instrument Debt instrument	Board of Directors
Less than or equal to Baht 500 million Less than or equal to Baht 700 million	Equity instrument Debt instrument	Board of Directors
Less than or equal to Baht 300 million Less than or equal to Baht 500 million	Equity instrument Debt instrument	All members of the Underwriting Committee
Less than or equal to Baht 100 million Less than or equal to Baht 200 million	Equity instrument Debt instrument	Two third of the quorum required for the meeting of the Underwriting Committee

- Securities Underwriting through Firm Underwritten basis

Credit Line	Type of Securities	Criteria for Endorsement by Authorized Persons
More than Baht 250 million More than Baht 400 million	Equity instrument Debt instrument	Board of Directors
Less than or equal to Baht 250 million Less than or equal to Baht 400 million	Equity instrument Debt instrument	Board of Directors
Less than or equal to Baht 150 million Less than or equal to Baht 300 million	Equity instrument Debt instrument	All members of the Underwriting Committee
Less than or equal to Baht 30 million Less than or equal to Baht 50 million	Equity instrument Debt instrument	Two thirds of the quorum required for the meeting of the Underwriting Committee
Less than or equal to Baht 5 million	Equity instrument Debt instrument	Two thirds of the quorum required for the meeting of the Underwriting Committee

- Firm underwritten/ Best Effort in case the company is Lead Underwriter

Credit Line	Type of Securities	Criteria for Endorsement by Authorized Persons
More than Baht 700 million More than Baht 700 million	Equity instrument Debt instrument	Board of Directors
Less than or equal to Baht 700 million Less than or equal to Baht 700 million	Equity instrument Debt instrument	Board of Directors

Credit Line	Type of Securities	Criteria for Endorsement by Authorized Persons
Less than or equal to Baht 500 million	Equity instrument	All members of the Underwriting Committee
Less than or equal to Baht 500 million	Debt instrument	

4) Credit Committee

The Credit Committee consists of:

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|---------|-----------------------------------|
| Group A | Dr. Visit Ongpipattanakul |
| | Ms. Suwannee Limpanavongsaen |
| | Ms. Kulnada Rujjanavate |
| Group B | Mr. Veeraphat Phetcharakupt, Ph.D |
| | Mrs. Kulnada Rujjanavate |
| | Mrs. Chayatip Chaisanit |

Roles and Duties of the Credit Committee

1. Establish guidelines for customer acquisition and assess the customer's ability to repay debts (Client acquisition and Credit Scoring).
2. Approve the criteria for assessing the customer's credit limit (Credit Lines).
3. Approve the credit limits for trading equity securities, debt securities, derivatives, and margin lending for securities purchases, as well as collateralized loans, within the established approval framework.
4. Approve securities for lending with interest rates in the Credit Balance and transactions related to securities borrowing and lending.
5. Approve the types of securities or instruments designated as collateral by customers, as well as the interest rates for securing collateral.
6. Monitor and establish action plans for overdue debts and problematic loans.
7. Approve the acceptance or rejection of customers with high risk related to money laundering, financial support for terrorism, and the proliferation of weapons of mass destruction, including reporting suspicious transactions as outlined in the operational guidelines.
8. Monitor and control risks according to the criteria set by the company.

Credit Committee's Authority

The Credit Committee are authorized to approve any credit lines for retail clients, corporate clients and institutional clients whereby the approved credit lines must fall within the limit approved by the Board of Directors. The company authorized the Credit Committee to approve the opening of account and the adjustment of credit line for trading of equity, debt instruments and derivatives as set out below.

Credit Line	Type of Securities	Criteria for Endorsement by Authorized Persons
1. Retail and Corporate Clients		
More than 300 million Baht	Equity Instrument	The Board of Directors
More than 50 million Baht	Debt Instrument	

Credit Line	Type of Securities	Criteria for Endorsement by Authorized Persons
	Derivatives	
<ul style="list-style-type: none"> - More than 200 million Baht but not exceeding 300 million Baht - More than 30 million Baht but not exceeding 50 million Baht 	Equity Instrument Debt Instrument Derivatives	The Board of Directors
<ul style="list-style-type: none"> - More than 100 million Baht but not exceeding 200 million Baht - More than 10 million Baht but not exceeding 30 million Baht 	Equity Instrument Debt Instrument Derivatives	All members of the Credit Committee
<ul style="list-style-type: none"> - More than 50 million Baht but not exceeding 100 million Baht - More than 5 million Baht but not exceeding 10 million Baht 	Equity Instrument Debt Instrument Derivatives	One authorized member of the Credit Committee from Group A jointly signed with 2 authorized members of the Credit Committee from Group B
<ul style="list-style-type: none"> - More than 3 million Baht but not exceeding 50 million Baht - More than 1 million Baht but not exceeding 5 million Baht 	Equity Instrument Debt Instrument Derivatives	One authorized member of the Credit Committee
<ul style="list-style-type: none"> - Less than 3 million Baht - Less than 1 million Baht 	Equity Instrument Debt Instrument Derivatives	One Head Sales or Branch Manager or Vice President of Debt Instrument
2. Institutional Clients <ul style="list-style-type: none"> - More than 300 million Baht - More than 600 million Baht - More than 60 million Baht 	Equity Instrument Debt Instrument Derivatives	the Board of Directors
<ul style="list-style-type: none"> - More than 200 million Baht but not exceeding Baht 300 million Baht - More than 500 million Baht but not exceeding 600 million Baht - More than 50 million Baht but not exceeding 60 million Baht 	Equity Instrument Debt Instrument Derivatives	the Board of Directors
<ul style="list-style-type: none"> - More than 100 million Baht but not exceeding 200 million Baht - More than 100 million Baht but not exceeding 500 million Baht - More than 10 million Baht but not exceeding 50 million Baht 	Equity Instrument Debt Instrument Derivatives	All members of the Credit Committee.
<ul style="list-style-type: none"> - More than 50 million Baht but not exceeding 100 million Baht - More than 50 million Baht million Baht 100 million Baht 	Equity Instrument Debt Instrument Derivatives	One authorized member of the Credit Committee from Group A jointly signed with 2 authorized members of the Credit Committee from Group B (Excluding a

Credit Line	Type of Securities	Criteria for Endorsement by Authorized Persons
- More than Baht 5 million Baht but not exceeding Baht 10 million Baht		subaccount of funds managed by Asset Management Company, the authorized go to one authorized member of the Credit Committee Group A)
- Less than 50 million Baht - Less than 50 million Baht - Less than 5 million Baht	Equity Instrument Debt Instrument Derivatives	One authorized member of the Credit Committee.
3. Private Fund Clients No limit	All types	Director, President or Deputy Managing Director of Wealth Management Department

5) Proprietary Committee

The Proprietary Committee consists of:

Permanent Member

Mr. Veeraphat Phetcharakupt, Ph.D

Ms. Suwannee Limpanavongsaen

Mrs. Kulnada Rujjanavate

Roles and Duties of the Proprietary Committee

1. To establish guidelines and investment strategy for Company's proprietary portfolio in general and to consider each security when necessity is required.
2. To set an exposure limit for an investment in each type of financial instruments/securities subject to the total limit approved by the company's board of directors.
3. Selecting financial instruments / securities for investment under the approval framework from the Board of Directors.
4. To approve issue limit, issuer limit, counterparty limit and bidding limit for financial instruments /securities under the authorized limit given.
5. To select and appoint the Fund Manager, Foreign Broker, or Commercial Bank both domestic and foreign for Company's foreign investment.
6. To stipulate policy and risk indicators i.e. foreign exchange risk, credit risk, market/price risk, legal risk etc. and Risk Limit for each types of business' risk exposure.
7. To monitor risk management to comply with the guidelines as specified.
8. To monitor the performance of portfolio and provide solution in case where the performance does not turn out as targeted

6) Business Continuity Management Committee

The Business Continuity Management Committee consists of:

Dr. Visit Ongpipattanakul

Ms. Suthang Khonsilp
Mr. Woravit Sinyoo
Mrs. Supattra Phuphatana
Mr. Ashwani Ahuja
Ms. Niyada Changtrakul
Ms. Suwannee Limpanavongsaen
Mrs. Kanoktip Saichumin

Roles and Duties of Business Continuity Management Committee

1. To consider and review Business Continuity Policy and propose to Board of Directors.
2. Monitor the operation and ensure that it complies with the plan and allocate adequate resources to perform efficiently as policy designated.
3. To design and approve the action plan for Business Continuity Plan and prioritize the plan and provide adequate and efficient resources as needed.
4. To appoint the committee to monitor the plan and rehearse the plan at least once a year, review the rehearsal plan and revise the plan if needed, report the operational result to the Committee.
5. To monitor and evaluate business continuity plan, improve and revise for appropriateness to the business to report to the Board of Directors.

7) Long-term Investment Committee

Long-term Investment Committee

Dr. Visit Ongpipattanakul
Mr. Veeraphat Phetcharakupt, Ph.D

Roles and Duties Long-Term Investment Committee

1. To consider the Company's long-term investments, both listed and non-listed investments.
2. To select instruments/securities that are appropriate for long-term investment and fit the investment plan approved by the Company's Board of Directors.
3. To select and approve the Company's foreign investment manager, foreign securities company or Thai or foreign commercial bank.
4. To stipulate policy and procedures for the management of various risk indicators (e.g., foreign exchange risk, credit risk, market/price risk, legal risk) and to set a risk limit for each type of investment.
5. To supervise and ensure that all risk managements are in line with the Company's relevant policies and procedures.
6. To monitor and follow up the performance of each portfolio and provide resolution in case the portfolio's performance is not as expected.

8) ESG Committee

ESG Committee consists of:

Dr. Visit Ongpipattanakul

Mr. Woravit Sinyoo
Mrs. Niyada Changtrakul
Ms. Suwannee Limpanavongsaen
Mrs. Kanoktip Saichumin
Mr. Ditdanai Sangkharom
Mrs. Kulnada Rujjanavate

Roles and Duties of the ESG Committee

1. Formulate ESG policies and work plans under the framework of sustainable development.
2. Supervise the sub-committee to carry out activities according to the plan and activities under the framework of sustainability in accordance with the organization's strategic plan, namely
 - Plan ESG activities under the policy framework set by the ESG Committee
 - Create awareness and understanding among employees across the organization about ESG and sustainable organizational development.
 - Implement ESG activities according to the specified work plan and continuously monitor and evaluate activities

9) Personal Data Protection Committee

Members of the Personal Data Protection Committee consist of:

- Management of Computer Technology Department
- Management of Risk and Information Management Dept.
- Management of Human Resource Department
- Management of Operation Department

Roles and Duties of Personal Data Protection Committee

1. Supervise the management of personal data in compliance with applicable laws and company policies, along with relevant internal controls, including managing personal data breaches and response protocols. This ensures that personal data breaches are promptly identified and handled accordingly.
2. Evaluate the effectiveness of the implementation of personal data protection policies and report the evaluation to the Board of Directors on an annual basis. Additionally, ensure that risks related to personal data are managed and that there are appropriate risk management strategies in place.
3. Establish and review operational standards and practices to ensure the company's activities are following the laws and the company's personal data protection policies.

10) IT Steering Committee

Member of IT Steering Committee consists of:

Dr. Visit Ongpipattanakul

Mr. Veeraphat Phetcharakupt, Ph.D

Ms. Suwannee Limpanavongsaen

Mr. Satit Choochote

Associate Member

Mr. Chitchai Jamgomai

Mr. Teeranun Mingmai

Roles and Duties of IT Steering Committee

1. Define the scope and framework for overseeing and managing information technology, and identify the relevant stakeholders involved.
2. Approve policies for overseeing and managing information technology and ensure that procedures, methods, and related processes are aligned with the policy. Communication with relevant employees must be ensured.
3. Supervise and promote the management of information technology and digital innovation to align with the company's goals and policies, as well as comply with laws and regulations set by supervisory authorities.
4. Have the authority to appoint sub-committees, working groups, and/or individuals to perform tasks beneficial to the duties within the scope of authority related to overseeing and managing information technology.
5. Approve the operational framework and plans related to the management of information technology and digital innovation and ensure that the framework is reviewed at least once a year or whenever there are significant changes, ensuring compliance with laws, announcements, and regulatory requirements.
6. Oversee and promote the use of information technology and digital innovation to align with business strategy, ensuring flexibility to adapt to changes in the information technology environment and consider future business operations.
7. Promote and support the management of IT personnel by equipping them with appropriate tools, keeping them up to date with rapidly changing technology, and making them aware of potential new cyber threats to support the company's success in information technology and digital innovation. Additionally, promote learning about the use of information technology and digital innovation among executives and employees to apply it efficiently in their tasks.
8. Require reports on the oversight of information technology and digital innovation to be submitted to the Board of Directors at least annually or whenever significant events occur that impact on the company.