

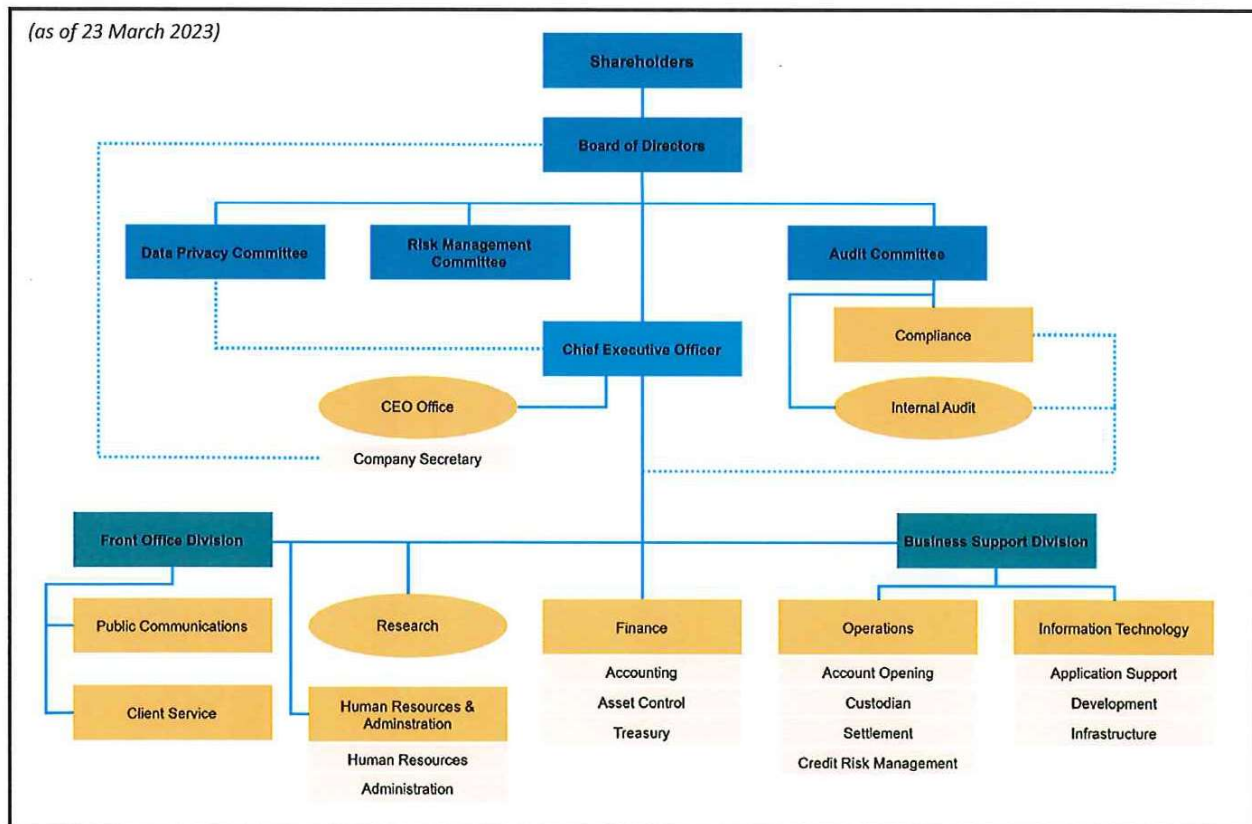
**COMPLIANCE CHARTER  
OF  
GMO-Z COM SECURITIES (THAILAND) PUBLIC COMPANY LIMITED**

**1. PURPOSE OF COMPLIANCE CHARTER**

The purpose of this Compliance Charter is to establish the roles and functions of the Compliance Department.

**2. COMPLIANCE DEPARTMENT**

The Compliance Department was established primarily as a supervisory role for every management level within the Company to ensure that the Company complies with all applicable laws, rules, regulations and guidelines governing the Corporation's business. The structure of Compliance Department is shown as below.



**3. ROLES AND RESPONSIBILITIES**

The scope of Compliance Department's roles and responsibilities covers all relevant business areas of the Company which include:

- Identify and maintain a registry with all compliance obligations including compliance with laws, primary legislation, directives, rules and standards issued by legislators and supervisors, market conventions, codes of practice promoted by industry associations etc.
- Assess the possible impact to the Company of any changes in the legal or regulatory environment.

- Facilitate and monitor the implementation of actions to ensure timely and effective compliance with regulatory obligations.
- Perform compliance reviews/audits in accordance with the relevant methodology, identifying compliance weaknesses and risks. Make recommendations for mitigating such risks and report their findings as appropriate and follow up timely implementation of mitigating actions.
- Promote and facilitate a corporate culture of compliance, integrity and ethical values within the Company based on full understanding of regulations,
- Raise awareness and ensure compliance culture is appropriately disseminated at all hierarchical levels by developing policies, examples, communication and training for all staff regarding the need for compliance and their responsibilities relevant to compliance.
- Assist, support and advise the Board of Directors and/or its Committees, the Senior Management and other relevant staff in fulfilling their responsibilities to manage compliance risks
- Provide guidance to all staff upon receiving orally or in writing compliance queries.
- Participate in an advisory capacity, providing feedback on compliance obligations, risks, and controls in establishing new products, services, and procedures as well as for the development of new markets and significant changes to existing ones.
- provide training to the relevant departments on new statutory and regulatory Compliance requirements and promoting the adoption of compliance culture within the Company.
- submit periodic as well as ad hoc reports to the Audit Committee on matters relating to its purpose, authority, responsibility, and performance in relation to the Compliance Program as this is reflected in its annual compliance plan. Such reporting includes information on compliance regulatory or internal developments, significant compliance risks or control issues or breaches and incidents identified during compliance reviews/audits etc. and recommendations on how to mitigate such risks.
- Submit correspondence in connection with compliance matters to government agencies or regulators.
- Submit the annual compliance report to the Office of Securities and Exchanges Committee (SEC) and the Stock Exchanges of Thailand (SET).

#### **4. INDEPENDENCE**

Compliance Department is independent from the business activities and support units. Compliance staff does not perform any tasks that fall within the scope of the activities that compliance function is intended to monitor and control or create potential conflicts of responsibilities.

#### **5. AUTHORITY AND ACCOUNTABILITY**

The Compliance Department shall have unfettered and direct access to all activities in its area of responsibility including but not limited to all documentation, systems (e.g. complaints register, whistleblower reports and files) and access to the employees of the Company which the Compliance Department's reasonably believe are necessary to execute its responsibility effectively.

The Compliance Department will comply with all relevant standards, guidelines, policies, procedures and directives issued by internal and external authority.

**6. REVIEW AND AMENDMENT OF CHARTER**

This Charter will be reviewed at least annually, or as needed to ensure it reflects developments in applicable laws and regulations, sound corporate governance, internal rules, and policies as well as industry standards and best practices.

**7. REVISION HISTORY**

Date	Status	Details of Revision
26 September 2017	Cancelled	-
17 February 2022	Cancelled	- Modified the entire charter
6 May 2022	Cancelled	- Changing the Company's name due to public conversion
16 February 2023	Cancelled	- An annual review
26 May 2023	Effective	- Revise Organization Chart

This Compliance Charter is effective from 26 May 2023 onwards.

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