



Privacy Notice of Collection of Personal Data

(Employee)

Effective from 23 August 2023

In compliance with Section 23 of the Personal Data Protection Act B.E. 2562 (2019) (“PDPA”) and its amendments, including relevant laws and regulations, Pine Wealth Solution Securities Company Limited (the “Company”) has prepared this document for the purpose of informing details of the collection, use and disclosure of Personal Data¹ (“Data Processing”) of employee and staff of the Company (“you”) with the following details.

This Privacy Notice applies to:

- (1) **Employee** such as a job applicant, a full-time employee, contract employees, temporary staff, employees under employment of employment service providers (Outsource) and freelancers who come to work for the company, staff, officials, representatives, shareholders, authorized persons, directors, contact persons, representatives of the Company and different types of employees, as the case may be.
- (2) **Apprentice** such as an applicant for an internship and students/interns who have been selected and wish to do internships with the Company during their studies.

1. Collection of Personal Data

The Company will collect your Personal Data which may include the following information. This may differ depending on the case and the nature of the activities that the Company needs to process your data.

- **Specific Personal Data**, such as name, surname, date of birth, age, gender, nationality, religion, photograph, signature, marital status, military status, ID card number or passport number, or other identifiable government documents.
- **Contact information**, such as residential address, email address, phone number, and other similar information.
- **Information about education and training**, such as educational background, transcript or diploma supplement, name of institute, faculty, field of study and year of graduation, academic results, test results, training or internship history, certificates of qualifications specified in the application, abilities, and potential development, and your other qualifications, professional qualifications language ability and other abilities.

¹ “Personal Data” means any information relating to an identifiable person, either directly or indirectly i.e., name surname ID card number, bank account number, photo, email address, phone number, device information and location, IP address and Cookie ID., but excluding the information of a deceased person in particular.



- **Information about previous work**, such as work history work experience. This includes positions, salaries, performance assessment results, name, number, and age of members of the previous provident fund.
- **Information about applying for a job**, such as personal record, work history, cover letter, information according to the documents that you deliver to the Company, such as the information shown in the Resume / Curriculum Vitae (CV), expected salary, job interview information, introduction video, information that you give to the Company during a job interview, evidence or reference letters and information appearing in the interview evaluation form, other information necessary for recruitment and selection such as assessment results, knowledge and experience, personal attributes, working with others, and certificate documents for consideration, etc., including any other information related to job application, job interview, and employment considerations.
- **Information used as evidence for applying for a job or making legal transactions**, such as a copy of an ID card, copy of passport, copy of name change certificate, copy of house registration, copy of military service certificate, copy of book bank, work permit, driver's license, car registration book, and other identifiable items, such as an auditor's license, and a lawyer's license, any other licenses related to your position; beneficiary identification form, insured registration form, letter of consent for personal history examination, report on the results of a background check.
- **Information during work**, such as employee code, position, department, affiliation, performance appraisal, work behavior, achievements and/or awards received, relevant information for contract performance, care of welfare benefits, training information, disciplinary action information, information appearing in the personnel transfer letter, personnel loan agreement, information on participation in activities with the Company, work goals, information on conduct or work discipline, resignation letter, and reason for resignation, reason for termination of employment.
- **Security-related information**, such as records of Company systems, information about access to the workplace, information about reporting an accident, and safety in the workplace, information about operational travel, or related to work duties.
- **Information about benefits and compensation**, such as salary, wages, benefits, bonuses, details about gratuities, welfare, bank account numbers, letter of consent to deduct salary, beneficiary information, information about social security, information about provident funds, tax information, and tax deductions, health benefits information, and/or other benefits, Personal Data shown in the medical certificate annual health report, maternity leave notification form, claim form (for accident insurance and life insurance).



- **Information about registration statistics**, such as date of commencement of work, trial due date, date, and time of entry to work, hours worked, number of hours worked overtime, annual leave, leave days, leave notification form, leave details Including reasons for leaving.
- **Information obtained from various tests**, such as habits, behaviors, attitudes, aptitudes, leadership skills, the ability to work with others, emotional intelligence, discipline, or other traits which may be acquired through observation, and analysis of the Company during your participation in activities with the Company or affiliated companies.
- **Technical information**, such as computer traffic data (Log), IP Address, and cookies, or other similar technologies, including communication data and the use of computer equipment, the internet, e-mail, and the Company's communication equipment during work.
- **Other data**, such as sounds, still images and/or movies obtained from CCTV cameras, as well as any other information obtained from participation in activities or campaigns organized by the Company or its affiliates.
- **Third party information you provide or information that the Company obtains from third parties**, such as other Personal Data which you certify to the Company that you have received consent from such person to disclose information to the Company, including consenting to the Company process the Personal Data of that person for the purposes stated in this Privacy Notice, namely, name, last name, occupation, workplace and telephone numbers of spouses, children, parents or family members that the Company can contact in case of emergency or the person you refer to for verification and certification of work and/or work guarantor including information provided by third parties about details, behaviors about employees or trainees.
- **Other Personal Data that has been consented to during the operation**, such as the information that you have given consent to the Company during work or during your participation in activities with the Company or its affiliates.

In case where the Company collects Personal Data from sources other than the data subjects, for example inquiries made by third parties, the Company will notify you within the period of time as prescribed by the PDPA, and request consent to collect the Personal Data from you, except where exempted by law from the need to request consent from or notify the data subject.

2. Principles for collecting Personal Data

The Company will collect Personal Data only as long as necessary for the fulfilment of the purposes in accordance with applicable laws, with data subjects notified prior to or at the time of collection of Personal Data. The Company shall obtain explicit consent from data subjects prior to or at the time of collection of



Personal Data, except under the following circumstances, where the Company may collect Personal Data without requesting consent.

- To fulfill purposes relating to the preparation of historical documents or archives on public interest grounds or relating to research studies or statistics. In such cases the Company will implement appropriate security measures to protect the fundamental rights and freedoms of data subjects.
- To prevent or to avoid danger to an individual's life, body or health.
- To comply with an agreement, only to the extent that it is necessary to do so, to which the data subject is a party or in order to take steps requested by the data subject prior to entering into an agreement.
- To carry out tasks, only to the extent that it is necessary to do so, for the public interest or in the exercise of official authority vested in the Company.
- For the purposes of legitimate interests pursued by the Company or by third parties or by other juristic persons, except where such interests are overridden by the fundamental rights and freedoms of data subjects.
- To comply with laws.

When collecting sensitive Personal Data, the Company shall obtain explicit consent from data subjects prior to or at the time of collection, unless the law states as an exception, consent is not required or notified to the data subject.

3. Use and disclosure of Personal Data

3.1 Where necessary, the Company will process your sensitive Personal Data with your explicit consent before or while collecting your Personal Data, the Company will process such sensitive Personal Data for the purposes prescribed by law and according to the objectives that the Company has informed in the following cases:

- 1) Health information such as disability, congenital disease, color blindness, physical examination results, blood type, medical certificate, medical history for labor protection, social security, employee welfare benefits according to employee rights, assessment of work ability, including compliance with relevant laws.
- 2) Information about criminal history which will be collected from the documents you show, or you agree to be examined by an agency with legal authority to consider the suitability of the work only certain positions specified by the Company.
- 3) Information about religion in order to provide facilities, activities and welfare that are suitable for employees including to be used in the management of equal and fair treatment of employees according to human rights principles.



- 4) Other sensitive Personal Data for legitimate purposes, such as to prevent or suppress harm to an individual's life, body or health in the event that you are unable to give consent and for publicly available information with your explicit consent to exercise legal claims to achieve the objectives concerning labor protection social security and employee welfare.

3.2 If you do not wish the Company to collect, use and disclose your sensitive Personal Data, you can object to the processing by completing the consent form at that time or withdraw consent later at any time by contacting the Human Resources Department.

However, in the event that you do not wish for sensitive Personal Data to be processed as specified in clause 3.1, but such sensitive Personal Data appears on identification cards, house registration or any other documents that you have voluntarily disclosed to the Company, such as race, blood group information or religious information and you have delivered any information which appears to have such information to the Company whether it is delivered in a document form or any other media, the Company advises you to keep these sensitive information confidential. by yourself by way of crossing out sensitive Personal Data. However, if you do not conceal the information yourself, the Company assumes that you have expressly authorized the Company to conceal these information for you and it is assumed that the information you have submitted which the Company has managed to conceal sensitive information for you as a complete document enforceable under the laws and allow the Company to be able to process under the Personal Data Protection Act B.E. 2019. However, if it is the case that the Company cannot manage to conceal sensitive information for you due to technical problems or any other problem, the Company will only collect this sensitive information as part of your identity document.

4. Source of Personal Data

In general, the Company collects and receives your Personal Data received directly from you which may be in document form or electronic data or may ask you to fill in the documents provided by the Company or fill in the online platform specified by the Company. However, due to the nature of certain types of activities, there may be cases where the Company needs to process some of your information. This may be information that the Company receives from sources other than from you.

The details of the channels for obtaining information are as follows:

4.1 Personal Data that you provide directly to the Company.

You may provide Personal Data directly to the Company, for example when you submit a job application and supporting documents to the Company, information during work, including information obtained from entering into contracts with the Company and information obtained from the delivery of various documents containing your Personal Data to the Company, or accessing the Company's website system through cookies, etc.



4.2 Personal Data obtained by the Company from third parties.

The Company may obtain your Personal Data from third parties and/or any other person who is the data controller or processing Personal Data where the Company believes in good faith that those persons is the person who has the right to process your Personal Data and have the right to disclose your Personal Data to the Company, including information obtained from telephone correspondence and information obtained from various forms, documents occurred during work with the company, etc.

In the event that the Personal Data is collected by the Company from sources other than the data subject directly, such as inquiries from third parties, the Company will notify you within the period specified by the Personal Data Protection Act, including will proceed to obtain consent for the collection of such Personal Data from you. Unless the data subject is exempt from the need to obtain consent or notify the data subject as required by law.

5. Purpose of processing Personal Data

The Company will collect only Personal Data that is necessary, with the following objectives.

- 5.1 To carry out recruitment procedures (e.g. recruitment, selection, hiring decisions), application for employment, job interview, evaluation of qualifications based on the information contained in the job application, suitability and qualifications as well as performance, background checks and screening in case you are offered a job with the Company, checking your information against the list of prohibited persons, approval of applications for employment, contacting you about the position you are applying for (e.g. contacting you whether your application has been approved or rejected).
- 5.2 To carry out the recruitment process, contract signing, determination of detailed information about employment, orientation and employment certification, communicating and disseminating information to you, contacting you and your contact person in an emergency, requesting a work permit, processing of leave to comply with the Company's work regulations, carrying out organizational development activities, providing opportunities and activities for learning and development, scholarship, organizing training and referrals and reporting, processing registration and renewal of professional licenses and certifications, giving cards and information to use in and out of offices or workplaces, providing references and advice, performance evaluation based on evaluation reports, probation management, promotion, work talent and succession program as well as disciplinary investigations.
- 5.3 For the implementation of labor contracts, any other contract that you are a party to with the Company, in which the Company is required to receive your Personal Data correctly and completely. However, if you do not wish to provide such Personal Data to the Company, there may be legal implications or may cause the Company inability to perform or grant rights under a contract entered



into with you or unable to enter into a contract with you (as the case may be). In such cases, the Company may refuse to enter into a contract with you or provide benefits related to you whether in whole or in part.

- 5.4 For management, including analysis and planning for salaries, wages and compensation, making salary/net income figures, issuance of certificate, issuing payment documents, provident funds, social security, compensation funds, severance payments, rewards and awards, legal and voluntary tax deductions and contributions, processing insurance claims (e.g. life insurance, accident insurance, health insurance), allowing employees to request benefits such as loans, housing expenses annual health check, medical treatment.
- 5.5 In the event that the Company will process your Personal Data in a manner and/or for a purpose that is inconsistent with the specified purpose. The Company will provide additional notices regarding Personal Data protection and/or inform you to explain the processing of data in such a manner. You should read additional related announcements together with this Privacy Notice and/or such letters (as the case may be)
- 5.6 Processing related to leaving employment, provision of services after termination of employment, certification termination/termination and the interview in case of leaving the job.
- 5.7 The Company processes Personal Data based on or on the basis of (1) consent. to process your information (2) contract performance basis for starting a contract or entering into a contract or the performance of a contract with you (3) the basis of the Company's legal duties (4) legitimate interest base of the Company and of third parties (5) the basis for preventing or suppressing danger to life, body, or health of individuals and/or (6) the public benefit base for carrying out missions for the public benefit or performing duties in the exercise of state power or other legal bases as specified by the laws on Personal Data protection, as the case may be.

6. Disclosure of Personal Data

- 6.1 The Company may disclose your Personal Data under the specified objectives and by law to the following persons and entities:
- 1) Parent company, affiliated companies and/or companies in the group located in Thailand and other countries, including executives, directors, employees and/or internal personnel of such companies as far as relevant and as necessary for the processing of your Personal Data.
 - 2) Service providers regarding the recruitment process and selecting personnel, hiring, and making salary, paying a salary security, background check, feature and capability testing, platforms third-party websites, life insurance company, contract hospital, including other information system developers provided by the Company and other necessary persons for the Company can run a



business and provide services to employees including it is reasonable to disclose your Personal Data in order to achieve the Company's business objectives.

- 3) Affiliated companies, business partners, employers, consultants, customers of the Company, persons at the company participate in bidding for work or offer to sell products or provide services, including third parties who have a reasonable need to disclose your Personal Data.
- 4) Government agencies or regulatory bodies having legal powers and duties and government agencies that have the power to request Personal Data, such as the Securities and Exchange Commission Stock Exchange of Thailand, Anti-Money Laundering Office, Office of the National Anti-Corruption Commission, Royal Thai Police, Prosecutor's Office, court, investigators, prosecutors, Legal Execution Department, official receiver, execution officer, Ministry of Labor, Social Security Office, Department of Employment, Revenue Department, Department of Skill Development, Student Loan Fund, government official, or any other organization that has authority and duties as required by law to request Personal Data, including may be disclosed to government agencies and government officials for the benefit of the Company's own litigation.
- 5) Personal data processor, which is an external service provider, is necessary to have access to Personal Data to perform the duty of processing Personal Data according to the Company's orders as specified in the agreement between the personal data controllers and personal data processors according to the Data Processing Agreement (DPA), including those acting on behalf of the Company or jointly with the Company to carry out related purposes as specified in this Privacy Notice and it is necessary to obtain your Personal Data.

6.2 The Company will require those who receive information to have appropriate measures to protect your information and process such Personal Data only as necessary and will take steps to prevent it from being used or disclose Personal Data without lawful authority, including operations under the objectives specified in this Privacy Notice or other purposes that are permitted by law only. In the event that the law requires your consent, the Company will ask for your prior consent.

7. Sending or transferring Personal Data abroad

- 7.1 The Company may need to send or transfer your Personal Data to the parent company, affiliated companies and/or companies in the group located abroad which may not provide an adequate level of protection for Personal Data as required by law; for performance management purposes, organizational structure improvement, compensation management, personnel manpower and other personnel management that are relevant and appropriate for you.
- 7.2 The Company may store your information on a server computer, or a cloud provided by someone else, and may use other people's programs or applications in the form of providing ready-made software and ready-made platform services to process your Personal Data, but the Company will not



allow it to provide unrelated persons with access to Personal Data and will require those other people to have appropriate security protection measures.

8. Period for Personal Data retention

The Company will retain your Personal Data for as long as necessary in order to achieve the objectives specified in this Privacy Notice and to comply with legal and regulatory obligations. The period for storing Personal Data may vary as follows.

- According to the period specified by law regarding the retention of Personal Data, such as the Accounting Act B.E. 2543, the Anti-Money Laundering Act B.E. 2542, the Counter Terrorism Proliferation of Weapon of Mass Destruction Financing Act B.E. 2559, Computer Crime Act B.E. 2550, Labor Protection Act B.E. 2541, and the Revenue Code, etc.
- In cases where the retention period for Personal Data is not specified by relevant laws, the Company will determine the period necessary and appropriate for its operations.

At the end of such a period, the Company shall delete, destroy, or anonymize Personal Data.

9. Rights of Personal Data Subjects

Under the PDPA, you have the following rights:

- **Right to withdraw consent** You have the right to withdraw your consent for the processing of Personal Data that you have given to the Company throughout the period in which the Personal Data is kept by the Company. However, the revocation of consent will not affect the processing of Personal Data for which legal consent has been given.
- **Right of access** You have the right to access your Personal Data and request the Company to make a copy of such data, including the right to ask the Company to disclose any acquisitions of your Personal Data for which consent has not been given.
- **Right to rectification** You have the right to request the Company to rectify incorrect or incomplete data that may cause misunderstandings or add incomplete information.
- **Right to erasure** You have the right to request the company to delete or destroy your Personal Data if it is found that it is not necessary to keep it for the purposes of collecting, using or disclosing Personal Data or in the event that you have withdrawn your consent and the Company has no power to continue processing that Personal Data or in the event that you have exercised the right to object to the processing of Personal Data and the Company unable to provide reasons for refusing objection or in cases where such processing of Personal Data is unlawful
- **Right to restriction of processing** You have the right to request the Company to suspend the processing of Personal Data while awaiting verification of the correctness of the Personal Data as you



have requested to correct it, or request to suspend use instead of deleting Personal Data or during the Company's proof to refuse to exercise your right to object.

- **Right to data portability** You have the right to obtain Personal Data about yourself from the Company, request the Company to send or transfer such Personal Data to other data controller, and obtain Personal Data that the Company send or transfer to other data controller.
- **Right to object** You have the right to object to the processing of Personal Data. In the event that the Company process Personal Data for the legitimate interests of the Company or of other person or juristic person to perform duties for the public benefit or use the state power of the Company for direct marketing purposes or for scientific research history or statistics.

In this regard, you can contact the Company or the Personal Data Protection Officer (as detailed in Clause 10) in order to submit a request for action under the above rights, however, the Company may refuse to exercise your above rights in accordance with the rules prescribed by the Company without contrary to the laws. In the event that the Company rejects the above request, the Company will inform you of the reason for the refusal.

In addition, the data subject has the right to lodge a complaint with the Personal Data Protection Committee in the event that the Company, data processors, employees or contractors of the Company violates or fails to comply with the PDPA, or announcements issued under the said Act.

10. Information regarding third parties

If you provide Personal Data of any third party such as your spouse, children, father, mother, family members, beneficiary persons to contact in case of emergency, reference persons and other relevant persons in which you certify that you have the authority to provide the Personal Data of such person and has a duty to allow such person to allow the Company use such Personal Data in accordance with this Privacy Notice. In addition, it is your responsibility to notify such people and obtain the relevant consent of such people.

11. Channels to contact the Company

Regarding Personal Data: Contact the Data Protection Officer (DPO).

Address: Pine Wealth Solution Securities Company Limited
989 Siam Piwat Tower Building, the 9th floor, Rama 1 Road, Pathum Wan, Pathum Wan, Bangkok 10330

E-mail: dpo@pinewealthsolution.com

General matters: Contact Human Resources Department

Address: Pine Wealth Solution Securities Company Limited
989 Siam Piwat Tower Building, the 9th floor, Rama 1 Road, Pathum Wan, Pathum Wan, Bangkok 10330



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12. Changes to this Privacy Notice

The Company may change or update this Privacy Notice from time to time and we will inform the updated Privacy Notice at our website www.pinewealthsolution.com.