

Applicant's personal record and firm's profile

Instruction

- a. If there is insufficient space for any section of the form, you may photocopy the relevant page(s) and submit as part of this application.
- b. Please mark an X in the appropriate box corresponding to your answer
- c. Send complete and signed form to
Accounting Supervision Department
The Securities and Exchange Commission, Thailand
333/3 Vibhavadi-Rangsit Road, Chomphon, Chatuchak Bangkok 10900, Thailand
Tel. +66 1207 or +66 2695 9587
Fax. +66 2695 9793
e-mail : oca@sec.or.th

1. Applicant details

Mr. Miss Mrs. Other (please specify) _____

Full name as per Passport _____

Date of birth (DD/MM/YYYY) _____

Passport number _____ Identification number _____

Country of issue of Passport _____

CPA license number _____ Issued by _____

Country _____

Home address _____

City _____ State _____

Postcode _____ Country _____

E-mail address _____ Telephone number _____

Fax number _____ Mobile phone number _____

2. Principal place of practice

Firm Name _____

Position in the firm _____

Address _____

City _____ State _____

Postcode _____ Country _____

E-mail address _____ Telephone number _____

Fax number _____

3. Experience in capital markets

Are you currently allowed by law to audit the financial statements of the public interest entities whose shares are traded in the main board of the foreign stock exchange?

Yes No

If yes, please specify the name and country of the stock exchange

Do you have any experience relating to the audit of the financial statements of the public interest entities whose shares are traded in the aforementioned stock exchange?

Yes No

If yes, Please specify the years of experience _____

Please provide the name and details of the listed entities that you have been an auditor in the latest year before filing the application for registration as a foreign auditor in the capital market

Currency Unit _____

No.	Company Name	Type of business	Fiscal Year Ended	Total Assets	Total Revenue	Net Profit	Your Responsibility*
1.							
2.							
3.							
4.							

* Signing Partner, Engagement Partner, Engagement Quality Control Reviewer and etc.

4. Registration with an audit oversight authority¹

4.1 Are you currently a registered auditor under the audit oversight authority?

Yes No

If yes, please state the –

Name of the authority _____

Your Registration number _____

Contact Person of the authority _____

Business Address of the authority _____

¹ Audit Oversight Authority means a foreign authority which exercises function corresponding to the SEC Thailand: -

(a) registration and renewal of an applicant as a registered auditor, and
 (b) regularly review or inspect the quality of work of the registered auditors and their audit firms in accordance with International Standards on Auditing and International Standard on Quality Control 1.

Website of the authority _____

Telephone number of the authority _____

E-mail of the authority _____

4.2 Is the audit oversight authority you registered with a member of International Forum of Audit Regulators ("IFIAR²")?

Yes No

If you answered "Yes" please skip to the question number 4.5

4.3 Is the audit oversight authority you registered with in the country that is recognised by the European Commission as equivalence country in term of the quality of the audit oversight system³?

Yes No

If you answered "Yes" please skip to the question number 4.5

4.4 Is the audit oversight authority you registered with in the country that was assessed under the FSAP⁴ and earned at least "Broadly Implemented" assessment results in the part relating auditors?

Yes No

4.5 Have you ever been inspected by the audit oversight authority?

Yes No

If yes, please summarized the results of inspection in the space below

5. Declaration I hereby declare that all information provided in this application and its attachments are true and correct.

Full name as per Passport _____

Signature _____

Date signed (DD/MM/YYYY) _____

² www.ifiar.org

³ <http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:02011D0030-20130701>

⁴ <https://www.imf.org/external/np/exr/facts/fsap.htm>

