



**Ho Chi Minh City Securities Corporation (HSC)**

**HEAD OFFICE**

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**Số: 03/2018/CV-CBTT**

No: 03/2018/CV-CBTT

TP. Hồ Chí Minh, ngày 19 tháng 01 năm 2018  
Ho Chi Minh City, 19 January 2018

## **CÔNG BỐ THÔNG TIN** **INFORMATION DISCLOSURE**

**Kính gửi / To:**

- Ủy ban Chứng khoán Nhà nước  
*The State Securities Commission*
- Sở Giao dịch Chứng khoán TP. Hồ Chí Minh  
*Ho Chi Minh Stock Exchange*
- Sở Giao dịch Chứng khoán Hà Nội  
*Ha Noi Stock Exchange*

Công ty: **Công ty Cổ phần Chứng khoán TP. Hồ Chí Minh**  
Name of Company: **Ho Chi Minh City Securities Corporation**

Mã chứng khoán: **HCM**  
Securities symbol: **HCM**

Địa chỉ trụ sở chính: Tầng 5&6, Tòa nhà AB, 76 Lê Lai, P. Bến Thành, Quận 1, TP. Hồ Chí Minh  
Head quarter address: Level 5&6, AB Tower, 76 Le Lai Str., Ben Thanh Ward, Dist., 1, HCM City

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Người thực hiện công bố thông tin: Bà Trương Ngọc Quỳnh Tiên  
Submitted by: *Ms. Truong Ngoc Quynh Tien*

Chức vụ: Giám đốc Truyền Thông  
Position: *Communications Director*

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Loại công bố thông tin: ☐ 24 giờ      ☒ định kỳ      ☐ bất thường      ☐ theo yêu cầu  
Information disclosure type: ☐ 24 hours      ☒ Periodic      ☐ Irregular      ☐ On demand

Nội dung thông tin công bố:  
The content of information disclosure:

Báo cáo tình hình quản trị công ty năm 2017.  
Report on FY 2017 Corporation Governance of Ho Chi Minh City Securities Corporation.

Thông tin này đã được công bố trên trang thông tin điện tử của công ty vào ngày 19/01/2018 tại đường dẫn <http://www.hsc.com.vn/vn/investor/information-disclosure>



This information was disclosed on HSC webpage on 19 January 2018 and available at <https://www.hsc.com.vn/en/investor/information-disclosure>

Chúng tôi xin cam kết các thông tin công bố trên đây là đúng sự thật và hoàn toàn chịu trách nhiệm trước pháp luật về nội dung các thông tin đã công bố.

*We declare that all information provided in this paper is true and accurate; we shall be legally responsible for any misrepresentation.*

**Người được ủy quyền CBTT**  
**For and on behalf of HSC**  
**Representative authorized to disclose information**



**Trương Ngọc Quỳnh Tiên**  
**Giám đốc Truyền thông**  
**Communications Director**

**Tài liệu đính kèm/ Attached file:**

Báo cáo tình hình quản trị công ty số 02/2018/CV-HĐQT ngày 19/01/2018;  
Report on FY2017 Corporation Governance No. 02/2018/CV – HĐQT dated 19 January 2018;





No.: 02/2018/CV-HĐQT

Ho Chi Minh City, 19 January 2018

## REPORT ON CORPORATION GOVERNANCE OF HO CHI MINH CITY SECURITIES CORPORATION (Year 2017)

*(Information disclosure version)*

**To:** - The State Securities Commission  
- Ho Chi Minh Stock Exchange  
- Hanoi Stock Exchange

- Name of Company: **Hochiminh City Securities Corporation (HSC)**
- Address of headoffice: Level 5&6, AB Tower, 76 Le Lai Str., Ben Thanh Ward, Dist.1, HCMC
- Telephone: (+84 8) 23823 3299 Fax: (+84 8) 23823 3301
- Charter capital: VND 1,297,567,580,000
- Securities code: HCM

**I. Activities of the General Meeting of Shareholders ("AGM")**

The Annual General Meeting of Shareholders of the fiscal year 2016 ("AGM 2016") was organized in 2017. The contents of the AGM 2016 Resolution as detailed belows:

No.	Resolution No.	Date	Content
01	01/2017/NQ-ĐHĐCĐ	24/04/2017	<ul style="list-style-type: none"> <li>- Approved the report on the FY2016 activities of the Board of Directors;</li> <li>- Approved the FY2016 Income Statement;</li> <li>- Approved the FY2017 Business plan;</li> <li>- Approved the report on the FY2016 Company's activities of the Supervisory Board;</li> <li>- Approved the Audited Financial Statement for the year ended 31 December 2016;</li> <li>- Approved the 2016 final cash dividend rate;</li> <li>- Approved the 2017 dividend plan;</li> <li>- Approved the 2016 profit distribution plan;</li> <li>- Approved the authorization to BOD to appoint an independent audit firm for the FY2017;</li> <li>- Approved the extension of foreign ownership limit to 100%;</li> <li>- Approved the allowance HSC to issue covered warrant products.</li> </ul>



## II. Board of Directors ("BOD")

### 1. Information about the members of the Board of Directors:

In 2017, the Board of Directors held nineteen meetings, in which eleven in-person and eight for seeking directors' writing approval.

No.	BOD's members	Position	Date becoming member of the Board of Directors	Date no longer member of the Board of Directors	Number of attendance	Percentage	Reasons for absence
01	Mr. Do Hung Viet	Chairman	21/04/2016		11/11	100%	Reappointed on 21/04/2016
02	Mr. Le Anh Minh	Vice chairman	21/04/2016		11/11	100%	Reappointed on 21/04/2016
03	Mr. Nguyen Thanh Liem	Vice chairman	21/04/2016		11/11	100%	Reappointed on 21/04/2016
04	Mr. Pham Nghiem Xuan Bac	Member	21/04/2016		11/11	100%	Reappointed on 21/04/2016
05	Mr. Le Thang Can	Member	21/04/2016		11/11	100%	Reappointed on 21/04/2016
06	Mr. Johan Nyvene	Member	21/04/2016		11/11	100%	Reappointed on 21/04/2016
07	Mr. Le Hoang Anh	Member	21/04/2016		11/11	100%	Appointed on 21/04/2016

### 2. Supervision by the BOD over the Board of Management ("BOM"):

The BOD supervised the implementation of contents of the resolutions of BOD and AGM. The details as follows:

- To complete and disclosure on time the FY2016 audited Financial Statement, the FY 2017 quarterly/ the semi – annual audited Financial Statement and the Annual Report 2016;
- To organize the FY2016 Annual General Meeting of Shareholders at New World Saigon Hotel on 24 April 2017;
- To monitor frequently the complement of the FY2017 business plan approved at AGM 2016. Total revenue of HSC in 2017 were 1,142 billion, increased by 72% y/y and 37% higher than target of 2017. This was the record revenue HSC achieved. The FY2017 profit after tax reached 554 billion, 82% higher than 2016, exceeding the FY2017 business plan approved at AGM 2016 by 53%;
- To set up and complete the FY2016 final cash dividend payment with the pay –out rate of 12% approved by AGM 2016 and to set up the FY2017 first interim cash dividend with the pay –out rate of 6% approved by BoD;
- To appoint and monitor the implementation of the FY2017 semi – annual and annual audited Financial Statements of the independent audit firm – Price Waterhouse Coopers Vietnam Co., Ltd;
- To monitor the preparation of human resources, operation process and trading system of the derivatives market and covered warrant products;
- To monitor the share issuance of optional employee share ownership plan (ESOP 2016) and the issuance of private placement bond;

### 3. Activities of the BOD's committess:

#### 3.1. Risk Management Committee ("RMC"):

- In 2017, full details are given to Appendix of Delegation of Authority Policy (DoAP): Spending Limit (Appendix B) and Government Bond Investment Limit (Appendix A) by Risk Management Division ("RMD"). Besides, Margin Lending Risk Management and Escalation Policy, Purchasing Policy and Commission Payment Policy for Distribution Share Service have been lauched.



- RMD enhances the Risk Management Framework to mitigate the risks surrounding HSC's various business functionalities.
- On a quarterly basic, RMD reports to RMC the list of all identified significant risks and remediation plans as well as supervising results.
- On a monthly basic, RMD submits the monthly transaction reports to RMC.
- RMC has to approve the transactions to be authorized regarding Delegation of Authority Policy at meetings.

### 3.2. Board Internal Audit Committee ("BAC")

Made the audits of processes and monitored the implementation of internal audit findings:

- In 2017, Internal Audit Function issued the reports of:
  - Anti – Money Laundering
  - Institutional Clients' Brokerage
  - Monitored the implementation of the audit report on process of Institutional clients' brokerage (the first time)
  - Monitored the implementation of the audit report on process of Lending margin (the first time)
- Internal Audit Function is making the audits of processes as follows:
  - Human Resource Management (the first time)
  - Individual clients' brokerage (the second time)
  - Monitoring the implementation of the audit report on process of Accounting and Financial Statements (the first time)
  - Monitoring the implementation of the audit report on process of Treasury Proprietary Investment Function (the first time)
- Report of the implementation of internal audit findings always presented in periodic meetings of BAC.

### 4. Resolutions/Decisions of BOD:

No.	Resolution No.	Date	Content
01	01/2017/NQ-HĐQT	17/01/2017	<ul style="list-style-type: none"> <li>- Reported the FY2016 business results;</li> <li>- Forecasted the FY2017 business plan;</li> <li>- Approved the time and the venue of AGM 2016 as well as the main contents of the proposals to be presented at AGM 2016;</li> <li>- Reported the implementation of operation process and trading system of the derivatives market;</li> <li>- Approved the total amount of the credit limit of banking loans in 2017;</li> <li>- Approved the recommendations of credit limit of banking loans (<i>the credit limit of banking loans was disclosure at Disclosure Information No. 02/2017/CV-CBTT dated 19 January 2017</i>);</li> <li>- Approved to sign the advisory contract between HSC and DC;</li> <li>- Approved the distribution rate of the Welfare and Reward Fund to be presented to AGM 2016,</li> </ul>
02	02/2017/NQ-HĐQT	13/03/2017 For seeking members' writing approval	Approved the recommendations of credit limit of banking loans ( <i>the credit limit of banking loans was disclosure at Disclosure Information No. 02/2017/CV-CBTT dated 19 January 2017</i> );
03	03/2017/NQ-HĐQT	24/03/2017	<ul style="list-style-type: none"> <li>- Approved the Q1.2017 business result forecast,</li> <li>- Approved to implement the Advisory and Management Services</li> </ul>



No.	Resolution No.	Date	Content
			<p>to Individual Client Account;</p> <ul style="list-style-type: none"> <li>- Approved officially to implement the operation process of covered warrant products;</li> <li>- Review to extend the foreign ownership limit to 100%;</li> <li>- Amended the agenda of AGM 2016;</li> <li>- Approved to amend the charter capital in HSC Charter after listing the 2,500,000 shares of ESOP 2016;</li> <li>- Approved to establish a new transaction office in Ha Noi – Hoan Kiem Transaction Office;</li> <li>- Approved to increase the total amount of credit limit of banking in 2017,</li> </ul>
04	04/2017/NQ-HĐQT	06/06/2017	Approved the recommendations of credit limit of banking loans <i>(the credit limit of banking loans was disclosure at Disclosure Information No. 02/2017/CV-CBTT dated 19 January 2017)</i>
05	05/2017/NQ-HĐQT	08/06/2017	Approved the recommendations of credit limit of banking loans <i>(the credit limit of banking loans was disclosure at Disclosure Information No. 02/2017/CV-CBTT dated 19 January 2017)</i>
06	06/2017/NQ-HĐQT	28/06/2017 For seeking members' writing approval	- Appointed Price Waterhouse Coopers Vietnam Co., Ltd; as the independent audit firm for the fiscal year 2017,
07	07/2017/NQ-HĐQT	27/07/2017	<ul style="list-style-type: none"> <li>- Approved the interim business result of FY2017;</li> <li>- Approved the adjustment of total amount of margin lending;</li> <li>- Approved to invest to the transaction system,</li> </ul>
08	08/2017/NQ-HĐQT	02/08/2017	Approved the recommendations of credit limit of banking loans <i>(the credit limit of banking loans was disclosure at Disclosure Information No. 09/2017/CV-CBTT dated 28 March 2017)</i>
09	09/2017/NQ-HĐQT	02/08/2017	Approved the recommendations of credit limit of banking loans <i>(the credit limit of banking loans was disclosure at Disclosure Information No. 09/2017/CV-CBTT dated 28 March 2017)</i>
10	09A/2017/NQ-HĐQT	25/08/2017	Approved the recommendations of credit limit of banking loans <i>(the credit limit of banking loans was disclosure at Disclosure Information No. 09/2017/CV-CBTT dated 28 March 2017)</i>
11	10/2017/NQ-HĐQT	29/08/2017 For seeking members' writing approval	Approved the adjustment of the total credit limit of HSC in FY2017.
12	11/2017/NQ-HĐQT	02/10/2017 For seeking members' writing approval	Approved the recommendations of credit limit of banking loans <i>(the credit limit of banking loans was disclosure at Disclosure Information No. 09/2017/CV-CBTT dated 28 March 2017)</i>
13	12/2017/NQ-HĐQT	06/10/2017	Approved the recommendations of credit limit of banking loans <i>(the credit limit of banking loans was disclosure at Disclosure Information No. 09/2017/CV-CBTT dated 28 March 2017)</i>
14	13/2017/NQ-HĐQT	25/10/2017	- Reported the business results of 9 months of the year 2017;



No.	Resolution No.	Date	Content
			<ul style="list-style-type: none"> <li>- Approved the main contents of bond issuance plan;</li> <li>- Approved the FY2017 first interim cash dividend;</li> <li>- Approved to authorize Chief Executive Officer to sign the Decisions regarding to purchase of the employees' shares participating ESOP 2016 who has resigned,</li> </ul>
15	14/2017/NQ-HĐQT	14/11/2017	Approved the recommendations of credit limit of banking loans (the credit limit of banking loans was disclosure at Disclosure Information No. 09/2017/CV-CBTT dated 28 March 2017)
16	15/2017/NQ-HĐQT	21/12/2017 For seeking members' writing approval	Approved to widen the workplace of Kim Lien Transaction Office in the North Region.
17	16/2017/NQ-HĐQT	25/12/2017 For seeking members' writing approval	Approved the adjustment of the FY2017 first interim cash dividend pay-out rate. The dividend pay-out rate is 6% of par value instead of 5% of par value.
18	17/2017/NQ-HĐQT	25/12/2017 For seeking members' writing approval	Approved the recommendations of credit limit of banking loans (the credit limit of banking loans was disclosure at Disclosure Information No. 09/2017/CV-CBTT dated 28 March 2017)
19	18/2017/NQ-HĐQT	28/12/2017 For seeking members' writing approval	Approved to change the address and the name of Cho Lon Transaction Office in the South Region.

### III. Supervisory Board ("BOS"):

#### 1. Information about the BOS:

In 2017, BOS held two meetings which all members attended and discussed the contents regarding the BOS authorities.

No.	Members of Supervisory Board	Position	Date becoming the member of BOS	Number of attendance	Percentage	Reasons for absence
01	Mr. Vo Van Chau	Head of BOS	21/04/2016	2/2	100%	Reappointed on 21/04/2016
02	Mr. Doan Van Hinh	Member	21/04/2016	2/2	100%	Reappointed on 21/04/2016
03	Ms. Dang Nguyet Minh	Member	21/04/2016	2/2	100%	Reappointed on 21/04/2016

#### 2. The supervising activities of BOS to BOD, BOM and Shareholders:

BOS's representatives attending all BOS quarter/request meetings updated the activities of the Company. In 2017, the main areas were overseen by BOS as below:

- Reported the supervisions of the FY2016 business results and the activities plan of BOS to the Shareholders at AGM 2016.
- Reviewed the decisions of BOD and BOM implementing the managing and operating activities in accordance with law and Company Charter.
- Monitored and supervised the activities of BOD and BOM implementing the FY2016 AGM Resolution.
- Monitored the FY2017 business performance and financial situations.
- Reviewed the FY2017 quarterly/semi-annual Financial Statements.

- Supervised the implementation of the internal audit processes of Internal Audit Function in 2017.
  - Supervised the implementation of the information disclosure as provided by law.
3. Coordination among BOS with the BOD, BOM and different managers:
- At BOD's meetings, BOS contributed straightly their opinions analysed and assessed to make the best decisions to be able to maximize the interest of stakeholders in 2017,
- In other hand, BOM and managers supplied enthusiastically the requested information to BOS in the process of supervising the Company activities. These favourable conditions gave BOS complete their tasks.
4. Other activities of the Supervisory Board:
- BOS together with Internal Audit Function and Board Internal Audit Committee supervised the implementation of internal audit processes of the Company in 2017.

**IV. Training on corporate governance:**

All members of BOD and BOS activitively participated the "Corporate Governance" Training Course; except for Mr. Pham Nghiem Xuan Bac, who was unable to attend.



V. List of affiliated persons of the public company as specified in clause 34, Article 6 of the Securities Law and transaction of affiliated persons of the Company with the Company

1. List of affiliated persons of the Company:

No.	Name of organization/individual	Securities trading (if any)	Position at the Company	ID card/Passport/ Certificate of business registration			Address	Time of starting to be affiliated person	Time of ending to be affiliated person	Reasons
				Number	Date of issue	Place of issue				
A	THE BOARD OF DIRECTORS									
01	Do Hung Viet		Chairman					21/04/2016		
02	Le Anh Minh		Vice Chairman					21/04/2016		
	Organization									
01	Dragon Capital Markets Limited (DC)		CEO of DCG			British Virgin Island	Unit 1501, 15 <sup>th</sup> Fl, Me Linh Point, No.02 Ngo Duc Ke Str., Dist. 1, HCMC			
03	Nguyen Thanh Liem		Vice Chairman			HCMC		21/04/2016		
	Organization									
01	Hochiminh city Finance and Investment state – own Company (HFIC)		Deputy Director	0300535140	13/04/2010	DPI of HCMC	33- 39 Pastuer Str., Dist. 1, HCMC			
04	Pham Nghiem Xuan Bac		Member					21/04/2016		
	Organization									
01	Vision & Associates		CEO	0100912017	18/05/1999	DPI of Hanoi	3 <sup>rd</sup> Floor, Hanoi Tower, 49 Hai Ba Trung Str., Hanoi			
02	Vision & Associates Legal		Chairman	01070392/TP /ĐKKD	02/08/2007	DPJ of Hanoi	3 <sup>rd</sup> Floor, Hanoi Tower, 49 Hai Ba Trung Str., Hanoi			
03	Cong Huong Corporation		Chairman	0103012948	07/07/2006	DPI of Hanoi	3 <sup>rd</sup> Floor, Hanoi Tower, 49 Hai Ba Trung Str., Hanoi			
04	Song Xuan Co. Ltd		CEO	0102025517	23/03/2006	DPI of Hanoi	3 <sup>rd</sup> Floor, Hanoi Tower, 49 Hai Ba Trung Str., Hanoi			
05	Le Thang Can		Member					21/04/2016		



No.	Name of organization/individual	Securities trading (if any)	Position at the Company	ID card/Passport/ Certificate of business registration			Address	Time of starting to be affiliated person	Time of ending to be affiliated person	Reasons
				Number	Date of issue	Place of issue				
	<b>Organization</b>									
01	Hochiminh city Finance and Investment state – own Company (HFIC)		Head of Investment Department	0300535140	13/04/2010	DPI of HCMC	33- 39 Pastuer Str., Dist. 1, HCMC			
06	Johan Nyvene (*)		BOD member cum CEO					21/04/2016		
	<b>Organization</b>									
01	Dragon Capital Markets Limited (DC)		Capital Representative of DC	184419	04/05/1996	British Virgin Island	Unit 1501, 15 <sup>th</sup> Fl, Me Linh Point, No.02 Ngo Duc Ke Str., Dist. 1, HCMC			
07	Le Hoang Anh		Member					21/04/2016		
	<b>Organization</b>									
01	Dragon Capital Markets Limited (DC)		Director	184419	04/05/1996	British Virgin Island	Unit 1501, 15 <sup>th</sup> Fl, Me Linh Point, No.02 Ngo Duc Ke Str., Dist. 1, HCMC			
02	VietFund Management (VFM)		BOD Member	01/GPĐT-UBCKNN	15/07/2003	SSC	Unit 1701-04 Me Linh Point, No. 2 Ngo Duc Ke Str., Dist.1, HCMC			
<b>B</b>	<b>SUPERVISORY BOARD</b>									
01	Vo Van Chau		Head of Supervisory Board					21/04/2016		
	<b>Organization</b>									
01	Kien Long Bank		BOD member cum CEO	0047/NH-GP	29/12/1993	NHNN	145-147-149 Hung Vuong Str., Ward 2, Tan An, Long An Province			
02	Doan Van Hinh		Member					21/04/2016		
03	Dang Nguyet Minh		Member					21/04/2016		
<b>C</b>	<b>BOARD OF MANAGEMENT</b>									
01	Johan Nyvene (*)		CEO					15/05/2007	The sme A6	



No.	Name of organization/individual	Securities trading (if any)	Position at the Company	ID card/Passport/ Certificate of business registration			Address	Time of starting to be affiliated person	Time of ending to be affiliated person	Reasons
				Number	Date of issue	Place of issue				
02	Trinh Hoai Giang		Deputy CEO					15/05/2007		
03	Le Cong Thien		Deputy CEO					12/08/2013		
D	CHIEF FINANCIAL OFFICER/ ACCOUNTING CHIEF									
	Lam Huu Ho		CFO/AC							
E	PERSON AUTHORIZED TO DISCLOSE INFORMATION									
	Truong Ngoc Quynh Tien		Communication Director					26/01/2017		

2. Transaction between Company and related persons, or between Company and major shareholders, internal persons and related persons of internal person:

No	Organization	Relationship	ID card/Passport/ID Certificate of business registration			Address	Time of transaction	Number of AGM/BOD Resolutions/ Decisions	Number and ownership proportion of shares hold after the transaction		Note
			Number	Date of issue	Place of issue				Number		
01	Dragon Capital Markets Limited (DC)	Related organization	184419	04/05/1996	British Virgin Island	Unit 1501, 15 <sup>th</sup> Fl, Me Linh Point, No.02 Ngo Duc Ke Str., Dist. 1, HCMC	December 2017	No. 01/2017/NQ-HĐQT dated 17/01/2017	39.278.810	30,29	

Note: HSC and DC signed the contract supplying advisory service such as market research, debt market, institutional broker and M&A ... The contract duration is 03 (three) years from 2017 to 2019 and the amount of the contract is VND 9.663.896.000 (including VAT).

3. Transaction between internal persons of Company and Company's subsidiaries, or the Company in which Company takes controlling power: No transaction
4. Transaction between Company and other objects:
  - 4.1. Transaction between Company and the company that the members of BOD and BOS and CEO has been a founding member or members of BOD and CEO in three years (calculated at the time of reporting): No transaction
  - 4.2. Transaction between Company and the company that related person of members of BOD, BOS and CEO: No transaction



4.3. Other transactions of Company may be beneficial material or immaterial for members of BOD, BOS and CEO: No transaction

## VI. Transactions of internal persons and related persons of internal persons

### 1. List of internal persons and their related persons

No.	Name	Securities trading account (if any)	Position at Company (if any)	ID card/Passport			Address	Number of shares owned at the end of period	Ownership of proportion of share at the end of period	Number of shares represented at the end of period	Representation of proportion of share at the end of period
				Number	Date of issue	Place of issue					
A	THE BOARD OF DIRECTORS										
01	Do Hung Viet		Chairman					17,968	0.01%	-	-
a	Organization										
b	Individual										
01	Nguyen Thi Bach Ngoc		Wife					-	-		
02	Do Tri Duc		Son					416	0,0003		
03	Do Nguyen Bao Chau		Daughter					-	-		
04	Do Anh Tuan		Brother					-	-		
05	Do Thi Xuan Mai		Younger sister					-	-		
06	Do Thi Xuan Lan		Younger sister					-	-		
07	Do Thi Thanh Thuy		Younger sister					-	-		



No.	Name	Securities trading account (if any)	Position at Company (if any)	ID card/Passport			Address	Number of shares owned at the end of period	Ownership of proportion of share at the end of period	Number of shares represented at the end of period	Representation of proportion of share at the end of period
				Number	Date of issue	Place of issue					
08	Do Quoc Hung		Younger brother					-	-		
<b>02 a</b>	<b>Le Anh Minh Organization</b>		<b>Vice Chairman</b>					<b>43,968</b>	<b>0.03%</b>	-	-
<b>01 b</b>	<b>Dragon Capital Markets Limited (DC) Individual</b>		<b>CEO of DCG</b>	<b>184419</b>	<b>04/05/1996</b>	<b>British Virgin Island</b>	<b>Unit 1501, 15<sup>th</sup> Fl, Me Linh Point, No.02 Ngo Duc Ke Str., Dist. 1, HCMC</b>			<b>19,639,405</b>	<b>15.15%</b>
01	Le Anh Dung		Father					-	-		
02	Pham Thi Nha		Mother					-	-		
03	Nguyen Thu Thuy		Wife					-	-		
04	Le Anh Phuong Vy		Daughter					-	-		
05	Le Anh Khang		Son					-	-		
06	Le Anh Quan		Brother					-	-		
07	Le Anh Huy		Brother					-	-		
08	Le Anh Quang		Younger brother					-	-		
<b>03</b>	<b>Nguyen Thanh Liem</b>		<b>Vice Chairman</b>					-	-	-	-



No.	Name	Securities trading account (if any)	Position at Company (if any)	ID card/Passport			Address	Number of shares owned at the end of period	Ownership of proportion of share at the end of period	Number of shares represented at the end of period	Representation of proportion of share at the end of period
				Number	Date of issue	Place of issue					
<b>a</b>	<b>Organization</b>										
01	Hochiminh city Finance and Investment state – own Company (HFIC)		Deputy Director	0300535140	13/04/2010	DPI of HCMC	33- 39 Pastuer Str., Dist. 1, HCMC	-	-	26,250,000	20.25%
<b>b</b>	<b>Individual</b>										
01	Le Thi Ngoc Dung		Wife					-	-		
02	Nguyen T. Thanh Thao		Daughter					-	-		
03	Nguyen Le Thien		Son					-	-		
<b>04</b>	<b>Pham Nghiem Xuan Bac</b>		<b>Member</b>					<b>290,000</b>	<b>0.22%</b>		
<b>a</b>	<b>Organization</b>										
01	Vision & Associates		CEO	0100912017	18/05/1999	DPI of Hanoi	3 <sup>rd</sup> Floor, Hanoi Tower, 49 Hai Ba Trung Str., Hanoi	-	-	-	-
02	Vision & Associates Legal		Chairman	01070392/TP /ĐKKD	02/08/2007	DPJof Hanoi	3 <sup>rd</sup> Floor, Hanoi Tower, 49 Hai Ba Trung Str., Hanoi	-	-	-	-
03	Cong Huong JSC		Chairman	0103012948	07/07/2006	DPI of Hanoi	3 <sup>rd</sup> Floor, Hanoi Tower, 49 Hai Ba Trung Str., Hanoi			450.442	0,35%
04	Song Xuan Co., Ltd		Director	0102025517	23/03/2006	DPI of Hanoi	3 <sup>rd</sup> Floor, Hanoi Tower, 49 Hai Ba Trung Str., Hanoi	-	-	-	-
<b>b</b>	<b>Individual</b>										
01	To Thi Anh Duong		Wife					-	-		
02	Pham Thu Nga		Daughter					-	-		



No.	Name	Securities trading account (if any)	Position at Company (if any)	ID card/Passport			Address	Number of shares owned at the end of period	Ownership of proportion of share at the end of period	Number of shares represented at the end of period	Representation of proportion of share at the end of period
				Number	Date of issue	Place of issue					
03	Pham Thu Huong		Daughter					-	-		
04	Pham Hoang Minh Thu		Sister					-	-		
05	Pham Nghiem Minh Thao		Sister					7	-		
06	Pham Nghiem Minh Thuy		Sister					-	-		
07	Pham Nghiem Xuan Binh		Brother					38	-		
05	Le Thang Can		Member					-	-		
a	Organization										
01	Hochiminh city Finance and Investment state – own Company (HFIC)		Head of Investment Department	0300535140	13/04/2010	DPI of HCMC	33- 39 Pastuer Str., Dist. 1, HCMC	-	-	11.250.000	8,68%
b	Individual										
01	Le Cong							-	-		
02	Chau Thi Hong							-	-		
03	Nguyen Thi Huong		Wife					-	-		
04	Le Ba Minh		Son					-	-		

No.	Name	Securities trading account (if any)	Position at Company (if any)	ID card/Passport			Address	Number of shares owned at the end of period	Ownership of proportion of share at the end of period	Number of shares represented at the end of period	Representation of proportion of share at the end of period
				Number	Date of issue	Place of issue					
05	Le Ba Hoang Quan		Son					-	-		
06	Le Ngoc An		Brother					-	-		
07	Le Duc		Brother					-	-		
08	Le Tri		Brother					-	-		
09	Le Thi Ngoc Chau		Younger sister					-	-		
06	Johan Nyvene (*)		BOD Member cum CEO					661.666	0,51%	-	-
a	Organization										
01	Dragon Capital Markets Limited (DC)		Capital Representative of DC	184419	04/05/1996	British Virgin Island	Unit 1501, 15 <sup>th</sup> Fl, Me Linh Point, No.02 Ngo Duc Ke Str., Dist. 1, HCMC			19,639,405	15.15%
b	Individual										
01	Nguyen Duc Hoa		Father					-	-		
02	Le Thi Sen		Mother					-	-		
03	Nguyen Thai Hang		Wife					-	-		



No.	Name	Securities trading account (if any)	Position at Company (if any)	ID card/Passport			Address	Number of shares owned at the end of period	Ownership of proportion of share at the end of period	Number of shares represented at the end of period	Representation of proportion of share at the end of period
				Number	Date of issue	Place of issue					
04	Vincent Nyvene		Son					-	-		
05	Anton Quốc Thái Nyvene		Son					-	-		
06	Nguyen Quoc Huy		Younger brother					-	-		
07	Nguyen Quoc Hung		Younger brother					-	-		
08	Nguyen Tuyet Hanh		Younger sister					-	-		
09	Nguyen Thi Lien Huong		Younger sister					-	-		
10	Nguyen Thi Cam Huyen		Younger sister					-	-		
11	Nguyen Quoc Hoang		Younger brother					-	-		
08	Le Hoang Anh		Member					-	-		
a	Organization										
01	Dragon Capital Markets Limited (DC)		Director	184419	04/05/1996	British Virgin Island	Unit 1501, 15 <sup>th</sup> Fl, Me Linh Point, No.02 Ngo Duc Ke Str., Dist. 1, HCMC				
02	Vietnam Fund Management		BOD Member	01/GPĐT-UBCKNN	15/07/2003	SSC	Unit 1701-04 15 <sup>th</sup> Fl, Me Linh Point, No.02 Ngo Duc Ke Str., Dist. 1, HCMC	-	-	-	-
b	Individual										



No.	Name	Securities trading account (if any)	Position at Company (if any)	ID card/Passport			Address	Number of shares owned at the end of period	Ownership of proportion of share at the end of period	Number of shares represented at the end of period	Representation of proportion of share at the end of period
				Number	Date of issue	Place of issue					
01	Le Phi Yen		Father					-	-		
02	Thai Thi Thanh Van		Mother					-	-		
03	Le Thi Huynh Mai		Wife					-	-		
04	Le Hoang Quoc Anh		Son					-	-		
05	Le Hoang Nhat Nam		Son					-	-		
06	Le Hoang Mai		Sister					-	-		
07	Le Nam Thang		Younger brother					-	-		
<b>B</b>	<b>THE SUPERVISORY BOARD</b>										
<b>01</b>	<b>Vo Van Chau</b>		<b>Head of Supervisory Board</b>					<b>17.322</b>	<b>0,01%</b>	<b>-</b>	<b>-</b>
<b>a</b>	<b>Organization</b>										
01	Kien Long Bank		BOD member cum CEO	0047/NH-GP	29/12/1993	SBV	145-147-149 Hung Vuong Str., Ward 2, Tan An, Long An				



No.	Name	Securities trading account (if any)	Position at Company (if any)	ID card/Passport			Address	Number of shares owned at the end of period	Ownership of proportion of share at the end of period	Number of shares represented at the end of period	Representation of proportion of share at the end of period
				Number	Date of issue	Place of issue					
							Province	-	-	-	-
<b>b</b>	<b>Individual</b>										
01	Pham Thi Thu Van		Wife					-	-		
02	Vo Thi Nha Uyen		Daughter					-	-		
03	Vo Pham Nha Khanh		Daughter					-	-		
04	Vo Thanh Bao		Younger brother					-	-		
05	Vo Thi Luom		Younger sister					-	-		
06	Vo Van Tuan		Younger brother					-	-		
07	Vo Van Kiet		Younger brother					-	-		
08	Vo Thi Cuc Hoa		Younger sister					-	-		
<b>02</b>	<b>Đoan Van Hinh</b>		<b>Member</b>					<b>4.687</b>	<b>0,004%</b>	<b>-</b>	<b>-</b>
<b>a</b>	<b>Organization</b>										
<b>b</b>	<b>Individual</b>										
01	Nguyen Thi Sen		Mother					-	-		
02	Trinh Thi Kim Thanh		Wife					-	-		
03	Doan Quang Huy		Son					-	-		



No.	Name	Securities trading account (if any)	Position at Company (if any)	ID card/Passport			Address	Number of shares owned at the end of period	Ownership of proportion of share at the end of period	Number of shares represented at the end of period	Representation of proportion of share at the end of period
				Number	Date of issue	Place of issue					
04	Doan Thị Quynh Nhu		Daughter					-	-		
05	Doan Van Can		Brother					-	-		
06	Doan Thi Kim Oanh		Sister					-	-		
07	Doan Van Trung		Younger brother					-	-		
08	Doan Van Khiem		Younger brother					-	-		
09	Doan Thi Kim Anh		Younger sister					-	-		
10	Doan Van Trang		Younger sister								
11	Doan Thi Kim Chi		Younger sister					-	-		
12	Doan Thi Kim Lien		Younger sister					-	-		
03	Dang Nguyet Minh		Member					-	-	-	-
01	Dang Van Duong		Father					-	-		
02	Le Nguyen Minh		Mother					-	-		
03	Nguyen Hoai Nam		Husband					-	-		
04	Dang Thanh Tung		Brother					-	-		
<b>C BOARD OF MANAGEMENT</b>											
01	Johan Nyvene (*)		CEO							The same A.06	



No.	Name	Securities trading account (if any)	Position at Company (if any)	ID card/Passport			Address	Number of shares owned at the end of period	Ownership of proportion of share at the end of period	Number of shares represented at the end of period	Representation of proportion of share at the end of period
				Number	Date of issue	Place of issue					
02	Trinh Hoai Giang		Deputy CEO					273.665	0,21%	-	-
a	Organization										
b	Individual										
01	Tran Thi Tuong Hy		Mother					-	-		
02	Nguyen Hong Anh		Wife					-	-		
03	Trinh Hoai Anh Nguyen		Son					-	-		
04	Trinh Hoai Thanh Van		Daughter					-	-		
05	Trinh Hoai Nam		Younger brother					6	-		
03	Le Cong Thien		Deputy CEO					204.125	0,16%	-	-
a	Organization										
b	Individual										
01	Le Thi Dinh		Mother					-	-		
02	Le Thi Ngoc Linh		Wife					-	-		

No.	Name	Securities trading account (if any)	Position at Company (if any)	ID card/Passport			Address	Number of shares owned at the end of period	Ownership of proportion of share at the end of period	Number of shares represented at the end of period	Representation of proportion of share at the end of period
				Number	Date of issue	Place of issue					
03	Le Ngoc Kim Ngan		Daughter					-	-		
04	Le Ngoc Thien An		Daughter					-	-		
05	Le Cong Tam		Brother					-	-		
06	Nguyen Kim Hoang		Sister					-	-		
07	Le Cong Phat		Brother					-	-		
08	Le Cong Tai		Brother					-	-		
09	Le Cong Chanh		Brother					-	-		
<b>D</b>	<b>CHIEF FINANCIAL OFFICER / ACCOUNTING CHIEF</b>										
	Lam Huu Ho		CFO/AC					138.853	0,1%	-	-
<b>a</b>	Organization										
<b>b</b>	Individual										
01	Lam Van To		Father					-	-		
02	Ho Thi Hong Nhan		Wife					-	-		
03	Lam Thi Phuong Linh		Sister					-	-		



No.	Name	Securities trading account (if any)	Position at Company (if any)	ID card/Passport			Address	Number of shares owned at the end of period	Ownership of proportion of share at the end of period	Number of shares represented at the end of period	Representation of proportion of share at the end of period
				Number	Date of issue	Place of issue					
04	Lam Thi Phuong Thao		Sister					-	-		
05	Lam Huu Phuc		Brother					-	-		
06	Lam Huu Duc		Brother					-	-		
07	Lam Thi Phuong Lan		Sister					-	-		
<b>E PERSON AUTHORIZED TO DISCLOSE INFORMATION</b>											
	Trương Ngọc Quỳnh Tiên		Communication Director					13.500	0.01%		
a	Organization										
b	Individual										
01	Trương Ngọc Ái		Father					-	-		
02	Trần Thị Tân		Mother					-	-		
03	Chiba Kunio		Brother					-	-		
04	Chiba Yasuo		Brother					-	-		
05	Trương Ngọc Bảo Hưng		Brother					-	-		
06	Trương Ngọc Quỳnh Anh		Sister					-	-		

No.	Name	Securities trading account (if any)	Position at Company (if any)	ID card/Passport			Address	Number of shares owned at the end of period	Ownership of proportion of share at the end of period	Number of shares represented at the end of period	Representation of proportion of share at the end of period
				Number	Date of issue	Place of issue					
07	Nguyen Trieu Vinh		Husband					-	-		
08	Nguyen Ngoc Minh Anh		Daughter					-	-		
09	Nguyen Huy Dung		Son					-	-		

Note:

- Number of shares owned at the end of the period was the number of shares on the record date 16/05/2017 for the FY2016 final dividend payment.
- (\*) Mr Johan Nyvene – BOD Member cum CEO – has two nationalities (1) USA nationality named Johan Nyvene and (2) Vietnamese nationality named Nguyen Quoc Huan. Total number of HCM shares that Mr Johan Nyvene held is on the security trading account named Nguyen Quoc Huan.



2. Transaction of internal persons and affiliated persons

No.	Transaction executor	Relationship with internal person	Number of shares owned at the beginning of the period		Number of shares owned at the end of the period		Reasons for increase, decrease (purchase, sale. Switch, reward...)
			Number of shares	Percentage	Number of shares	Percentage	
01	Cong Huong JSC	Organization that Mr. Pham Nghiem Xuan – HSC BOD member being Chairman	481,672	0.37	450,442	0.35	Registering to sell 100,000 shares from 02/06/2017 to 29/06/2017. At the end of the period, only sell 31,230 shares because of the price of shares.
			450,442	0.35	450,442	0.35	Registering to sell 200,000 shares from 12/07/2017 to 11/08/2017. At the end of the period, not to sell shares because of the price of shares
02	Mr Pham Nghiem Xuan Bac	BOD Member	300,000	0.23	290,000	0.22	Registering to sell 50.000 shares from 02/06/2017 to 29/06/2017. At the end of the period only sell 10,000 shares because of the price of shares.
			290,00	0.22	290,000	0.22	Registering to sell 150.000 shares from 12/07/2017 to 11/08/2017. At the end of the period, not to sell shares because of the price of shares.

**VII. Other significant issues:**

The total number issuance shares of optional employee share ownership plan (ESOP 2016) were 2,500,000 shares.

**FOR AND ON BEHALF OF THE BOARD OF DIRECTORS  
CHAIRMAN**



**DO HUNG VIET**