



Ho Chi Minh City Securities Corporation (HSC)

HEAD OFFICE

Level 5 & 6, AB Tower, 76 Le Lai St.,

Ben Thanh Ward, District 1, HCMC, Vietnam

T: (+84 28) 3823 3299

F: (+84 28) 3823 3301

E: info@hsc.com.vn

W: www.hsc.com.vn

Số: 04/2019/CV-CBTT

No. 04/2019/CV-CBTT

TP.Hồ Chí Minh, ngày 23 tháng 01 năm 2019

Ho Chi Minh City, 23 January 2019

CÔNG BỐ THÔNG TIN DISCLOSURE OF INFORMATION

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*

Điện thoại: (+84 28) 3823 3299 Fax: (+84 28) 3823 3301 Website: www.hsc.com.vn

Telephone: (+84 28) 3823 3299 Fax: (+84 28) 3823 3301 Website: www.hsc.com.vn

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*

Điện thoại cơ quan: (+84 28) 3823 3299 (ext: 124)

Telephone (office): (+84 28) 3823 3299 (ext. 124)

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 quản trị năm 2018

FY2018 Corporation Governance Report 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 23/01/2019 tại đường dẫn <http://www.hsc.com.vn/vn/investor/information-disclosure>

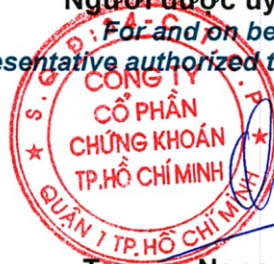
This information was disclosed on HSC webpage on 23 Jan 2019 and available at

<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; and that we shall be held liable 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 quản trị năm 2018

FY2018 HSC Corporation Governance Report



No.01/2019/CV-HĐQT

Ho Chi Minh City, 23 January 2019

**REPORT ON CORPORATION GOVERNANCE OF
HO CHI MINH CITY SECURITIES CORPORATION
(year 2018)**

(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 28) 23823 3299 Fax: (+84 28) 23823 3301
- Charter capital: VND 1,297,567,580,000
- Securities code: HCM

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

In 2018, HSC held two General Shareholders' Meetings, in which the Annual General Shareholders' Meeting of the fiscal year 2017 ("2017 AGM") organized on 26 April 2018 and the Extraordinary General Shareholders' Meeting ("EGM") in the form of written ballot completed on 18 October 2018. The contents of Resolutions of General Shareholders' Meeting are as follows:

No.	Resolution No.	Date	Content
01	01/2018/NQ-ĐHĐCĐ	26/04/2018	<ul style="list-style-type: none">- Approved the report on the FY2017 activities of the Board of Directors;- Approved the report FY2017 Bussiness Performance of the Board of Management;- Approved the FY2018 Business Plan;- Approved the report on the FY2017 Company's activities of the Supervisory Board;- Approved the Audited Financial Statements for the year ended 31 December 2017;- Approved the FY2017 final cash dividend rate;- Approved the FY2018 dividend plan;- Approved the FY2017 profit distribution plan;- Approved the authorization to BOD to appoint an independent audit firm for the FY2018;- Approved the amendment of HSC Charter;

No.	Resolution No.	Date	Content
			<ul style="list-style-type: none"> - Approved the amendment of HSC Corporation Governance Regulations; - Approved the share issuance for existing shareholders using capital resources of owners' equity to increase charter capital; - Approved the share issuance offering to existing shareholders; - Approved the share issuance for employee stock ownership plan (ESOP 2018); - Approved the dismissal of member cum Vice Chairman of the BOD (Mr. Nguyen Thanh Liem) and the list of candidates to nominate to the BOD for the term IV (2016 – 2020); - Appointed Mr. Lam Hoai Anh as a member of the BOD for the term IV (2016 – 2020).
02	02/2018/NQ-ĐHĐCĐ	22/10/2018	Approved the adjustments of the share issuance plan to existing shareholders and the share issuance plan for HSC's ESOP adopted at the FY2017 Annual General Meeting of Ho Chi Minh City Securities Corporation, as detailed in Article 12, Article 13 and Article 14 of the FY2017 AGM Resolution No.01/2018/NQ-ĐHĐCĐ dated 26 April 2018.

II. Board of Directors (“BOD”)

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

In 2018, the Board of Directors held twenty-five meetings, in which twenty-two in-person and three 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		24/25	96%	Business trip
02	Mr. Le Anh Minh	Vice chairman	21/04/2016		25/25	100%	
03	Mr. Nguyen Thanh Liem	Vice chairman	21/04/2016	26/04/2018	03/25	12%	Resignation Letter on 07/03/2018
04	Mr. Pham Nghiem Xuan Bac	Member	21/04/2016		25/25	100%	
05	Mr. Le Thang Can	Member	21/04/2016		24/25	96%	Business trip
06	Mr. Johan Nyvene	Member	21/04/2016		25/25	100%	
07	Mr. Le Hoang Anh	Member	21/04/2016		25/25	100%	
08	Mr. Lam Hoai Anh	Member	26/04/2018		15/25	60%	Appointed on 26/04/2018

2. Supervision by the BOD over the Board of Management (“BOM”):

The BOD supervised the implementation of the resolutions of BOD, AGM and EGM. The details are as follows:

- To complete and disclosure on time the FY2017 audited Financial Statement, the FY2018 quarterly/ the semi – annual audited Financial Statement and the Annual Report 2017;
- To convene the FY2017 Annual General Meeting of Shareholders at Caravelle Saigon Hotel on 26 April 2018;
- To complete the shareholders' votes by written ballot on 18 October 2018 for approval of the adjustments of the share issuance plan to existing shareholders and the share issuance plan for HSC's ESOP adopted at the FY2017 AGM, as detailed in Article 12, Article 13 and Article 14 of the FY2017 AGM Resolution No.01/2018/NQ-ĐHĐCĐ dated 26 April 2018;
- To urge the implementation of FY2018 business plan approved at the 2017 AGM. In 2018, Securities Market of Vietnam was influenced by many external factors. This is the reason why the HSC FY2018 after-tax profit only reached 675 billion, achieving 83% of the FY2018 business plan approved at the 2017 AGM.
- To set up and complete the FY2017 cash dividend payment with the pay –out rate of 21% approved by AGM. In which, the FY2017 first interim cash dividend with the pay –out rate of 6% and the FY2017 final cash dividend with the pay –out rate of 15% were paid to the shareholders. And the FY2018 first interim cash dividend with the pay –out rate of 6% approved by AGM and BOD was completed.
- To appoint Price Waterhouse Coopers Vietnam Co., Ltd as the independent audit firm and monitor the implementation of HSC FY2018 audited quarterly and semi – annual Financial Statements;
- To monitor the implementation of the derivatives market and covered warrant products;
- To set up and monitor frequently the documents of the share issuance approved EGM, which the share issuance of HSC comprises the share issuance for existing shareholders using capital resources of owners' equity to increase charter capital, the share issuance offering to existing shareholders and the share issuance of employee share ownership plan (ESOP 2018);
- To monitor the implementation of the issuance and maturity of private placement bond;

3. Activities of the BOD's committess:

3.1. Risk Management Committee ("RMC"):

- In 2018, full details and amendments were given to Appendix of Delegation of Authority Policy (DoAP): Margin Lending, Principal Investment and Treasury by Risk Management Division ("RMD").
- Personnel transfer and appointment of RMD:
 - Approved Mr. Arnold Villanueva Pangilinan's transfer from Chief Risk Officer to Risk Management Consultant, effective from 15 November 2018
 - Approved to appoint Ms. Nguyen Anh Xuan Trang as Chief Risk Officer of Ho Chi Minh City Securities Corporation, effective from 15 November 2018
- Legal Department was separated from RMD.
- RMD will proceed to adjust the personnel organizational structure focusing on risk management in the direction of being a specialized organization fitting with with HSC's core business lines.
- On a monthly/ quarterly basic, RMD submits to RMC the transaction reports, the list of all identified significant risks and remediation plans as well as supervising results.
- 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 2018, Internal Audit Function issued the reports of:
 - Anti – Money Laundering
 - Human Resource Management (the first time)
 - Individual clients' brokerage (the second time)

- Lending Margin (the second time)
- Internal Audit Function is making the audit of processes as follows:
 - Information Technology and Nextwork Security Management (the second 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	01/2018/NQ-HĐQT	10/01/2018	<ul style="list-style-type: none"> - Reported the FY2017 financial performance; - Approved the adjustment of the total amount of proprietary investments; - Approved the adjustment of total amount of margin lending; - Approved the revision of the total credit limit of HSC in 2018. The credit limit includes loans from banks and other institutions and HSC bond. - Approved the agenda of 2017 AGM and the main contents of the proposals to be presented at 2017 AGM; - Approved the record date to determine which shareholders were eligible to attend the 2017 AGM; - Approved the establishment of Nam Saigon Transaction Office.
02	02/2018/NQ-HĐQT	28/02/2018	Approved the recommendations of credit limit of banking loans (<i>the credit limit of banking loans was disclosure at Disclosure Information No. 01/2018/CV-CBTT dated 11 January 2018</i>).
03	03/2018/NQ-HĐQT	28/02/2018	Approved the recommendations of credit limit of banking loans (<i>the credit limit of banking loans was disclosure at Disclosure Information No. 01/2018/CV-CBTT dated 11 January 2018</i>).
04	04/2018/NQ-HĐQT	16/03/2018	Approved the recommendations of credit limit of banking loans (<i>the credit limit of banking loans was disclosure at Disclosure Information No. 01/2018/CV-CBTT dated 11 January 2018</i>).
05	05/2018/NQ-HĐQT	16/03/2018	Approved the selling of shares of OCB stock.
06	06/2018/NQ-HĐQT	16/03/2018	Approved the selling of shares of DongA Bank stock.
07	07/2018/NQ-HĐQT	19/03/2018	<ul style="list-style-type: none"> - Approved to authorize the BOM to forecast the FY2018 business plan based on the daily average trading value over the past 5 years and projection of market trends in the coming period; - Approved the terms of the first issuance of covered warrant, in which the underlying was Hoa Phat Group (HPG); - Approved the draft of amendment of HSC Charter; - Approved the draft of amendment of HSC Corporation Governance Regulations; - Approved the amendments of the agenda of 2017 AGM; - Approved the distribution rate of the Welfare and Reward Fund to be presented to 2017 AGM.

No.	Resolution No.	Date	Content
08	08/2018/NQ-HĐQT	28/03/2018	Approved to change the date to convene 2017 AGM. The final date was 26 April 2018.
09	09/2018/NQ-HĐQT	04/04/2018	Approved the bank of payment guarantee for HSC covered warrants.
10	10/2018/NQ-HĐQT	12/04/2018	Approved the issuance plan of HSC Bonds through private placement.
11	11/2018/NQ-HĐQT	02/05/2018	<ul style="list-style-type: none"> - Approved the documents of the share issuance for existing shareholders using capital resources of owners' equity to increase charter capital, the share issuance offering to existing shareholders and the share issuance for employee stock ownership plan (ESOP 2018); - Approved to authorize Chairman and the departments concerned to complete the share issuance offering to existing shareholders, the share issuance for existing shareholders using capital resources of owners' equity to increase charter capital and the share issuance for employee stock ownership plan (ESOP 2018); - Approved the using plan of capital gained from the share issuance offering to existing shareholders and the share issuance for employee stock ownership plan (ESOP 2018).
12	12/2018/NQ-HĐQT	07/05/2018	Approved the main criteria of the share issuance for employee stock ownership plan (ESOP 2018).
13	13/2018/NQ-HĐQT	07/05/2018	Approved the recommendations of credit limit of banking loans (<i>the credit limit of banking loans was disclosure at Disclosure Information No. 01/2018/CV-CBTT dated 11 January 2018</i>).
14	14/2018/NQ-HĐQT	11/05/2018 For seeking members' writing approval	- Appointed Price Waterhouse Coopers Vietnam Co., Ltd; as the independent audit firm for the fiscal year 2018.
15	15/2018/NQ-HĐQT	07/06/2018 For seeking members' writing approval	Approved the adjustment the number of expected shares of the share issuance for employee stock ownership plan (ESOP 2018)
16	16/2018/NQ-HĐQT	15/06/2018	Approved the recommendations of credit limit of banking loans (<i>the credit limit of banking loans was disclosure at Disclosure Information No. 01/2018/CV-CBTT dated 11 January 2018</i>)
17	17/2018/NQ-HĐQT	27/06/2018	Approved the recommendations of credit limit of banking loans (<i>the credit limit of banking loans was disclosure at Disclosure Information No. 01/2018/CV-CBTT dated 11 January 2018</i>)
18	18/2018/NQ-HĐQT	06/07/2018	Approved the recommendations of credit limit of banking loans (<i>the credit limit of banking loans was disclosure at Disclosure Information No. 01/2018/CV-CBTT dated 11 January 2018</i>)
19	19/2018/NQ-HĐQT	01/08/2018	<ul style="list-style-type: none"> - Approved the forecast of 1H 2018 business result; - Approved the adjustments of the share issuance plan to

No.	Resolution No.	Date	Content
			<p>existing shareholders and the share issuance plan for HSC's ESOP adopted at the FY2017 Annual General Meeting of Ho Chi Minh City Securities Corporation, as detailed in Article 12, Article 13 and Article 14 of the FY2017 AGM Resolution No.01/2018/NQ-ĐHĐCĐ dated 26 April 2018;</p> <ul style="list-style-type: none"> - Approved the record date to obtain shareholders' votes in the form of written ballot;
20	20/2018/NQ-HĐQT	18/09/2018	Approved the recommendations of credit limit of banking loans <i>(the credit limit of banking loans was disclosure at Disclosure Information No. 01/2018/CV-CBTT dated 11 January 2018)</i>
21	21/2018/NQ-HĐQT	26/09/2018	Approved the recommendations of credit limit of banking loans <i>(the credit limit of banking loans was disclosure at Disclosure Information No. 01/2018/CV-CBTT dated 11 January 2018)</i>
22	22/2018/NQ-HĐQT	09/10/2018	Approved the recommendations of credit limit of banking loans <i>(the credit limit of banking loans was disclosure at Disclosure Information No. 01/2018/CV-CBTT dated 11 January 2018)</i>
23	23/2018/NQ-HĐQT	22/10/2018	<ul style="list-style-type: none"> - Approved the documents of the share issuance for existing shareholders using capital resources of owners' equity to increase charter capital, the share issuance offering to existing shareholders and the share issuance for employee stock ownership plan (ESOP 2018); - Approved to process the implementation of the share issuance offering to existing shareholders, the share issuance for existing shareholders using capital resources of owners' equity to increase charter capital and the share issuance for employee stock ownership plan (ESOP 2018); - Approved the criteria for HSC employees participating the share issuance for employee stock ownership plan (ESOP 2018).
24	24/2018/NQ-HĐQT	15/11/2018	<ul style="list-style-type: none"> - Approved the business result of 10 months of 2018; - Approved the FY2018 first interim cash dividend; - Approved Mr. Arnold Villanueva Pangilinan's transfer from Chief Risk Officer to Risk Management Consultant, effective from 15 November 2018; - Approved to appoint Ms. Nguyen Anh Xuan Trang as Chief Risk Officer of Ho Chi Minh City Securities Corporation, effective from 15 November 2018.
25	25/2018/NQ-HĐQT	05/12/2018 For seeking members' writing approval	Approved to open banking account.

III. Supervisory Board ("BOS"):

1. Information about the BOS:

In 2018, BOS held one meeting which all members attended and discussed the contents regarding the BOS authorities.

No.	Members of Supervisory Board	Position	Date becoming the member of BOS	Date no longer member of BOS	Number of attendance	Percentage	Reasons for absence
01	Mr. Vo Van Chau	Head of BOS	21/04/2016		1/1	100%	
02	Mr. Doan Van Hinh	Member	21/04/2016		1/1	100%	
03	Ms. Dang Nguyet Minh	Member	21/04/2016		1/1	100%	

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 2018, the main areas were overseen by BOS as below:

- To report the supervisions of the FY2017 business results and the activities plan of BOS to the Shareholders at AGM 2017.
- To review the implementation of BOD and BOM's resolutions of managerial and operational activities. These resolutions have to comply with lawful regulations and the Company Charter.
- To monitor and supervise the activities of BOD and BOM to implement the resolutions of General Shareholders' Meeting.
- To monitor the FY2018 business performance and financial situations.
- To review the FY2018 audited quarterly/ semi-annual Financial Statements.
- To supervise the implementation of the internal audit processes of Internal Audit Function in 2018.
- To supervise 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 2018.

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 2018.

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			Police Dept.		21/04/2016		
02	Le Anh Minh Organization		Vice Chairman			HCMC		21/04/2016		
01	Dragon Capital Markets Limited (DC)		CEO of DCG	184419	04/05/1996	British Virgin Island	Unit 1501, 15 th Fl, Me Linh Point, No.02 Ngo Duc Ke Str., Dist. 1, HCMC			
03	Nguyen Thanh Liem Organization		Vice Chairman			HCMC		21/04/2016	26/04/2018	Dismissal
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 Organization		Member			Hanoi		21/04/2016		
01	Vision & Associates		CEO	0100912017	18/05/1999	DPI of Hanoi	3 rd Floor, Hanoi Tower, 49 Hai Ba Trung Str., Hanoi			
02	Vision & Associates Legal		Chairman	01070392/TP/D KKD	02/08/2007	DPJ of Hanoi	3 rd Floor, Hanoi Tower, 49 Hai Ba Trung Str., Hanoi			
03	Cong Huong Corporation	011C104488	Chairman	0103012948	07/07/2006	DPI of Hanoi	3 rd Floor, Hanoi Tower, 49 Hai Ba Trung Str., Hanoi			
05	Le Thang Can Organization		Member			HCMC		21/04/2016		
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			HCMC		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				
	Organization									
01	Dragon Capital Markets Limited (DC)		Capital Representative of DC	184419	04/05/1996	British Virgin Island	Unit 1501, 15 th Fl, Me Linh Point, No.02 Ngo Duc Ke Str., Dist. 1, HCMC			
07	Le Hoang Anh		Member			HCMC		21/04/2016		
	Organization									
01	Dragon Capital Markets Limited (DC)		Director	184419	04/05/1996	British Virgin Island	Unit 1501, 15 th 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			
08	Lam Hoai Anh		Member			Police Dept.		26/04/2018		Appointed as BOD member
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			
02	Saigon Diamond Corporate		BOD Member	0305244843	17/05/2017	DPI of HCMC	181-183-185 Tran Hung Dao Str., Co Giang Ward, Dist., 1, HCMC			
03	Giadinh Textile Corporate		BOD Member	0300744507	05/08/2016	DPI of HCMC	10-12-14-16 Nam Ky Khoi Nghia Str., Nguyen Thai Binh Ward, Dist., 1, HCMC			
B	SUPERVISORY BOARD									
01	Vo Van Chau		Head of Supervisory Board			Police Dept.		21/04/2016		
	Organization									
01	Kien Long Bank		Vice Chairman	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			Police Dept.		21/04/2016		
03	Dang Nguyet Minh		Member			Hanoi		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				
01	Dragon Capital Markets Limited (DC)		Director	184419	04/05/1996	British Virgin Island	Unit 1501, 15 th Fl, Me Linh Point, No.02 Ngo Duc Ke Str., Dist. 1, HCMC			
C BOARD OF MANAGEMENT										
01	Johan Nyvene (*)		CEO					15/05/2007	The same A6	
02	Trinh Hoai Giang		Deputy CEO			HCMC		15/05/2007		
03	Le Cong Thien		Deputy CEO			Police Dept.		12/08/2013		
D CHIEF FINANCIAL OFFICER/ ACCOUNTING CHIEF										
	Lam Huu Ho		CFO/AC			HCMC				
E PERSON AUTHORIZED TO DISCLOSE INFORMATION										
	Truong Ngoc Quynh Tien		Communication Director			Vung Tau		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/PassportID 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 th Fl, Me Linh Point, No.02 Ngo Duc Ke Str., Dist. 1, HCMC	NA	No. 01/2017/NQ-HĐQT dated 17/01/2017	39.278.810	30,29	

Based on Resolution No. 01/2017/NQ-HĐQT dated 17 January 2017, the Board of Directors approved that HSC and DC signed the contract supplying advisory service such as market research, debt market, institutional broker and M&A ... The contract duration was 03 (three) years from 2017 to 2019.

In 2017, HSC paid the advisory fee to DC. However, HSC has not used this advisory service in 2018. Therefore, HSC and DC made the liquidation of contract. Transaction between HSC and major shareholder (DC) was not carried out in 2018.

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 marterial or immarterial 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	Ownersh ip of proporti on of share at the end of period	Number of shares represent ed at the end of period	Represe ntation of proporti on of share at the end of period
				Number	Date of issue	Place of issue					
A THE BOARD OF DIRECTORS											
01	Do Hung Viet		Chairman			Police Dept.		17,968	0.01%	-	
	a Organization										
	b Individual										
01	Nguyen Thi Bach Ngoc		Wife			HCMC					
02	Do Tri Duc		Son			HCMC		416	0,0003		
03	Do Nguyen Bao Chau		Daughter			HCMC					
04	Do Anh Tuan		Brother			Dong Thap					
05	Do Thi Xuan Mai		Younger sister			HCM					
06	Do Thi Xuan Lan		Younger sister			HCMC					
07	Do Thi Thanh Thuy		Younger sister			HCMC					

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			HCMC					
02	Le Anh Minh		Vice Chairman			HCMC	43,968	0.03%	-	-	
a	Organization										
01	Dragon Capital Markets Limited (DC)		CEO of DCG	184419	04/05/1996	British Virgin Island	Unit 1501, 15 th Fl, Me Linh Point, No.02 Ngo Duc Ke Str., Dist. 1, HCMC			19,639,405	15.16%
b	Individual										
01	Le Anh Dung		Father								
02	Pham Thi Nha		Mother								
03	Nguyen Thu Thuy		Wife			HCMC					
04	Le Anh Phuong Vy		Daughter								
05	Le Anh Khang		Son								
06	Le Anh Quan		Brother			HCMC					
07	Le Anh Huy		Brother								
08	Le Anh Quang		Younger brother								
03	Pham Nghiem Xuan Bac		Member			Hanoi	240,000	0.18%			
a	Organization										
01	Vision & Associates		CEO	0100912017	18/05/1999	DPI of Hanoi	3 rd Floor, Hanoi Tower, 49 Hai Ba Trung Str., Hanoi				
02	Vision & Associates Legal		Chairman	01070392/TP/Đ KKD	02/08/2007	DPJof Hanoi	3 rd Floor, Hanoi Tower, 49 Hai Ba Trung Str., Hanoi				
03	Cong Huong JSC		Chairman	0103012948	07/07/2006	DPI of Hanoi	3 rd Floor, Hanoi Tower, 49 Hai Ba Trung Str., Hanoi			360.442	0,28%
b	Individual										
01	To Thi Anh Duong		Wife			Hanoi					

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	Pham Thu Nga		Daughter			Hanoi					
03	Pham Thu Hương		Daughter			Hanoi					
04	Pham Hoang Minh Thu		Sister			Hanoi					
05	Pham Nghiem Minh Thao		Sister			Hanoi	7	-			
06	Pham Nghiem Minh Thuy		Sister			Hanoi					
07	Pham Nghiem Xuan Binh		Brother			Hanoi	38	-			
04 a	Le Thang Can Organization		Member			HCMC					
01 b	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%
01	Le Cong		Father								
02	Chau Thi Hong		Mother			Quang Tri					
03	Nguyen Thi Huong		Wife			HCMC					
04	Le Ba Minh		Son								
05	Le Ba Hoang Quan		Son								
06	Le Ngoc An		Brother			Quang Tri					
07	Le Duc		Brother			Quang Tri					

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	Le Tri		Brother								
09	Le Thi Ngoc Chau		Younger sister			Quang Tri					
06 a	Johan Nyvene (*) Organization		BOD Member cum CEO			HCMC		661.666	0,51%	-	-
01	Dragon Capital Markets Limited (DC)		Capital Representative of DC	184419	04/05/1996	British Virgin Island	Unit 1501, 15 th Fl, Me Linh Point, No.02 Ngo Duc Ke Str., Dist. 1, HCMC			19,639,405	15.16%
01 b	Individual										
01	Nguyen Duc Hoa		Father								
02	Le Thi Sen		Mother								
03	Nguyen Thai Hang		Wife			HCMC					
04	Vincent Nyvene		Son								
05	Anton Quốc Thái Nyvene		Son								
06	Nguyen Quoc Huy		Younger brother								
07	Nguyen Quoc Hung		Younger brother								
08	Nguyen Tuyen Hanh		Younger sister								
09	Nguyen Thi Lien Huong		Younger sister								

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	Le Anh Quan	Affiliated person to Mr. Le Anh Minh – HSC Vice Chairman	26,000	0,02	0	0%	Purchasing 26,000 shares from 22/11/2017 to 04/12/2017 and selling 26,000 shares from 30/01/2018 to 02/02/2018.
02	Johan Nyvene	BOD Member cum CEO	661.666	0,51%	461.666	0,36%	Registering to sell 200.000 shares from 02/10/2018 to 31/10/2018. And to sell 200.000 shares from 02/10/2018 to 23/10/2018

VII. Other significant issues:

FOR AND ON BEHALF OF THE BOARD OF DIRECTORS
CHAIRMAN



ĐO HUNG VIET