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No.52/2020/CV-CBTT

TP. Hồ Chí Minh, ngày 22 tháng 07 năm 2020
Ho Chi Minh City, July 22, 2020

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
Headquarter 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
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Người thực hiện công bố thông tin: Ông Lê Anh Quân
Submitted by: Mr. Le Anh Quan

Chức vụ: Giám đốc Điều hành Phát triển Quan hệ hợp tác
Position: Chief Partnership Officer

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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 quản trị năm 6 tháng đầu năm 2020
1H2020 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 22/07/2020 tại đường dẫn <http://www.hsc.com.vn/vn/investor/information-disclosure>

This information was published on HSC webpage on July 22, 2020 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



Lê Anh Quân

**Giám đốc Điều hành Phát triển Quan hệ hợp tác
Chief Partnership Officer**

Tài liệu đính kèm/ Attached file:

*Báo cáo quản trị 6 tháng đầu năm năm 2020
1H2020 HSC Corporation Governance Report*



No.26/2020/CV-HĐQT

Ho Chi Minh City, 22 July 2020

REPORT ON CORPORATION GOVERNANCE OF HO CHI MINH CITY SECURITIES CORPORATION

(6 months of year 2019)

(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 3,058,822,630,000
- Securities code: HCM

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

HSC held the Annual General Shareholders’ Meeting of the fiscal year 2019 (“AGM FY2019”) on June 23, 2020

(*). The contents of AGM FY2019 Resolution are as follows:

No.	Resolution No.	Date	Content
01	01/2020/NQ-ĐHĐCĐ	23/06/2020	<ul style="list-style-type: none">- Approved the report of 2019 activities of the Board of Directors.- Approved the report of 2019 bussiness performance of the Board of Management.- Approved business plan 2020;- Approved the report of the Supervisory Board on Company’s operation 2019.- Approved the Audited Financial Statements for the year ended 31 December 2019.- Approved the FY2019 final cash dividend rate.- Approved the FY2020 dividend plan.- Approved the FY2019 profit distribution plan.- Approved the authorization to BOD to appoint an independent audit firm for the FY2020.- Approved the change of address of HSC Head Office.- Approved the amendments and supplements of HSC Charter.- Approved the supplements to HSC Business Registration Certificate referring to English name and abbreviation of company name.

No.	Resolution No.	Date	Content
			- Approved HSC Regulations on Conducting Virtual General Meeting and Online Voting.

(*) Official Document 2352/UBCK-QLKD dated April 08, 2020 issued by the State Securities Commission approved to postpone the Annual General Meeting FY2019 due to the Covid-19 pandemic.

II. Board of Directors (“BOD”)

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

In the first half of 2020, the Board of Directors held thirteen meetings, in which six in-person and seven 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		13/13	100%	
02	Mr. Le Anh Minh	Vice chairman	21/04/2016		13/13	100%	
03	Mr. Lam Hoai Anh	Member	26/04/2018		13/13	100%	
04	Mr. Pham Nghiem Xuan Bac	Member	21/04/2016		13/13	100%	
05	Mr. Le Thang Can	Member	21/04/2016		13/13	100%	
06	Mr. Johan Nyvene	Member	21/04/2016		13/13	100%	
07	Mr. Le Hoang Anh	Member	21/04/2016		13/13	100%	

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

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

- To complete and disclosure on time the FY2019 audited Financial Statement, the FY2020 quarterly Financial Statement and the Annual Report 2019;
- To convene the FY2019 Annual General Shareholders’ Meeting at New World Saigon Hotel on June 23, 2020;
- To urge the implementation of FY2020 business plan approved at the AGM FY2019. Although, Vietnam’s Stock Market was not optimistic due to the Covid-19 pandemic in the first half of the year, the HSC 1H2020 after-tax profit reached 251 billion, achieving 55% of the FY2020 business plan approved at the FY2019 AGM;
- To set up and complete the FY2019 final cash dividend payment with the pay-out rate of 7% approved by FY2019 AGM Resolution No.01/2020/NQ-ĐHĐCĐ dated June 23, 2020.
- To appoint Price Waterhouse Coopers Vietnam Co., Ltd as the independent audit firm and monitor the implementation of HSC FY2020 semi – annual audited Financial Statements;
- To monitor the issue of covered warrants;
- To monitor the implementation of rearrange some transaction offices and head office;

3. Activities of the BOD’s committees:

3.1. Risk Management Committee (“RMC”):

- First half of 2020, RMD continued to improve the framework of Risk Management under COSO;
- 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 the first half of the year, Internal Audit Function and co – audited firm (KPMG Vietnam Co., Ltd) issued the reports of:
 - Anti – Money Laundering
 - Information Technology and Network Security Management (the second time)
- Monitoring the implementation of internal audit findings of Human Resources of Private Client Department (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	01/2020/NQ-HDQT	09/01/2020	<ul style="list-style-type: none"> - Approved the forecast 2019 financial performance; - Approved the agenda of AGM FY2019 and the main contents of the proposals to be presented at AGM FY2019; - Approved the record date to determine which shareholders were eligible to attend AGM FY2019; - Approved the plan of issuance of covered warrants (the fourth time); - Accepted the resignation and the appointment of Chief Executive Officer; - Approved the change of hedging rate of exchange rate.
02	02/2020/NQ-HDQT	18/02/2020 For seeking directors' writing approval	Approved to issue the covered warrants: FPT-HSC-MET03, HPG-HSC-MET02, MBB-HSC-MET04, MSN-HSC-MET01, MWG-HSC-MET04, PNJ-HSC-MET01, REE-HSC-MET02, TCB-HSC-MET02, VHM-HSC-MET01, VJC-HSC-MET01, VNM-HSC-MET03, VPB-HSC-MET02, VRE-HSC-MET03.
03	03/2020/NQ-HDQT	20/02/2020 For seeking directors' writing approval	Accepted Mr Le Cong Thien's resignation as Deputy Chief Executive effective from February 26, 2020.
04	04/2020/NQ-HDQT	27/03/2020	Approved the recommendations of credit limit of banking loans (<i>the credit limit of banking loans was disclosure at Disclosure Information No. 10/2019/CV-CBTT dated March 19, 2019</i>).
05	05/2020/NQ-HDQT	31/03/2020	<ul style="list-style-type: none"> - Approved the forecast of 1Q 2020 financial performance; - Decided to postpone the Annual General Meeting FY2019; - Revised the total credit limit of HSC in 2020; - Approved the plan of issuance of covered warrants (the fifth time).

No.	Resolution No.	Date	Content
06	06/2020/NQ-HĐQT	22/04/2020	Approved the recommendations of credit limit of banking loans (the credit limit of banking loans was disclosure at Disclosure Information No. 02/2020/CV-CBTT dated April 01, 2020).
07	07/2020/NQ-HĐQT	22/04/2020	Approved the recommendations of credit limit of banking loans (the credit limit of banking loans was disclosure at Disclosure Information No. 02/2020/CV-CBTT dated April 01, 2020).
08	08/2020/NQ-HĐQT	22/04/2020 For seeking directors' writing approval	Approved the recommendations of credit limit of banking loans (the credit limit of banking loans was disclosure at Disclosure Information No. 02/2020/CV-CBTT dated April 01, 2020).
09	09/2020/NQ-HĐQT	06/05/2020 For seeking directors' writing approval	- Approved the agenda of AGM FY2019 and the main contents of the proposals to be presented at AGM FY2019; - Approved the record date to determine which shareholders were eligible to attend AGM FY2019.
10	10/2020/NQ-HĐQT	22/05/2020	- Approved to invest to bond, in which the capital will be loaned from foreign banks. - Approved the plan of rearrange some transaction offices.
11	11/2020/NQ-HĐQT	28/05/2020 For seeking directors' writing approval	Approved to issue the covered warrants: FPT-HSC-MET04, HPG-HSC-MET03, MBB-HSC-MET05, MSN-HSC-MET02, MWG-HSC-MET05, PNJ-HSC-MET02, REE-HSC-MET03, TCB-HSC-MET03, VHM-HSC-MET02, VNM-HSC-MET04, VPB-HSC-MET03, VRE-HSC-MET04.
12	12/2020/NQ-HĐQT	08/06/2020 For seeking directors' writing approval	Approved the documents of the Annual General Meeting FY2019.
13	13/2020/NQ-HĐQT	18/06/2020 For seeking directors' writing approval	Approved to supplement the proposal "Change of address of HSC Head Office" to the agenda of Annual General Meeting FY2019.

III. Supervisory Board ("BOS"):

1. Information about the BOS:

In the first half of 2020, 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 attendances	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 the first half of the year, the main areas were overseen by BOS as below:

- To report the supervisions of the FY2019 business results and the activities plan of BOS to the Shareholders at AGM FY2019.
 - 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 FY2019 business performance and financial situations.
 - To review the FY2020 quarterly Financial Statements.
 - To supervise the implementation of the internal audit processes of Internal Audit Function in 2019.
 - 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 the first half of 2020.
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 the first half of 2020.

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	<i>Dragon Capital Markets Limited (DC)</i>		<i>Director, BOD Member of DCG</i>	184419	04/05/1996	<i>British Virgin Island</i>	<i>Unit 1501, 15th Fl, Me Linh Point, No.02 Ngo Duc Ke Str., Dist. 1, HCMC</i>			
03	Lam Hoai Anh		Member					26/04/2018		
	Organization									
01	<i>Hochiminh city Finance and Investment state – own Company (HFIC)</i>		<i>Deputy Director</i>	0300535140	13/04/2010	<i>DPI of HCMC</i>	<i>33- 39 Pastuer Str., Dist. 1, HCMC</i>			
02	<i>Saigon Diamond Corporate</i>		<i>BOD Member</i>	0305244843	17/05/2017	<i>DPI of HCMC</i>	<i>181-183-185 Tran Hung Dao Str., Co Giang Ward, Dist., 1, HCMC</i>			
03	<i>Giadinh Textile Corporate</i>		<i>BOD Member</i>	0300744507	05/08/2016	<i>DPI of HCMC</i>	<i>10-12-14-16 Nam Ky Khoi Nghia Str., Nguyen Thai Binh Ward, Dist., 1, HCMC</i>			
04	Pham Nghiem Xuan Bac		Member					21/04/2016		
	Organization									
01	<i>Vision & Associates</i>		<i>CEO</i>	0100912017	18/05/1999	<i>DPI of Hanoi</i>	<i>3rd Floor, Hanoi Tower, 49 Hai Ba Trung Str., Hanoi</i>			
02	<i>Vision & Associates Legal</i>		<i>Chairman</i>	01070392/TP/Đ KKD	02/08/2007	<i>DPJ of Hanoi</i>	<i>3rd Floor, Hanoi Tower, 49 Hai Ba Trung Str., Hanoi</i>			
03	<i>Cong Huong Corporation</i>		<i>Chairman</i>	0103012948	07/07/2006	<i>DPI of Hanoi</i>	<i>3rd Floor, Hanoi Tower, 49 Hai Ba Trung Str., Hanoi</i>			
05	Le Thang Can		Member					21/04/2016		
	Organization									
01	<i>Hochiminh city Finance and Investment state – own Company (HFIC)</i>		<i>Head of Investment Dept.</i>	0300535140	13/04/2010	<i>DPI of HCMC</i>	<i>33- 39 Pastuer Str., Dist. 1, HCMC</i>			

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				
06	Johan Nyvene (*) Organization		Member					21/04/2016		
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 Organization		Member					21/04/2016		
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			
B	SUPERVISORY BOARD									
01	Vo Van Chau		Head of Supervisory Board					21/04/2016		
02	Doan Van Hinh		Member					21/04/2016		
03	Dang Nguyet Minh		Member					21/04/2016		
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	Trinh Hoai Giang (**)		CEO					16/03/2020		
02	Le Cong Thien		Deputy CEO					12/08/2013	22/05/2020	
D	CHIEF FINANCIAL OFFICER/ ACCOUNTING CHIEF									
	Lam Huu Ho		CFO/AC					01/11/2007		
E	PERSON AUTHORIZED TO DISCLOSE INFORMATION									
	Le Anh Quan		Chief Partnership Officer					11/02/2019		

Note:

(*) Mr. Johan Nyvene has been no longer as Chief Executive Officer of HSC, effective from March 16, 2020 referring Decision of the resignation of Chief Executive Officer No. 01/2020/QĐ-HĐQT dated January 09, 2020 and Decision No. 13/GPĐC-UBCK issued by the State Securities Commission dated March 16, 2020 on adjusting Securities Business License No. 11/GPĐKKD dated April 29, 2003.

(**) Mr. Trinh Hoai Giang has been official appointed as Chief Executive Officer of HSC, effective from March 16, 2020 referring Decision of the appointment of Chief Executive Officer No. 02/2020/QĐ-HĐQT dated January 09, 2020 and Decision No. 13/GPĐC-UBCK issued by the State Securities Commission dated March 16, 2020 on adjusting Securities Business License No. 11/GPĐKKD dated April 29, 2003.

2. Transaction between Company and related persons, or between Company and major shareholders, internal persons and related persons of internal person: No transaction
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					41,924	0.01%	-	
a	Organization										
b	Individual										
01	Nguyen Thi Bach Ngoc		Wife								
02	Do Tri Duc		Son					970	0.0003		

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	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								
08	Do Quoc Hung		Younger brother								
02	Le Anh Minh		Vice Chairman					102,592	0.03%	-	-
a	Organization										
01	Dragon Capital Markets Limited (DC)		<i>Director, BOD Member of DCG</i>	184419	04/05/1996	British Virgin Island	Unit 1501, 15 th Fl, Me Linh Point, No.02 Ngo Duc Ke Str., Dist. 1, HCMC			45,825,279	15.02%
b	Individual										
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 Younger								

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 Anh Quang		brother								
03	Pham Nghiem Xuan Bac		Member					560,000	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			841,030	0.28%
b	Individual										
01	To Thi Anh Duong		Wife								
02	Pham Thu Nga		Daughter								
03	Pham Thu Huong		Daughter								
04	Pham Hoang Minh Thu		Sister								
05	Pham Nghiem Minh Thao		Sister					11	-		
06	Pham Nghiem Minh Thuy		Sister								
07	Pham Nghiem Xuan Binh		Brother					88	-		
04	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			26.250.000	8,60%
b	Individual										
01	Le Cong		Father								
02	Chau Thi Hong		Mother								

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	Nguyen Thi Huong		Wife								
04	Le Ba Minh		Son								
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					1,382,020	0.45%	-	-
a	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			45,825,277	15.02%
b	Individual										
01	Nguyen Duc Hoa		Father								
02	Le Thi Sen		Mother								
03	Nguyen Thai Hang		Wife								
04	Vincent Nyvene		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	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								
07	Le Hoang Anh		Member								
a	Organnization										
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	Vietnam Fund Management		BOD Member	01/GPĐT-UBCKNN	15/07/2003	SSC	Unit 1701-04 15 th Fl, Me Linh Point, No.02 Ngo Duc Ke Str., Dist. 1, HCMC				
b	Individual										
01	Le Phi Yen		Father								
02	Thai Thi Thanh Van		Mother								
03	Le Thi Huynh Mai		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	Le Hoang Quoc Anh		Son								
05	Le Hoang Nhat Nam		Son								
06	Le Hoang Mai		Sister								
07	Le Nam Thang		Younger brother								
B	THE SUPERVISORY BOARD										
01	Vo Van Chau		Head of Supervisory Board					40,418	0.01%	-	-
a	Organization										
b	Individual										
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								
02	Đoan Van Hinh		Member					10,935	0,004%	-	-
a	Organization										

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	Individual										
01	Nguyen Thi Sen		Mother								
02	Trinh Thị Kim Thanh		Wife								
03	Doan Quang Huy		Son								
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								
a	Organnization										
01	Dragon Capital Markets Limited (DC)		Director								
b	Individual										
01	Dang Van Duong		Father								
02	Le Nguyen Minh		Mother								

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	Nguyen Hoai Nam		Husband								
04	Dang Thanh Tung		Brother								
C	BOARD OF MANAGEMENT										
01	Trinh Hoai Giang		CEO					943,351	0.31%	-	-
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					10	-		
D	CHIEF FINANCIAL OFFICER / ACCOUNTING CHIEF										
	Lam Huu Ho		CFO/AC					478,789	0.16%	-	-
a	Organization										
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								
E	PERSON AUTHORIZED TO DISCLOSE INFORMATION										
	Le Anh Quan		Chief Partnership Officer					196,800	0.06%		
a	Organization										
b	Individual										
01	Le Anh Dung		Father								
02	Pham Thi Nha		Mother								
03	Do Minh Hong		Wife								
04	Le Uyen Vivianne		Daughter								
05	Le Anh-Khoa Kevin		Son								
06	Le Anh Minh		Younger brother					102,592	0.03%	-	-
07	Le Anh Huy		Younger brother								
08	Le Anh Quang		Younger brother								

Note:

- Number of shares owned at the end of the period was the number of shares after shares issuance of using owners' equity to increase charter capital, shares offering to existing to shareholders and shares of ESOP 2018.

(*) Mr Johan Nyvene – BOD Member – 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

3. 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	Hochiminh city Finance and Investment state – own Company (HFIC)	Affiliated institutions to Mr. Lam Hoai Anh and Le Thang Can – HSC BOD members	87,500,000	28.61%	87,500,000	28.61%	Registering to sell 10,000,000 shares from 09/01/2020 to 07/02/2020, but no sale due to inappropriate price.
02	Cong Huong JSC	Affiliated institutions to Mr. Pham Nghiem Xuan Bac – BOD member	841,030	0.28	841,030	0.28	Registering to sell 200,000 shares from 23/03/2020 to 21/04/2020 but no sale due to inappropriate price.
03	Mr. Pham Nghiem Xuan Bac	BOD member	560,000	0.18	560,000	0.18	Registering to buy 200,000 shares from 23/03/2020 to 21/04/2020, but no purchase due to inappropriate price.

VII. Other significant issues:

FOR AND ON BEHALF OF THE BOARD OF DIRECTORS
CHAIRMAN



DO HUNG VIET