



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)

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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 (the credit limit of banking loans was disclosure at Disclosure Information No. 01/2018/CV-CBTT dated 11 January 2018) |
| 21 | 21/2018/NQ-HĐQT | 26/09/2018 | Approved the recommendations of credit limit of banking loans (the credit limit of banking loans was disclosure at Disclosure Information No. 01/2018/CV-CBTT dated 11 January 2018) |
| 22 | 22/2018/NQ-HĐQT | 09/10/2018 | Approved the recommendations of credit limit of banking loans (the credit limit of banking loans was disclosure at Disclosure Information No. 01/2018/CV-CBTT dated 11 January 2018) |
| 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/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 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 Huong | | 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 | Le Thang Can | | Member | | | HCMC | | | | | |
| 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 | | 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 Tuyet Hanh | | Younger sister | | | | | | | | |
| 09 | Nguyen Thi Lien Huong | | 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 | | | | | |
| 10 | Nguyen Thi Cam Huyen | | Younger sister | | | | | | | | |
| 11 | Nguyen Quoc Hoang | | Younger brother | | | | | | | | |
| 07 | Le Hoang Anh | | Member | | | HCMC | | | | | |
| 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 | | | HCMC | | | | | |
| 02 | Thai Thi Thanh Van | | Mother | | | HCMC | | | | | |
| 03 | Le Thi Huynh Mai | | Wife | | | HCMC | | | | | |
| 04 | Le Hoang Quoc Anh | | Son | | | HCMC | | | | | |
| 05 | Le Hoang Nhat Nam | | Son | | | | | | | | |
| 06 | Le Hoang Mai | | Sister | | | HCMC | | | | | |
| 07 | Le Nam Thang | | Younger brother | | | HCMC | | | | | |
| B | THE SUPERVISORY BOARD | | | | | | | | | | |

| 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 a | Vo Van Chau Organization | | Head of Supervisory Board | | | Police Dept. | | 17.322 | 0,01% | - | - |
| 01 b | Kien Long Bank Individual | | BOD member cum CEO | 0047/NH-GP | 29/12/1993 | SBV | 145-147-149 Hung Vuong Str., Ward 2, Tan An, Long An Province | | | | |
| 01 | Pham Thi Thu Van | | Wife | | | HCMC | | | | | |
| 02 | Vo Thi Nha Uyen | | Daughter | | | HCM | | | | | |
| 03 | Vo Pham Nha Khanh | | Daughter | | | HCM | | | | | |
| 04 | Vo Thanh Bao | | Younger brother | | | Vinh Long | | | | | |
| 05 | Vo Thi Luom | | Younger sister | | | Vinh Long | | | | | |
| 06 | Vo Van Tuan | | Younger brother | | | Vinh Long | | | | | |
| 07 | Vo Van Kiet | | Younger brother | | | Vinh Long | | | | | |
| 08 | Vo Thi Cuc Hoa | | Younger sister | | | Vinh Long | | | | | |
| 02 a | Doan Van Hinh Organization | | Member | | | Police Dept. | | 4.687 | 0,004% | - | - |
| 02 b | Individual | | | | | | | | | | |
| 01 | Nguyen Thi Sen | | Mother | | | QNĐN | | | | | |
| 02 | Trinh Thi Kim Thanh | | Wife | | | HCMC | | | | | |
| 03 | Doan Quang Huy | | Son | | | 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 | | | | | |
| 04 | Doan Thi Quynh Nhu | | Daughter | | | HCMC | | | | | |
| 05 | Doan Van Can | | Brother | | | QNDN | | | | | |
| 06 | Doan Thi Kim Oanh | | Sister | | | TPDN | | | | | |
| 07 | Doan Van Trung | | Younger brother | | | Da Nang | | | | | |
| 08 | Doan Van Khiem | | Younger brother | | | Da Nang | | | | | |
| 09 | Doan Thi Kim Anh | | Younger sister | | | Da Nang | | | | | |
| 10 | Doan Van Trang | | Younger sister | | | QNDN | | | | | |
| 11 | Doan Thi Kim Chi | | Younger sister | | | QNDN | | | | | |
| 12 | Doan Thi Kim Lien | | Younger sister | | | Da Nang | | | | | |
| 03 | Dang Nguyet Minh | | Member | | | Hanoi | | | | | |
| 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 | | | | |
| b | Individual | | | | | | | | | | |
| 01 | Dang Van Duong | | Father | | | Hanoi | | | | | |
| 02 | Le Nguyen Minh | | Mother | | | Hanoi | | | | | |
| 03 | Nguyen Hoai Nam | | Husband | | | Hanoi | | | | | |
| 04 | Dang Thanh Tung | | Brother | | | Hanoi | | | | | |
| C | BOARD OF MANAGEMENT | | | | | | | | | | |
| 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 | | | HCMC | | 273.665 | 0,21% | - | - |
| a | Organization | | | | | | | | | | |
| b | Individual | | | | | | | | | | |
| 01 | Tran Thi Tuong Hy | | Mother | | | HCMC | | | | | |
| 02 | Nguyen Hong Anh | | Wife | | | HCMC | | | | | |
| 03 | Trinh Hoai Anh Nguyen | | Son | | | | | | | | |
| 04 | Trinh Hoai Thanh Van | | Daughter | | | | | | | | |
| 05 | Trinh Hoai Nam | | Younger brother | | | HCMC | | 6 | - | | |
| 03 | Le Cong Thien | | Deputy CEO | | | HCMC | | 204.125 | 0,16% | - | - |
| a | Organization | | | | | | | | | | |
| b | Individual | | | | | | | | | | |
| 01 | Le Thi Dinh | | Mother | | | HCMC | | | | | |
| 02 | Le Thi Ngoc Linh | | Wife | | | HCMC | | | | | |
| 03 | Le Ngoc Kim Ngan | | Daughter | | | | | | | | |
| 04 | Le Ngoc Thien An | | Daughter | | | | | | | | |
| 05 | Le Cong Tam | | Brother | | | HCMC | | | | | |
| 06 | Nguyen Kim Hoang | | 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 | | | | | |
| 07 | Le Cong Phat | | Brother | | | HCMC | | | | | |
| 08 | Le Cong Tai | | Brother | | | HCMC | | | | | |
| 09 | Le Cong Chanh | | Brother | | | HCMC | | | | | |
| D | CHIEF FINANCIAL OFFICER / ACCOUNTING CHIEF | | | | | | | | | | |
| | Lam Huu Ho | | CFO/AC | | | HCMC | 138.853 | 0,1% | - | - | |
| a | Organization | | | | | | | | | | |
| b | Individual | | | | | | | | | | |
| 01 | Lam Van To | | Father | | | | | | | | |
| 02 | Ho Thi Hong Nhan | | Wife | | | HCMC | | | | | |
| 03 | Lam Thi Phuong Linh | | Sister | | | HCMC | | | | | |
| 04 | Lam Thi Phuong Thao | | Sister | | | HCMC | | | | | |
| 05 | Lam Huu Phuc | | Brother | | | HCMC | | | | | |
| 06 | Lam Huu Duc | | Brother | | | HCMC | | | | | |
| 07 | Lam Thi Phuong Lan | | Sister | | | HCMC | | | | | |
| E | PERSON AUTHORIZED TO DISCLOSE INFORMATION | | | | | | | | | | |
| | Trương Ngọc Quỳnh Tiên | | Communication Director | | | Vung Tau | 13.500 | 0.01% | | | |
| a | Organization | | | | | | | | | | |
| b | Individual | | | | | | | | | | |
| 01 | Trương Ngọc Ái | | Father | | | Vung Tau | | | | | |
| 02 | Tran Thi Tan | | Mother | | | Vung Tau | | | | | |

| 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 | Chiba Kunio | | Brother | | | Japanese MOFA | | | | | |
| 04 | Chiba Yasuo | | Brother | | | Japanese MOFA | | | | | |
| 05 | Trương Ngọc Bao Hưng | | Brother | | | Vung Tau | | | | | |
| 06 | Trương Ngọc Quỳnh Anh | | Sister | | | HCMC | | | | | |
| 07 | Nguyen Trieu Vinh | | Husband | | | Vung Tau | | | | | |
| 08 | Nguyen Ngoc Minh Anh | | Daughter | | | | | | | | |
| 09 | Nguyen Huy Dung | | Son | | | | | | | | |
| 10 | Nguyen Huy Tuan | | Son | | | | | | | | |

Note:

- Number of shares owned at the end of the period was the number of shares on the record date (30 November 2018) for the FY2018 interim 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 | 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



DO HUNG VIET