

Số: 52/2020/CV-CBTT
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
Telephone: (+84) 28 3823 3299 Fax: (+84) 28 3823 3301 Website: www.hsc.com.vn

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. - Approved HSC Regulations on Conducting Virtual General Meeting |

| No. | Resolution No. | Date | Content |
|-----|----------------|------|--------------------|
| | | | 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-HĐQT | 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-HĐQT | 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-HĐQT | 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-HĐQT | 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-HĐQT | 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). |
| 06 | 06/2020/NQ-HĐQT | 22/04/2020 | Approved the recommendations of credit limit of banking loans |

| No. | Resolution No. | Date | Content |
|-----|-----------------|---|---|
| | | | <i>(the credit limit of banking loans was disclosure at Disclosure Information No. 02/2020/CV-CBTT dated April 01, 2020).</i> |
| 07 | 07/2020/NQ-HĐQT | 22/04/2020 | Approved the recommendations of credit limit of banking loans <i>(the credit limit of banking loans was disclosure at Disclosure Information No. 02/2020/CV-CBTT dated April 01, 2020).</i> |
| 08 | 08/2020/NQ-HĐQT | 22/04/2020 For seeking directors' writing approval | Approved the recommendations of credit limit of banking loans <i>(the credit limit of banking loans was disclosure at Disclosure Information No. 02/2020/CV-CBTT dated April 01, 2020).</i> |
| 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 | Dragon Capital Markets Limited (DC) | | Director, BOD Member 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 | Lam Hoai Anh | | Member | | | | | 26/04/2018 | | |
| | Organization | | | | | | | | | |
| 01 | Hochiminh city Finance and Investment state – own Company (HFIC) | | Deputy Director | 0300535140 | 13/04/2010 | DPI of HCMC | 33- 39 Pastuer Str., Dist. 1, HCMC | | | |
| 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 | | | |
| 04 | Pham Nghiem Xuan Bac | | Member | | | | | 21/04/2016 | | |
| | 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 | DPJ of Hanoi | 3 rd Floor, Hanoi Tower, 49 Hai Ba Trung Str., Hanoi | | | |
| 03 | Cong Huong Corporation | | Chairman | 0103012948 | 07/07/2006 | DPI of Hanoi | 3 rd Floor, Hanoi Tower, 49 Hai Ba Trung Str., Hanoi | | | |
| 05 | Le Thang Can | | Member | | | | | 21/04/2016 | | |
| | Organization | | | | | | | | | |
| 01 | Hochiminh city Finance and Investment state – own Company (HFIC) | | Head of Investment Dept. | 0300535140 | 13/04/2010 | DPI of HCMC | 33- 39 Pastuer Str., Dist. 1, HCMC | | | |

| 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) | | Director, BOD Member 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 | | | 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 Dương | | Wife | | | | | | | | |
| 02 | Pham Thu Nga | | Daughter | | | | | | | | |
| 03 | Pham Thu Hương | | 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 | Doan 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 Thj Kim Thanh | | Wife | | | | | | | | |
| 03 | Doan Quang Huy | | Son | | | | | | | | |
| 04 | Doan Thj 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