

**PHU HUNG
SECURITIES CORPORATION**

SOCIALIST REPUBLIC OF VIETNAM
Independence – Freedom – Happiness

No.: 03./2023/TTr-HĐQT

Ho Chi Minh City, 20 April 2023

SUBMISSION FOR APPROVAL

Report on Corporate governance of PHS in 2022

**To: THE ANNUAL GENERAL MEETING OF SHAREHOLDERS
OF PHU HUNG SECURITIES CORPORATION**

- Pursuant to Law on Enterprises No. 59/2020/QH14 dated 17 June, 2020;
- Pursuant to Decree No. 155/2020/NĐ-CP dated 31 December, 2020;
- Pursuant to the current Charter of Phu Hung Securities Corporation;

The Board of Directors of Phu Hung Securities Corporation hereby submits to the Annual General Meeting of Shareholders to pass on the Report on Corporate governance of PHS in 2022.

Please kindly consider and approve.

Enclosure:

Report on Corporate governance of PHS in 2022.

**ON BEHALF OF BOARD OF DIRECTORS
CHAIRMAN**


ALBERT KWANG-CHIN TING

**PHU HUNG SECURITIES
CORPORATION**

No.: 02/2022/BC-PHS

THE SOCIALIST REPUBLIC OF VIETNAM
Independence - Freedom – Happiness

Ho Chi Minh City, day. 12. month 01 year 2023

REPORT ON CORPORATE GOVERNANCE

Year 2022

To:

- STATE SECURITIES COMMISSION;
- VIETNAM EXCHANGE;
- HANOI STOCK EXCHANGE;
- HO CHI MINH STOCK EXCHANGE.

- Name of company: **PHU HUNG SECURITIES CORPORATION (PHS)**
- Address of head office: 21st Floor, Phu My Hung Tower, 08 Hoang Van Thai, Tan Phu Ward, District 7, Ho Chi Minh City
- Telephone: (84-28) 54135479 Fax: (84-28) 54135472
- Charter capital: VND 1,500,098,190,000
- Stock symbol: PHS
- Governance model: General Meeting of Shareholders, Board of Directors, Inspection Committee and General Director
- The implementation of internal audit (Implemented/ Not yet implemented): Implemented.

I. Activities of the General Meeting of Shareholders

Information on meetings and Resolutions of the General Meeting of Shareholders (including the Resolutions of the General Meeting of Shareholders approved in the form of written comments):

No.	Resolution No.	Date	Content
1.	01/2022/NQ-DHĐCĐ	31/03/2022	<ol style="list-style-type: none"> 1. Pass the Audited Financial Statement in 2021; 2. Pass the Report of the Board of Directors on the Business performance in 2021; 3. Pass the Report of the Inspection Committee on the Business performance in 2021; 4. Pass the Report on Corporate governance of PHS in 2021; 5. Pass the Report on Utilization of Capital for the capital raised from the private placement of shares on August 30th, 2021; 6. Pass the Report on updating the charter with the head office address and charter capital in 2021; 7. Pass the Profit Distribution Plan in 2021 and the authorization for the Board of Directors to choose the suitable time and proceed the procedure to pay dividend for shareholders; 8. Pass the Development and Business plan of PHS in 2022; 9. Pass the Financial budget in 2022; 10. Pass the Selection of Auditor in 2022; 11. Pass the Plan on private placement, capital utilization and the authorization from AGMS to the Board of Directors to implement the plan on private placement and capital utilization; 12. Pass the revised Charter of PHS; 13. Pass the Election members of the Board of Directors of the Company during the period from 2022-2025; 14. Pass the Election members of Inspection Committee of the Company during the period from 2022-2025; 15. Pass the Report of the Board of Directors on the re-appointment

			of Mr. Chen Chia Ken to be General Director of the Company during the period from 2022-2025; 16. Pass the Adjustment PHS organization chart and renaming Trading Service division; 17. Pass the Registration as a Covered Warrant issuer; 18. Pass the Listing of stock PHS on Ho Chi Minh Stock Exchange (HOSE).
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II. Board of Directors (Year 2022):

1. Information about the members of the Board of Directors (BOD):

No.	Board of Directors' members	Position (Independent members of the BOD, Non-executive members of BOD)	The date becoming/ceasing to be the member of the BOD	
			Date of appointment	Date of dismissal
1.	Mr. Albert Kwang-Chin Ting	Chairman of the Board of Directors	15/04/2011	-
2.	Mr. Nguyen Doan Hung	Member	06/04/2016	-
3.	Mr. Wu, Jin-Jeng	Member	06/04/2016	-
4.	Mr. Chen Chia Ken	Member	06/04/2016	-
5.	Ms. Liu, Hsiu-Mei	Independent member	17/04/2019	-

2. Meetings of the Board of Directors:

No.	Board of Director' member	Number of meetings attended by Board of Directors	Attendance rate	Reasons for absence
1.	Mr. Albert Kwang-Chin Ting	10	100%	-
2.	Mr. Nguyen Doan Hung	10	100%	-
3.	Mr. Wu, Jin-Jeng	10	100%	-
4.	Mr. Chen Chia Ken	10	100%	-
5.	Ms. Liu, Hsiu-Mei	10	100%	-

3. Supervising the Board of Management by the Board of Directors:

In year 2022, Board of Directors promptly conducted the assignment from General Meeting of Shareholders in the spirit of in accordance to laws and internal regulations of PHS. The supervision activities of Board of Directors over Board of Management is prescribed in the monthly report of Board of Management and the Meeting Minutes of Board of Directors.

4. Activities of the Board of Directors' subcommittees (If any):

PHS does not establish the Board of Directors' subcommittees so there is not any activities to report.

5. Resolutions of the Board of Directors (Year 2022):

No.	Resolution No.	Date	Content	Approval rate
1.	01/65_0122/NQ-HĐQT	27/01/2022	<ol style="list-style-type: none">1. To pass the Provision for SIC debt on Dec 31st, 2021;2. To pass the Provision for Margin debt on Dec 31st, 2021;3. To pass the Setting up funds for 2021;4. Pass the Applying New Credit Line with KGI Bank;5. Pass the Risk Management Policy 2022.	100%
2.	01/66_0222/NQ-HĐQT	10/02/2022	<ol style="list-style-type: none">1. To pass the Record Date, the Meeting Date of the Annual General Meeting of Shareholders;2. To pass the Apply for a License to provide advance payment services for securities sales.	100%
3.	01/67_0322/NQ-HĐQT	07/03/2022	<ol style="list-style-type: none">1. To pass the Agenda and documents using in the 2022 Annual General Meeting of Shareholders (AGMS) dated March 31st, 2022;2. To pass the Audited Financial Statement of 2021;3. To pass the Report of the Board of Directors on the	100%

			<p>Business performance in 2021;</p> <ol style="list-style-type: none"> 4. To pass the Report on Corporate governance of PHS in 2021; 5. To pass the Report on Utilization of Capital for the capital raised from the private placement of shares on August 30th, 2021; 6. To pass the Report on updating the charter with the head office address and charter capital in 2021; 7. To pass the Profit Distribution Plan in 2021 and the authorization for the Board of Directors to choose the suitable time and proceed the procedure to pay dividend for shareholders; 8. To pass the Development and Business plan of PHS in 2022; 9. To pass the Financial budget in 2022; 10. To pass the Plan on private placement, capital utilization and the authorization from AGMS to the Board of Directors to implement the plan on private placement and capital utilization; 11. To pass the revised Charter of PHS; 12. To pass the Introduction of Nomination on Members of BOD and Members of Inspection Committee of Company during period from 2022-2025; 13. To pass the Re-appoint of Mr. Chen Chia Ken to be General Director of the Company during period from 2022-2025; 14. To pass the Adjustment PHS organization chart and renaming Trading Service division; 	
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			<p>15. To pass the Registration as a Covered Warrant issuer;</p> <p>16. To pass the Listing of stock PHS on Ho Chi Minh Stock Exchange (HOSE);</p> <p>17. To pass the POA for Mr. Chen Chia Ken – BOD member cum General Director to be the Meeting Chairman and sign the documents of the AGMS dated March 31st, 2022;</p> <p>18. To pass the Audited Financial Safety Ratio Report on December 31st, 2021;</p> <p>19. To pass the Renewing Credit Line with Chang Hwa Bank, HSI-Sung Branch;</p> <p>20. To pass the Renewing Credit Line with Bank for Investment and Development of Vietnam JSC, Nam Ky Khoi Nghia Branch;</p> <p>21. To pass the Decision to terminate the labor contract and related procedures of Ms. Nguyen Le Duc Hanh.</p>	
4.	01/68_0422/NQ-HDQT	08/04/2022	<p>1. To pass the Election on Mr. Albert Kwang – Chin Ting to be Chairman of Board of Directors of Company (Term 2022-2025);</p> <p>2. To pass the Re-appointment of Ms. Pham Thi Thu Nhan to be Deputy General Director of Company (Term 2022-2025);</p> <p>3. To pass the Appointment of Mr. Li, Hsin – Hsien to be Deputy General Director of Company (Term 2022-2025);</p> <p>4. To pass the Date to finalize the list of shareholders to pay cash dividend in 2021;</p> <p>5. To pass the Date to finalize the list of shareholders to</p>	100%

			pay shares dividend in 2021.	
5.	01/69_0522/NQ-HĐQT	13/05/2022	<ol style="list-style-type: none"> 1. To pass the Provision for Margin debt on March 31st, 2022; 2. To pass the Provision for SIC debt on March 31st, 2022; 3. To pass the Remuneration of each member of Board of Directors and Inspection Committee in year 2022; 4. To pass the Renewing Overdraft limit with Vietnam Joint Stock Commercial Bank for Industry and Trade – Branch 4 HCMC; 5. To pass the Applying a credit limit with Orient Commercial Joint Stock Bank – HCMC Branch; 6. To pass the Applying New credit limit with Bank of Panhsin; 7. To pass the Renewing credit line with Shanghai Commercial and Savings Bank – Hong Kong Branch (SHHK); 8. To pass the Changing the Head of Risk Management Division of Company. 	100%
6.	01/70_0622/NQ-HĐQT	20/06/2022	<ol style="list-style-type: none"> 1. To pass the Renewing credit line with Taipei Fubon Commercial Bank Co., Ltd – OBU; 2. To pass the Renewing credit line with Cathay United Bank – OBU; 3. To pass the Renewing and increasing credit line with Mega International Commercial Bank – OBU; 4. To pass the Renewing credit line with Shanghai Commercial & Savings Bank, Ltd – Dong Nai Branch; 	100%

			<ol style="list-style-type: none"> 5. To pass the Renewing credit line with Cathay United Bank – Ho Chi Minh City Branch; 6. To pass the Renewing credit line with E.Sun Commercial Bank – Dong Nai Branch; 7. To pass the Renewing credit line with Hua Nan Commercial Bank – Ho Chi Minh City Branch; 8. To pass the Renewing credit line with Taipei Fubon Commercial Bank Co., Ltd – HCMC Branch; 9. To pass the Renewing credit line with Mega International Commercial Bank Co., Ltd, – Ho Chi Minh City Branch; 10. To pass the Renewing credit line with Saigon Bank For Industry and Trade – Head Office. 	
7.	01/71_0722/NQ-HDQT	15/07/2022	<ol style="list-style-type: none"> 1. To pass the Provision for Margin debt on June 30th, 2022; 2. To pass the Provision for SIC debt on June 30th, 2022 3. To pass the Appointment of Chief of Internal Audit, Head of Finance Division; 4. To pass the Consulting Contract with Phu Hung Fund Management Joint Stock Company; 5. To pass the Applying new credit line with Taiwan Cooperative Bank; 6. To pass the Renewing credit line with First Commercial Bank – OBU; 7. To pass the Renewing credit line with Joint Stock Commercial Bank for Foreign Trade of Vietnam – Ho Chi Minh City Branch; 	100%

			8. To pass the Renewing credit line with First Commercial Bank – Ho Chi Minh City Branch.	
8.	01/72_0822/NQ-HĐQT	09/09/2022	<ol style="list-style-type: none"> 1. To pass the Renewing credit line with Union Bank of Taiwan (UBOT); 2. To pass the Renewing credit line with Entie Commercial Bank; 3. To pass the Application for private offering in 2022 of PHS; 4. To pass the Application for listing PHS shares on Ho Chi Minh Stock Exchange (HOSE) in 2022. 	100%
9.	01/73_0922/NQ-HĐQT	07/11/2022	<ol style="list-style-type: none"> 1. To pass the Provision for Margin debt on September 30th, 2022; 2. To pass the Provision for Advances to customers for securities trading activities on September 30th, 2022; 3. To pass the Budget of Company in 2023; 4. To pass the ERC amendment dossier at Department of Planning and Investment of Ho Chi Minh City; 5. To pass the Dossier on offering condition of Covered Warrant; 6. To pass the Renewing and increasing credit line with Cathay United Bank – Ho Chi Minh City Branch; 7. To pass the Renewing credit line with Taiwan Shin Kong Commercial Bank. 	100%
10.	01/74_1022/NQ-HĐQT	30/12/2022	<ol style="list-style-type: none"> 1. To pass the Updated Budget of Company in 2023; 2. To pass the Business Plan 2023; 	100%

			3. To pass the Change the title of BOD's Secretary; 4. To pass the Offering condition of Covered Warrant; 5. To pass the Renewing overdraft facility with Bank for Investment and Development of Vietnam - Nam Ky Khoi Nghia Branch (BIDV); 6. To pass the Increasing Credit line with KGI Bank.	
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III. Inspection Committee (Year 2022):

1. Information about Members of Inspection Committee:

No.	Members of Inspection Committee	Position	The date becoming/ceasing to be the member of the Inspection Committee	Qualification
1.	Mr. Liew Sep Siang	Head of Inspection Committee	The date becoming to be the member of the Inspection Committee: 17/04/2019	Master of Business Administration
2.	Mr. Lii San Rong	Member	The date ceasing to be the member of the Inspection Committee: 31/03/2022	Bachelor of Finance
3.	Mr. Chiu Hsien Chih	Member	The date becoming to be the member of the Inspection Committee: 06/04/2016	Master of Business Administration
4.	Ms. Kuo, Ping-Min	Member	The date becoming to be the member of the Inspection Committee: 31/03/2022	Bachelor of Commerce

2. Meetings of Inspection Committee:

No.	Members of Inspection Committee	Number of meetings attended	Attendance rate	Voting rate	Reasons for absence
1.	Mr. Liew Sep Siang	03	100%	100%	-
2.	Mr. Lii San Rong	01	100%	100%	Meeting of IC held on 08/04/2022. The date ceasing to be the member of IC: 31/03/2022

3.	Mr. Chiu Hsien Chih	03	100%	100%	-
4.	Ms. Kuo, Ping-Min	02	100%	100%	Meeting of IC held on 29/03/2022 The date becoming to be the member of IC: 31/03/2022

3. Supervising Board of Directors, Board of Management and shareholders by Inspection Committee:

In year 2022, Inspection Committee operated in the spirit of objection, independence, in accordance with the laws and internal regulations of PHS. The operation of Inspection Committee includes the inspection, observation and assessment on the administration and governance of Board of Directors, Board of Management, as well as the operation of PHS' division.

4. The coordination among the Inspection Committee, the Board of Directors, Board of Management and other managers:

During operation, the Inspection Committee cooperated with Board of Directors, Board of Management and other divisions, department to maintain the management and the business activities smoothly, effectively and in accordance to regulations of laws and the internal regulation of PHS.

5. Other activities of the Inspection Committee (if any):

There is not any other activities of the Inspection Committee to report.

IV. Board of Management

No.	Members of Board of Management	Date of birth	Qualification	Date of appointment/ dismissal of members of the Board of Management
1.	Mr. Chen Chia Ken	14/10/1971	Master of Business Administration	Date of appointment: 28/03/2013
2.	Ms. Pham Thi Thu Nhan	13/06/1984	Master of Business Administration	Date of appointment: 23/07/2015
3.	Mr. Li, Hsin – Hsien	07/03/1972	Master of Business Administration	Date of appointment: 08/04/2022

V. Chief Accountant

Name	Date of birth	Qualification	Date of appointment/ dismissal
Ms. Do Thi Ai Vy	16/09/1986	Bachelor	Date of appointment: 07/12/2018

VI. Training courses on corporate governance:

Members of the Board of Directors, Inspection Committee, Board of Management, other managers and the Company Secretary are always fully updated on training issues on corporate governance.

VII. The list of affiliated persons of the public company (In year 2022) and transactions of affiliated persons of the Company.**1. The list of affiliated persons of the Company:**

No.	Name of Organization /individual	Securities trading account (if any)	Position at the Company (if any)	NSH No.*, date of issue, place of issue	Address	Time of starting to be affiliated person	Time of ending to be affiliated person	Reasons	Relationship with the Company
1.	Mr. Albert Kwang-Chin Ting		Chairman of Board of Directors			15/04/2011	-	-	Internal persons
2.	Mr. Nguyen Doan Hung	-	Member of Board of Directors			06/04/2016	-	-	Internal persons

3.	Mr. Wu, Jin-Jeng		Member of Board of Directors			06/04/2016	-	-	Internal persons
4.	Mr. Chen Chia Ken		Member of Board of Directors cum General Director cum the second legal representative			28/03/2013	-	-	Internal persons
5.	Ms. Liu, Hsiu-Mei	-	Independent member of Board of Directors			17/04/2019	-	-	Internal persons
6.	Mr. Liew Sep Siang		Head of Inspection Committee			17/04/2019	-	-	Internal persons
7.	Mr. Chiu Hsien Chih		Member of Inspection Committee			06/04/2016	-	-	Internal persons

8.	Mr. Lii San Rong		Member of Inspection Committee			06/04/2016	31/03/2022	-	Internal persons
9.	Ms. Kuo, Ping-Min		Member of Inspection Committee			31/03/2022	-	-	Internal persons
10.	Ms. Pham Thi Thu Nhan		Deputy General Director			23/07/2015	-	-	Internal persons
11.	Mr. Li, Hsin – Hsien		Deputy General Director			08/04/2022	-	-	Internal persons
12.	Ms. Do Thi Ai Vy		Chief Accountant			07/12/2018	-	-	Internal persons

13.	Ms. Bui Thi Thanh Huong		Chief of Internal Audit			06/04/2016	28/02/2022	-	Internal persons
14.	Ms. Do Thi Ngoc Van		Deputy of Risk Managemnt Division			01/09/2020	20/05/2022	-	Internal persons
15.	Ms. Nguyen Le Duc Hanh		Deputy Director of Finance Divison			04/01/2021	07/03/2022	-	Internal persons
16.	Ms. Chieu Nha Thy		Person in charge of Corporate Governance cum Company Secretary			07/05/2021	-	-	Internal persons
17.	Ms. Nguyen Thi Thu Anh		Supervisor of Risk Management Division			21/05/2022	-	-	Internal persons
18.	Ms. Bach Thi Phuong Thao		Chief of Internal Audit			15/07/2022			Internal persons

19.	Mr. Huang Kai Sheng		Deputy Director of Finance Division			15/07/2022	-	-	Internal persons
20.	Phu Hung Far East Holding Corporation		-	1705717 – 04/04/2012 – British Virgin Islands	Portcullis Trustnet (BVI) Limited, Portcullis TrustNet Chambers P.O.Box 3444, Road Town, Tortola, British Virgin Islands	-	-	-	Major shareholder
21.	An Thinh Development Limited		-	1873621 – 12/05/2015 – British Virgin Islands	Coastal Building, Wickhams Cay II, Road Town, Tortola, British Virgin Islands	-	-	-	Major shareholder
22.	New Beam International Inc		-	1909904 – 24/03/2016 – British Virgin Islands	Ground Floor, Coastal Building Wickhams Cay II, P O Box 3169, Road Town, Tortola, British Virgin Islands	-	-	-	Major shareholder

Note: NSH No.: ID card No./Passport No. (As for individuals) or Business Registration Certificate No., License on Operations or equivalent legal documents (As for organisations).

2. Transactions between the Company and its affiliated persons or between the Company and its major shareholders, internal persons and affiliated persons.

No.	Name of organization/ individual	Relationship with the Company	NSH No.* date of issue, place of issue	Address	Time of transactions with the Company	Resolution No. approved by GMS/ BOD (if any, specifying date of issue)	Content, quantity, total value of transaction	Note
1	Phu Hung Fund Management Joint Stock Company	Affiliated organization of internal persons	24/UBCK-GP 28/12/2007 - State Securities Commission	Room No. 4, Floor 21, Phu My Hung Tower, No. 08 Hoang Van Thai Street, Tan Phu Ward, District 7, HCMC.	From 17/07/2022 to 16/07/2023	Resolution No. 03/71_0722/NQ-HDQT dated 15/07/2022	VND 391,000,000 /month	-

Note: NSH No.: ID card No./Passport No. (As for individuals) or Business Registration Certificate No., License on operations or equivalent legal documents (As for organisations).

3. Transaction between internal persons of the Company, affiliated persons of internal persons and the Company's subsidiaries in which the Company takes controlling power.

No.	Transaction executor	Relationship with internal persons	Position at the listed Company	ID card No. /Passport No., date of issue, place of issue	Address	Name of subsidiaries or companies which the Company control	Time of transaction	Content, quantity, total value of transaction	Note
-	-	-	-	-	-	-	-	-	-

4. Transactions between the Company and other objects:

4.1. Transactions between the Company and the company that its members of Board of Director, the Inspection Committee, General Director have been founding members or members of Board of Directors, or CEOs in three (03) latest years (calculated at the time of reporting): None

4.2. Transactions between the Company and the company that its affiliated persons with members of Board of Directors, Inspection Committee, General Director and other managers as a member of Board of Directors, Board of Directors, or CEOs: None

4.3. Other transactions of the Company (if any) may bring material or non- material benefits for members of Board of Directors, members of the Inspection Committee, General Director and other managers: None

VIII. Share transactions of internal persons and their affiliated persons (Year 2022).

1. The list of internal persons and their affiliated persons of the Company.

No.	Name	Securities trading account (if any)	Position at the company (if any)	ID card No./Passport No., date of issue, place of issue	Address	Number of shares owned at the end of the period	Percentage of share ownership at the end of the period	Note
1.	Mr. Albert Kwang-Chin Ting		Chairman of Board of Directors			-	-	-
1.1	Father: Lawrence S. Ting	-	Passed away	-	-	-	-	-

1.2	Mother: Sylvia Tsong- Ching Fei Ting	-	-			-	-	-
1.3	Wife: Wong, I-Ting	-	-			-	-	-
1.4	Sister: Iris Ting	-	-			-	-	-
1.5	Sister: Joyce Ting	-	-			-	-	-
1.6	Brother: Arthur Ting		-			-	-	-
1.7	Phu Hung Far East Holding Corporation		-	1705717 – 04/04/2012 – British Virgin Islands	Portcullis Trustnet (BVI) Limited, Portcullis TrustNet Chambers P.O.Box 3444, Road Town,	69,004,000	46.00%	-

					Tortola, British Virgin Islands			
1.8	Freshfields Capital Corporation		-	80690793-31/03/2004-Đài Loan	18F., No.4, Sec. 1, Zhongxiao W. Rd., Zhongzheng Dist., Taipei City 100, Taiwan (R.O.C.)	1,290,486	0.86%	-
2.	Mr. Nguyen Doan Hung	-	Member of Board of Directors			-	-	-
2.1	Father: Nguyen Van Tran	-	Passed away	-	-	-	-	-
2.2	Mother: Pham Thi Bac	-	Retired		-	-	-	
2.3	Daughter: Nguyen Phuong Anh	-	-		-	-	-	-
2.4	Son: Nguyen Hung Nam	-	-		-	-	-	-
2.5	Sister: Nguyen Nhi Ha	-	-		-	-	-	-
2.6	Sister: Nguyen Thai	-	-		-	-	-	-

	Binh							
2.7	Sister: Nguyen Hong Nga	-	-		-	-	-	-
2.8	Sister: Nguyen Hong Viet	-	-		-	-	-	-
2.9	Brother: Nguyen Hung Manh		-			258,177	0.17%	-
2.10	Masan Group Corporation	-	-	0303576603- 01/11/2004 - Department of Planning and Investment	Room 802, Floor 8, Central Plaza, 17 Le Duan, Ben Nghe Ward, District 1, HCMC	-	-	-
3.	Ms. Liu Hsiu-Mei	-	Independent member of Board of Directors			-	-	-
3.1	Father: Liu, Guo - Cheng	-	-		-	-	-	-
3.2	Mother: Chen, Yue-E	-	-		-	-	-	-
3.3	Spouse: Chiu, Yi- Hung	-	-		-	-	-	-
3.4	Daughter: Chiu, Chen- Yu	-	-	-	-	-	-	-
3.5	Son: Chiu,	-	-	-	-	-	-	-

	Chen-Kai							
3.6	Son: Chiu, Chen-En	-	-	-	-	-	-	-
4.	Mr. Wu, Jin-Jeng		Member of Board of Director			-	-	-
4.1	Vu Thai Investment Consultant Limited		-	0102340904 – 13/09/2017 - Department of Planning and Investment	Floor 14, Cornerstone Building, 16 Phan Chu Trinh, Hoan Kiem District, Hanoi City	7,473,415	4.98%	-
4.2	Phu Hung Fund Management Joint Stock Company		-	24/UBCK-GP 28/12/2007 - State Securities Commission	Room No. 4, Floor 21, Phu My Hung Tower, No. 08 Hoang Van Thai Street, Tan Phu Ward, District 7, HCMC.	-	-	-
5.	Mr. Liew Sep Siang		Head of Inspection Committee			-	-	-
5.1	Father: Liew Ee Khong	-	-		-	-	-	-
5.2	Mother: Lee Yeak Leak	-	-		-	-	-	-

5.3	Brother: Liew Sep Leng	-	-		-	-	-	-
5.4	Sister: Liew Chin Hui	-	-		-	-	-	-
5.5	Brother: Liew Sep Yong	-	-		-	-	-	-
5.6	Wife: Chu Zi Yan	-	-		-	-	-	-
5.7	Phu Hung Assurance Corporation		-	41/GP-KDBH 12/12/2006 - Ministry of Finance	Floor 4, CR3-04A, 109 Ton Dat Tien, Tan Phu Ward, District 7, HCMC.	3,136,847	2.09%	-
6.	Mr. Chiu Hsien Chih		Member of Inspection Committee			-	-	-
6.1	Father: Chiu Chuei Chun	-	Passed away	-	-	-	-	-
6.2	Mother: Syu Yue Ye	-	Passed away	-	-	-	-	-
6.3	Wife: Lin Ching Yi	-	-			-	-	-

6.4	Sister: Chiu Li Chiu	-	-			-	-	-
6.5	Sister: Chiu Li Ying	-	-			-	-	-
6.6	Sister: Chiu Hsueh O	-	-			-	-	-
7	Mr. Lii San Rong		Member of Inspection Committee			-	-	-
7.1	Father: Lii Tson	-	Passed away	-	-	-	-	-
7.2	Mother: Lii Wu Jin Tsou	-	Passed away	-	-	-	-	-
7.3	Wife: Yen Shu Ching	-	-			-	-	-
7.4	Child: Lii Dih Yng	-	-			-	-	-

7.5	Child: Lii Hung Yen	-	-			-	-	-
7.6	Sibling: Lii Tzung Shin	-	-			-	-	-
8.	Ms. Kuo, Ping-Min		Member of Inspection Committee			-	-	-
8.1	Mother: Ding Zhi Fang	-	-		-	-	-	-
9.	Mr. Chen Chia Ken		Member of Board of Directors cum General Director cum the second legal representative			-	-	-
9.1.	Father: Chen Yi Fan	-	Passed away	-	-	-	-	-
9.2	Mother: Tsai Pi Chin	-	-			-	-	-

9.3	Wife: Wang Tzu	-	-			-	-	-
9.4	Child: Chen Hsiu Te	-	-			-	-	-
9.5	Child: Chen Hsiu Yi	-	-			-	-	-
10.	Ms. Pham Thi Thu Nhan		Deputy General Director			-	-	-
10.1	Father: Pham Ngoc Ho	-	-			-	-	-
10.2	Mother: Pham Thi Hon	-	-			-	-	-

10.3	Child: Nguyen Pham An Nhien	-	-	Children		-	-	-
10.4	Sibling: Pham Ngoc Tinh		-			-	-	-
10.5	Sibling: Pham Thi Cam Xuyen		-			-	-	-
11.	Mr. Li, Hsin – Hsien		Deputy General Director			-	-	-
11.1	Father: Li Bing-Rong	-	Passed away	-	-	-	-	-
11.2	Mother: Wu Shou-Mei	-	Passed away	-	-	-	-	-
11.3	Child: Li Ting- Yi	-			-	-	-	-
11.4	Child: Li Su- Ying	-			-	-	-	-
12.	Ms. Do Thi Ai Vy		Chief Accountant			-	-	-

12.1	Father: Do Gia Van	-	-			-	-	-
12.2	Mother: Nguyen Thi Tuyet	-	-			-	-	-
12.3	Husband: Pham Duc Vu	-	-			-	-	-
12.4	Child: Pham Gia Khiem	-	-	Children		-	-	-
	Child: Pham Bao Chau	-	-	Children		-	-	-

12.5	Sister: Do Thi Ly Ly	-	-			-	-	-
12.6	Sister: Do Thi Uyen My	-	-			-	-	-
12.7	Brother: Do Gia Bao	-	-			-	-	-
13	Ms. Bui Thi Thanh Huong	-	Head of Internal Audit			-	-	-
13.1	Mother: Do Thi Chinh	-	-			-	-	-
13.2	Husband: Truong Duy Phuc	-	-			-	-	-
13.3	Child: Truong Thi Thanh Phuong	-	-			-	-	-

13.4	Child: Truong Duy Thai	-	-			-	-	-
13.5	Brother: Bui Duc Thang	-	-			-	-	-
13.6	Brother: Bui Xuan Canh	-	-			-	-	-
14	Ms. Do Thi Ngoc Van		Deputy of Risk Managemnt Division			-	-	-
14.1	Father: Do Hong Hai	-	-			-	-	-
14.2	Mother: Tran Thi Thu Hong	-	-			-	-	-
14.3	Brother: Do Ngoc Vu	-	-			-	-	-
14.4	Brother: Do Ngoc Van	-	-			-	-	-
14.5	Sister: Do Thi Ngoc Vy		-			-	-	-

14.6	Brother: Do Thanh Vinh		-			-	-	-
15.	Ms. Nguyen Le Duc Hanh		Deputy Director of Finance Division			-	-	-
15.1	Father: Nguyen Huu Phuoc	-	-	-		-	-	-
15.2	Mother: Le Thi Vinh Chau	-	-	-		-	-	-
15.3	Sister: Nguyen Le Hoai Phuc	-	-	-		-	-	-
15.4	Husband: Nguyen Hoang Anh	-	-	-		-	-	-
15.5	Child: Nguyen Hoang Anh	-	-	-		-	-	-

	Thu							
15.6	Child: Nguyen Hoang Anh Phuong	-	-	-		-	-	-
16.	Ms. Chieu Nha Thy		Person in charge of Corporate Governance cum Company Secretary			-	-	-
16.1	Father: Chieu Duc Nghia	-	-			-	-	-
16.2	Mother: Luong Ngoc Mai	-	-			-	-	-
16.3	Brother: Chieu Duc Tam	-	-			-	-	-
16.4	Sister: Chieu Boi Thy	-	-			-	-	-
17	Ms. Nguyen		Supervisor of			107	0.000071%	

	Thi Thu Anh		Risk Managemnt Division					
17.1	Father: Nguyen Ngoc Dung		-			-	-	-
17.2	Mother: Ho Thi Thu Van		-			-	-	-
17.3	Brother: Nguyen Ngoc Anh		-			-	-	-
17.4	Brother: Nguyen Tuan Anh		-			-	-	-
18.	Ms. Bach Thi Phuong Thao		Chief of Internal Audit			-	-	-
18.1	Father: Bach Quang Vinh	-	-			-	-	-
18.2	Mother: Dinh Thi Ngoc Hanh	-	-			-	-	-

18.3	Farther in law: Nguyen Van Tinh	-	-			-	-	-
18.4	Mother in law: Nguyen Thi Phuc	-	-			-	-	-
18.5	Husband: Nguyen Van Thuan	-	-			-	-	-
18.6	Younger bother: Bach Chi Cuong	-	-			-	-	-
18.7	Younger bother: Lam Ngoc Tuong	-	-			-	-	-

	Van							
18.8	Son: Nguyen Phuc Hoang	-	-	-		-	-	-
19.	Mr. Huang Kai Sheng		Deputy Director of Finance Division			-	-	-
19.1	Father: Huang, Jeng- Her	-	-			-	-	-
19.2	Mother: Wu, Chen- Chen	-	-			-	-	-
19.3	Wife: Chiang, Chu-Yun	-	-			-	-	-

19.4	Son: Huang, Ping-Chieh	-	-			-	-	-
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2. Transactions of internal persons and affiliated persons with shares of the company.

No.	Transaction executor	Relationship with internal persons	Number of shares owned at the beginning of the period		Number of shares owned at the end of the period		Reasons for increasing, decreasing (buying, selling, converting, rewarding, etc.)
			Number of shares	Percentage	Number of shares	Percentage	
-	-	-	-	-	-	-	-

IX. Other significant issues: None

Recipients:

- As above;
- Archived: Company Secretariat.

CHAIRMAN OF THE BOARD OF DIRECTORS

(Sign, full name and seal)



ALBERT KWANG – CHIN TING