

**Phu Hung Securities Corporation Company (PHS)**  
**INSTRUCTIONS FOR INVESTORS PARTICIPATING IN**  
**STOCK AUCTION**

**Step 1:** Investors receive and fill in information in the form “Registration for Stock Auction” according to the form of each auction code (form attached with announcement/auction regulation).

**Step 2:** Investors pay deposits

1. Investors pay deposits (cash or bank transfer) to the account:

- **Account number:** 1190132943
- **Name of Bank:** Bank for Investment and Development of Vietnam – Nam Ky Khoi Nghia Branch - **Beneficiary's name:** Phu Hung Securities Corporation Company.
- **Content:** < Investor’s name > < ID number > Pay auction <Number of stock> <Name of issuer>
- **Deposit amount to be paid:** 10% of the total value of registered stock for auction at the opening price.

***Example:***

***Nguyen Van A – ID card number 123456789 – Pay auction for 100 share of ABC Company.***

2. If the investor have securities trading account at PHS and have enough money in his/her account to be deposited. Based on Registration Form, and investors’ demand, PHS will cut down the deposit (10% of the total value of the registered stock for auction at the opening price).

**Step 3:** Investors submit the application for auction

Investors submit the application for auction to the Branch/Trading Office of Phu Hung Securities Corporation Company (PHS); the auction application includes:

***1. For individual:***

- 01 original “Registration for Stock Auction”
- 01 copy of “Cash deposit receipt” or “Payment order” or “Online money transfer statement” that represent the payment of the deposit.
- 01 copy of ID card or passport.
- 01 copy of “Authorization letter” and 01 copy of ID card of authorized person (if any).

***2. For institution:***

- 01 original “Registration for Stock Auction”
- 01 copy of “Cash deposit receipt” or “Payment order” or “Online money transfer statement” that represent the payment of the deposit.
- 01 copy of “Business Registration Certificate”
- 01 copy of ID card or passport of the legal representative.
- 01 copy of “Authorization letter” (with the seal of the institution) for the representative person on behalf of institution to attend stock auction and 01 copy of the representative's ID card on behalf of that institution (if any).

### ***3. For foreign investor:***

- Beside the provisions as for domestic individual, foreign investor also require the issued confirmation by the organization that provides the payment services on the "Registration for Stock Auction".
- Organization providing payment services is the Bank where the foreign investor opens account for securities trading as prescribed.
- PHS will support foreign investors (who have opened the account for securities transactions at BIDV) to confirm with the payment service provider is BIDV if required by investors.

#### ***Note:***

- o *"The agreement auction application" consists of the above-mentioned papers, which are not erased or torn.*
- o *The investor must fill in the information in the "Registration for Stock Auction"*

#### **Step 4:** Investors receive "The Auction Participation Slip"

- After the investor completes the registration procedure and transfer the deposits, PHS will send to the investor 01 "The Auction Participation Slip" with the the seal of PHS.
- Investors are responsible for preserving the "The Auction Participation Slip" is not erased or torn.

#### **Step 5:** Making a bidding on "The Auction Participation Slip" with the seal of PHS

- The investors should carefully read the auction regulations of each auction, such as:
  - o **Bidding price:** not lower than the opening price.
  - o **Bidding volume:** total of volume are not larger than the registered volume.
  - o **Price step:** following the auction regulation.
  - o **Verification signature:** must be the same for all documents.
- Each investor only receive one "The Auction Participation Slip" and complete the information in the slip as followings:
  - o The price is higher than the price placed before.
  - o The total bidding volume of each price must be equal to the volume of registered shares. Excepting the auction regulation has other rules.

#### **Step 6:** Submitting "The Auction Participation Slip"

- They way to submit "**The Auction Participation Slip**"
  - o Directly submit "The Auction Participation Slip" at Place: Ha Noi Stock Exchange (Address: 02 Phan Chu Trinh St, District Hoan Kiem, Ha Noi).
- "**The Auction Participation Slip**" must be put in a sealed envelope with the signature of the investor on the sealing edge.

#### **Step 7:** Organizing the auction at the Stock Exchange

- Stock Exchange organize auction at the disclosure time.
- Investors can check the results of auction on the website of the Stock Exchange immediately after the auction ends.

**Step 8:** Announcing the auction results to investors

- Right after receiving the detailed auction results from the Stock Exchange, PHS will notify via registered email or phone of customers.
- Investors receive directly the auction results at Branches/Trading Offices of PHS or PHS send a scanned notice of the successful auction by registered email of investors.

**Step 9:** Making a payment for the stock after the successful auction

- In case, the investor win the auction:
  - **Buying all stocks that winning the auction:**
    - During the payment period announced for each auction, investors should transfer the remaining amount into PHS's auction receipt account opened at BIDV – Nam Ky Khoi Nghia Branch No. 1190132943.
    - Over that time, if investor's payment is not enough, they will lose the deposit (consider as investors give up on the deposit).
  - **No buying all stocks that winning the auction:** Depending on the auction regulation of issuing company, investors may lose all or a part of the deposit.
- In case, the investor does not win the auction ○ **“The Auction Participation Slip”** is valid:
  - PHS will return deposit to the investors as specified in the auction regulations through a bank account registered by investors.
  - The transfer fee (if any) will be deducted from the deposit transferred back to the investor.
- **“The Auction Participation Slip:** is not valid in accordance with the auction regulations: the deposit amount will be handled in accordance with the auction regulations.

**NOTE:**

- If the investor has a securities account at PHS and has enough money in his/her account to pay the winning auction. Based on the winning auction notice, and investors' demand, PHS will cut down the payment in the account of investors
- The signature of the investor in the “Registration for Stock Auction”, “The Auction Participation Slip”, “Authorization Letter” must be the same, investors must be responsible to the Stock Exchange when there is different.
- Investors should provide correct phone number and address for convenient contact.
- PHS will not be responsible for solving the following cases:
  - Investors transfer money later than the time prescribed in the auction regulations.
  - Investors who participated in the wrong auction regulations, if wrong, investors will lose deposit as stipulated in the auction regulations.

**For more information, please contact:**

**Customer Service Center - 1900 25 23 58**

**Website: [www.phs.vn](http://www.phs.vn)**

**Email: [support@phs.vn](mailto:support@phs.vn)**