

Số: 04/2020/CV-CBTT
No.04/2020/CV-CBTT

TP. Hồ Chí Minh, ngày 20 tháng 01 năm 2020
Ho Chi Minh City, January 20, 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

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

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

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Loại công bố thông tin: 24 giờ định kỳ bất thường theo yêu cầu
Information disclosure type: 24 hours Periodic Irregular On demand

Nội dung thông tin công bố:
The content of information disclosure:

Báo cáo quản trị năm 2019
2019 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 20/01/2020 tại đường dẫn <http://www.hsc.com.vn/vn/investor/information-disclosure>
This information was published on HSC webpage on January 20, 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 năm 2019

2019 HSC Corporation Governance Report

No.01/2020/CV-HĐQT

Ho Chi Minh City, 20 January 2020

**REPORT ON CORPORATION GOVERNANCE OF
HO CHI MINH CITY SECURITIES CORPORATION****(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 2018 ("AGM FY2018") on April 25, 2019.

The contents of AGM FY2018 Resolution are as follows:

No.	Resolution No.	Date	Content
01	01/2019/NQ-ĐHĐCĐ	25/04/2019	<ul style="list-style-type: none">- Approved the report of 2018 activities of the Board of Directors.- Approved the report of 2018 bussiness performance of the Board of Management.- Approved business plan 2019;- Approved the report of the Supervisory Board on Company's operation 2018.- Approved the Audited Financial Statements for the year ended 31 December 2018.- Approved the FY2018 final cash dividend rate.- Approved the FY2019 dividend plan.- Approved the FY2018 profit distribution plan.- Approved the authorization to BOD to appoint an independent audit firm for the FY2019.- Approved the issuance of covered warrant products.

II. Board of Directors (“BOD”)

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

In 2019, the Board of Directors held twenty-nine meetings, in which thirteen in-person and sixteen 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		29/29	100%	
02	Mr. Le Anh Minh	Vice chairman	21/04/2016		29/29	100%	
03	Mr. Lam Hoai Anh	Member	26/04/2018		27/29	93%	Business trip
04	Mr. Pham Nghiem Xuan Bac	Member	21/04/2016		29/29	100%	
05	Mr. Le Thang Can	Member	21/04/2016		29/29	100%	
06	Mr. Johan Nyvene	Member	21/04/2016		29/29	100%	
07	Mr. Le Hoang Anh	Member	21/04/2016		29/29	100%	

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

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

- To complete and disclosure on time the FY2018 audited Financial Statement, the FY2019 quarterly/ the semi audited Financial Statement and the Annual Report 2018;
- To convene the FY2018 Annual General Shareholders’ Meeting at New World Saigon Hotel on April 25, 2019;
- To urge the implementation of FY2019 business plan approved at the FY2018 AGM. In 2019, Vietnam’s Stock Market was not optimistic. This is the reason why the HSC FY2019 after-tax profit only reached 433 billion, achieving 64% of the FY2019 business plan approved at the FY2018 AGM;
- To set up, implement and complete the shares issuance to existing shareholders using owners’ equity to increase charter capital, the shares issuance offering to existing shareholders and the shares issuance for employee stock ownership plan (ESOP 2018) adopted at GSM Resolution No.02/2018/NQ-ĐHĐCĐ dated October 22, 2018;
- To set up and complete the FY2018 final cash dividend payment with the pay –out rate of 19% and the FY2019 interim cash dividend payment with the pay –out rate of 5% approved by FY2018 AGM Resolution No.01/2019/NQ-ĐHĐCĐ dated April 25, 2019 and BOD Resolution No.28/2019/NQ-HĐQT dated November 11, 2019.
- To appoint Price Waterhouse Coopers Vietnam Co., Ltd as the independent audit firm and monitor the implementation of HSC FY2019 quarterly, semi – annual and annual audited Financial Statements;
- To monitor the implementation of the covered warrant products;
- To monitor the implementation of rearrange some transaction offices;
- To monitor the setting - up the retail and wholesale bond system.

3. Activities of the BOD’s committees:

3.1. Risk Management Committee (“RMC”):

- In 2019, RMD continued to improve the framework of Risk Management under COSO;

- On a monthly/ quarterly/ annually 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 2019, 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 Information Technology and Network Security Management
- Internal Audit Function is auditing the process 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	01/2019/NQ-HĐQT	09/01/2019	<ul style="list-style-type: none"> - Approved the 2018 financial performance; - Approved the agenda of AGM FY2018 and the main contents of the proposals to be presented at AGM FY2018; - Approved the record date to determine which shareholders were eligible to attend AGM FY2018;
02	02/2019/NQ-HĐQT	29/01/2019 For seeking directors' writing approval	<ul style="list-style-type: none"> - Approved the record date to determine which shareholders are eligible to get bonus shares and to purchase the issuance shares based on EGM Resolution No. 02/2018/NQ-ĐHĐCĐ dated 22 October 2018 and License No.08/GCN-UBCK dated 24 Jan 2019 by Chairman of SSC. - Approved to extend the time of shares issuance in License No.08/GCN-UBCK dated 24 Jan 2019 by Chairman of SSC.
03	03/2019/NQ-HĐQT	06/03/2019 For seeking directors' writing approval	<ul style="list-style-type: none"> - Approved to adjust the time of right transfer and time of bidding for securities of shares issuance offering to existing shareholders and the expected time of shares issuance for employee stock ownership plan (ESOP 2018) based on License No.08/GCN-UBCK dated 24 Jan 2019 and Decision No.158/QĐ-UBCK dated 05 March 2019 by Chairman of SSC.
04	03A/2019/NQ-HĐQT	08/03/2019	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	04/2019/NQ-HĐQT	13/03/2019 For seeking directors' writing approval	<ul style="list-style-type: none"> - Approved to resign as Risk Management Consultant of Mr. Arnold Villanueva Pangilinan, effective from 20 February 2019. - Approved to resign as Chief Risk Officer of Ms. Nguyen Anh Xuan Trang, effective from 12 March 2019.
06	05/2019/NQ-HĐQT	14/03/2019	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. 01/2018/CV-CBTT dated 11 January 2018).</i>
07	06/2019/NQ-HĐQT	18/03/2019 For seeking directors' writing approval	Approved to revise the total credit limit of HSC from VND5,700 billion to VND6,000 billion, which is equivalent to two times of HSC's shareholder equity in FY2018 Financial Statement as at 31 December 2018. The credit limit includes loans from banks, other institutions and HSC bond.
08	07/2019/NQ-HĐQT	18/03/2019	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 19 March 2019).</i>
09	08/2019/NQ-HĐQT	18/03/2019	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 19 March 2019).</i>
10	09/2019/NQ-HĐQT	01/04/2019	<ul style="list-style-type: none"> - Approved the forecast of 1H 2019 business result. - Approved to supplement the proposal "Issuance of covered warrant products" to AGM FY2018 agenda approved at Resolution No.01/2019/NQ-HĐQT dated 09 January 2019. - Approved to change the address and name of the Thai Van Lung Branch. - Decided to close the Nguyen Thi Minh Khai Transaction Office.
11	10/2019/NQ-HĐQT	10/04/2019 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. 10/2019/CV-CBTT dated 19 March 2019).</i>
12	11/2019/NQ-HĐQT	10/04/2019 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. 10/2019/CV-CBTT dated 19 March 2019).</i>
13	12/2019/NQ-HĐQT	06/05/2019 For seeking directors' writing approval	Appointed Price Waterhouse Coopers Vietnam Co., Ltd; as the independent audit firm for the fiscal year 2019.
14	13/2019/NQ-HĐQT	08/05/2019 For seeking directors' writing approval	Approved to issue covered warrant products.
15	14/2019/NQ-HĐQT	20/05/2019	Approved the plan of handling with the remaining of shares from shareholders not carried out to purchase shares of the offering shares issuance as detailed in EGM Resolution No. 02/2018 / NQ-ĐHĐCĐ dated 22 October 2018.
16	15/2019/NQ-HĐQT	24/05/2019	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 19 March 2019).</i>
17	16/2019/NQ-HĐQT	12/06/2019	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 19 March 2019).</i>

No.	Resolution No.	Date	Content
18	17/2019/NQ-HĐQT	12/06/2019	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 19 March 2019).</i>
19	18/2019/NQ-HĐQT	05/07/2019 For seeking directors' writing approval	Approved to issue covered warrant MBB-HSC-MET01.
20	19/2019/NQ-HĐQT	30/07/2019	- Approved the 1H2019 financial performance. - Approved to repair Head quarter (Level 5&6, AB Tower).
21	20/2019/NQ-HĐQT	12/09/2019 For seeking directors' writing approval	Approved "HSC Labor Regulations".
22	21/2019/NQ-HĐQT	09/08/2019 For seeking directors' writing approval	Approved to issue covered warrants: FPT-HSC-MET01, VNM-HSC-MET01, VRE-HSC-MET01, MBB-HSC-MET02, MWG HSC-MET02.
23	22/2019/NQ-HĐQT	19/09/2019 For seeking directors' writing approval	Approved to sell shares of VietFund Management (VFM).
24	23/2019/NQ-HĐQT	01/10/2019 For seeking directors' writing approval	- Decided to close Nguyen Van Troi Transaction Office at 2nd Room, Ground floor, Centre Point Building, 106 Nguyen Van Troi Street, Ward 8, Phu Nhuan District, Ho Chi Minh City. - Approved to change the address of Hoan Kiem Transaction Office from Level 4 & 5, 66A Tran Hung Dao Street, Hoan Kiem District, Ha Noi City to Level 4, 66A Tran Hung Dao Street, Hoan Kiem District, Ha Noi City. - Approved to change the address of Kim Lien Transaction Office from Level 18 & 21, VCCI Building, 9 Dao Duy Anh Street, Phuong Mai Ward, Dong Da District, Ha Noi City to Level 18, VCCI Building, 9 Dao Duy Anh Street, Phuong Mai Ward, Dong Da District, Ha Noi City.
25	24/2019/NQ-HĐQT	11/10/2019	- Approved the 3Q2019 finance performance. - Approved to set up the retail and wholesale bond system. - Approved to set up the new system – DigiWorld Project.
26	25/2019/NQ-HĐQT	18/10/2019	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 19 March 2019).</i>
27	26/2019/NQ-HĐQT	21/10/2019 For seeking directors' writing approval	Approved to implement the activities of exchange rate risk hedging such as the exchange rate transactions and the interest rate derivative transactions.
28	27/2019/NQ-HĐQT	04/11/2019 For seeking directors' writing approval	Approved to issue covered warrants: FPT-HSC-MET02, GMD-HSC-MET01, HPG-HSC-MET01, MBB-HSC-MET03, MWG-HSC-MET03, REE-HSC-MET01, TCB-HSC-MET01, VNM-HSC-MET02, VPB-HSC-MET01, VRE-HSC-MET02.
29	28/2019/NQ-HĐQT	11/11/2019	Approved the FY2019 first interim cash dividend.

No.	Resolution No.	Date	Content
		For seeking directors' writing approval	

III. Supervisory Board ("BOS"):

1. Information about the BOS:

In 2019, 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 2019, the main areas were overseen by BOS as below:

- To report the supervisions of the FY2018 business results and the activities plan of BOS to the Shareholders at AGM FY2018.
- 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 FY2019 quarterly/ semi-annual/ annual audited 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 2019.

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 2019.

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		BOD Member cum CEO					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 Organization		Head of Supervisory Board					21/04/2016		
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					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	Johan Nyvene (*)		CEO					15/05/2007	The same A6	
02	Trinh Hoai Giang		Deputy CEO					15/05/2007		
03	Le Cong Thien		Deputy CEO					12/08/2013		
D CHIEF FINANCIAL OFFICER/ ACCOUNTING CHIEF										

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				
	Lam Huu Ho		CFO/AC							
E	PERSON AUTHORIZED TO DISCLOSE INFORMATION									
	Le Anh Quan		Chief Partnership Officer					11/02/2019		

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: On 31 December 2019, HSC transferred 2,180,364 shares of VietFund Management (VFM) to Dragon Capital Management (HongKong) Limited (the affiliated company of Dragon Capital Group) referring to Resolution No.22/2019/NQ-HĐQT dated September 19, 2019 issued by the HSC Board of Directors and Decision No.107/QĐ-UBCK dated December 31, 2019 issued by the State Securities Commission.
 - 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		
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	15.00%
b	Individual										
01	Le Anh Dung		Father								

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 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								
08	Le Anh Quang		Younger brother								
03 a	Pham Nghiem Xuan Bac Organization		Member					560,000	0.18%		
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	DPJof Hanoi	3 rd Floor, Hanoi Tower, 49 Hai Ba Trung Str., Hanoi				
03 b	Cong Huong JSC Individual		Chairman	0103012948	07/07/2006	DPI of Hanoi	3rd Floor, Hanoi Tower, 49 Hai Ba Trung Str., Hanoi			841,030	0.28%
01	To Thi Anh Duong		Wife								
02	Pham Thu Nga		Daughter								
03	Pham Thu Huong		Daughter								
04	Pham Hoang Minh Thu		Sister								
05	Pham Nghiem Minh Thao		Sister					11	-		
06	Pham Nghiem Minh Thuy		Sister								
07	Pham Nghiem Xuan Binh		Brother					88	-		

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 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	8,59%
b	Individual										
01	Le Cong		Father								
02	Chau Thi Hong		Mother								
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 cum CEO					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	15.00%
b	Individual										

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	Nguyen Duc Hoa		Father								
02	Le Thi Sen		Mother								
03	Nguyen Thai Hang		Wife								
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								
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										

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	Le Phi Yen		Father								
02	Thai Thi Thanh Van		Mother								
03	Le Thi Huynh Mai		Wife								
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 a	Vo Van Chau Organization		Head of Supervisory Board					40,418	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								
02	Vo Thi Nha Uyen		Daughter								
03	Vo Pham Nha Khanh		Daughter								

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	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								
a	Organization							10,935	0,004%	-	-
b	Individual										
01	Nguyen Thi Sen		Mother								
02	Trinh Thi Kim Thanh		Wife								
03	Doan Quang Huy		Son								
04	Doan Thi 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								

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 a	Dang Nguyet Minh Organnization		Member								
01 b	Dragon Capital Markets Limited (DC) Individual		Director								
01	Dang Van Duong		Father								
02	Le Nguyen Minh		Mother								
03	Nguyen Hoai Nam		Husband								
04	Dang Thanh Tung		Brother								
C	BOARD OF MANAGEMENT										
01	Johan Nyvene (*)		CEO							The same A.06	
02 a b	Trinh Hoai Giang Organization Individual		Deputy CEO					943,351	0.21%	-	-
01	Tran Thị 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	-		

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	Le Cong Thien		Deputy CEO				591,091	0.19%	-	-	
a	Organization										
b	Individual										
01	Le Thi Dinh		Mother								
02	Le Thi Ngoc Linh		Wife								
03	Le Ngoc Kim Ngan		Daughter								
04	Le Ngoc Thien An		Daughter								
05	Le Cong Tam		Brother								
06	Nguyen Kim Hoang		Sister								
07	Le Cong Phat		Brother								
08	Le Cong Tai		Brother								
09	Le Cong Chanh		Brother								
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								
04	Lam Thi Phuong Thao		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					
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 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

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 5,000,000 shares from 12/12/2019 to 18/12/2019 and from 24/12/2019 to 31/12/2019 but no purchasing due to inappropriate price.

VII. Other significant issues:

FOR AND ON BEHALF OF THE BOARD OF DIRECTORS
CHAIRMAN



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ĐỖ HUNG VIỆT

