JBSV
JB Securities Vietnam

PROCEDURE OF REPORTING AND INFORMATION DISCLOSURE

(Issued with Decision No. 2139/QĐ-JBSV dated 10/11/2021)

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PREVIOUS VERSION

Name	Version	Effective date	Prepared By	Reason for Change
Procedure of reporting and information disclosure	1.0	26/03/2024	Hoang To Hoa Tham	Update legal basis
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1. PURPOSE

- Standardize the order and procedures for reporting and information disclosure.
- Guide and union the content, order and timing of report submission to the State Securities Commission, the Stock Exchanges, Vietnam Securities Depository and Clearing Corporation and other competent State agencies to ensure full compliance with the provisions of law on reporting and information disclosure regimes.
- Serve to train new employees and help other related professional employees to perform their operational activities.

2. SUBJECTS OF APPLICATION

- Departments in charge of the reporting and information disclosure;
- Persons performing information disclosure;
- Company Insiders and related individuals/organizations of the Insiders;
- Clients who are insiders or related persons of insiders of issuers or large-scale public companies and maintain securities trading accounts at JBSV.
- Other relevant departments and teams.

3. LEGAL BASIS

- Law on Securities No. 54/2019/QH14 passed by the National Assembly of the Socialist Republic of Vietnam XIV on November 26, 2019, as amended and supplemented by Law No. 56/2024/QH15 dated 29 November 2024;
- Enterprise Law No. 59/2020/QH14 passed by the National Assembly of the Socialist Republic of Vietnam XIV on 17/06/2020, as amended and supplemented by Law No. 03/2022/QH15 dated 11 January 2022 and Law No. 76/2025/QH15 dated 17 June 2025;
- Decree No. 155/2020/ND-CP dated 31/12/2020 regulating details to implement a number of articles of the Law on Securities, as amended by Decree No. 245/2025/ND-CP dated 11 September 2025;
- Decree No. 156/2020/ND-CP dated 31/12/2020 by the Government regulating the sanctioning of administrative violations in securities and securities market, as amended by Decree No. 128/2021/ND-CP dated 30 December 2021 and Decree No. 306/2025/ND-CP dated 25 November 2025;
- Circular 121/2020/TT-BTC issued by the Ministry of Finance on 31/12/2020 regulating operations of securities companies, as amended by Circular No. 68/2024/TT-BTC dated 18 September 2024 and Circular No. 08/2026/TT-BTC dated 3 February 2026;
- Circular 96/2020/TT-BTC issued by the Ministry of Finance on 16/11/2020 guiding the disclosure of information on the stock market, as amended by Circular No. 68/2024/TT-BTC, Circular No. 18/2025/TT-BTC and Circular No. 08/2026/TT-BTC;

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- Circular No. 18/2025/TT-BTC dated 26 April 2025 amending Circular No. 119/2020/TT-BTC concerning securities registration, depository, clearing and settlement ;
- Regulations on Information Disclosure at the Vietnam Stock Exchanges and its subsidiaries, issued together with Decision No. 21/QD-SGDVN dated 21/12/2021 of the General Director of the Vietnam Stock Exchange and any amendments, supplements or replacements;
- Applicable membership, trading, securities registration, depository, clearing, settlement and operational regulations issued by VNX, its subsidiaries and VSDC, including amendments, supplements and replacements;
- Other relevant legal documents;
- The Company's Charter and internal regulatory procedures issued by JBSV from time to time.

4. DEFINITIONS AND ACRONYMS

No	Acronyms	Explanation
1	JBSV/The Company	JB Vietnam Securities Company Limited
2	OPS	Operations & Control Department
3	MKT	Marketing Department
4	IC	Internal Control Department
5	Legal	Legal & Compliance Department
6	RISK	Risk Management Department
7	ID	Information Disclosure
8	Insiders	The persons holding important positions in the management and governance of the Company as stipulated in Clause 45 Article 4 of the Law on Securities No. 54/2019/QH14
9	Information Discloser(s)	The person(s) who makes the disclosure of information specified in this Procedure
10	ID Team	Teams/departments supporting the Information Discloser(s)
11	Related people	An individual or organization specified in Clause 46, Article 4 of the Law on Securities and Clause 23, Article 4 of the Law on Enterprises
12	The Management	The Board of Directors
13	SSC	The State Securities Commission
14	VNX	Vietnam Stock Exchange
15	HSX	Ho Chi Minh City Stock Exchange
16	HNX	Hanoi Stock Exchange
17	VSDC	Vietnam Securities Depository and Clearing Corporation
18	CBONDS	HNX's Corporate Bond Information Web Portal

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19	Circular 96	Circular 96/2020/TT-BTC issued on 16/11/2020 guiding information disclosure on the stock markets
20	MC	Members' Council
21	GD	General Director
22	BOD	Board of Directors, including the General Director and Deputy Director(s)
23	BOS	Board of Supervisors
24	FS	Financial Statements
25	FARR	Financial Adequacy Ratio Report
26	GR	Governance Report
27	AR	Annual Report
28	SoA	Statements to Adjustments in Profit-after-tax
29	SoC	Statements to Confirmation for Fulfillment of Information disclosure obligations
30	CC	Short for Carbon Copy, which is the mode used to send emails to many people at the same time, the list of recipients of the email content is also publicly displayed to all recipients of the email
31	SCMS	Supply chain management software (SCMS) are software tools or modules used to conduct supply chain transactions, manage supplier relationships and control SSC's related business processes. SCMS system has 3 functions: managing company profile information, sending and monitoring the status of periodic, unusual and other reports; send the company's disclosure information to the information disclosure system of the SSC
32	CIMS	Corporate Information Management System (CIMS) CIMS is a 24/7 online information management system on the Internet. CIMS supports listing/transaction registration/ member organizations to fulfill the obligation to disclose information and report quickly and effectively, overcoming obstacles in the process of fulfilling the obligation to disclose information so far

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5. OBLIGATIONS OF REPORTING AND INFORMATION DISCLOSURE

The Company is obliged to make reports and publish information including:

5.1. The content for periodic information disclosure (as specified in Appendix 1), ad-hoc information disclosure, disclosure upon request, and other types of information disclosure (as specified in Appendix 2) shall be prepared and reviewed on a monthly basis by the OPS Department. This content shall be updated as soon as possible following the issuance of new legal regulations, or in the event of changes to licenses, products and services, organizational structure, or new requirements from regulatory authorities

5.2. Periodic reports, extraordinary reports and upon request of the Governing Authorities. The list of required reports is prepared and reviewed on a monthly basis by the OPS Department and is continuously updated to ensure compliance with regulatory requirements. Whenever there is a change to this list, the OPS Department will update and track it, and the Internal Control (IC) function will conduct a periodic review (on a semi-annual basis).

6. PRINCIPLES OF REPORTING AND INFORMATION DISCLOSURE

6.1. Reports and the ID content of the Company must be prepared accurately, submitted and approved internally fully and on time.

6.2. Reports and ID must be complete, accurate and timely in accordance with the provisions of law.

- In case there is a change in the content of published information, the modified contents and reasons for the change compared to the previously announced information must be disclosed fully and on time;
- Personal ID including Citizen identity card, valid passport number, contact address, permanent address, phone number, email, securities account number, bank account number shall only be done if the relevant subject agrees.

  In case that the related subject does not agree, the Company must send 02 documents to the SSC and VNX, of which: 01 on the ID including full personal information and the other one excluding personal information to SSC and VNX to perform ID.

6.3. The ID of the organization must be performed by the legal representative or the person authorized to perform the ID.

6.4. The information that has been disclosed and the reports must be kept and stored fully and on time in compliance with the law.

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- Periodic information disclosure (according to Appendix 1) must be kept in written form (if any) and electronic data for at least 10 (ten) years. This information must be kept on the Company's website for at least 05 years;
- Extraordinary ID or ID upon request (according to Appendix 2) must be kept in written form (if any) and on the Company's website for at least 05 years;
- The reports must be kept in written form (if any) and electronic data for a minimum of 10 years.

7. INFORMATION DISCLOSERS

- Be the Company's legal representative or authorized person to perform ID, representing the Company to perform ID and take responsibility in front of the Company and the law on all the information that has been disclosed.
- JBSV must report and re-report information about the Information disclosers to the SSC and VNX within 24 hours from the effective date of appointment, authorization or change of the information disclosers. The content of the information reported on the Information disclosers shall include the Authorization letter for Information Disclosers using the template specified in Appendix I issued together with Circular 96 (or applicable amending or replacement circulars), Information Disclosure using the template specified in Appendix III promulgated together with Circular 96 (or applicable amending or replacement circulars). The legal representative must hold responsibility for the completeness, accuracy and timeliness of the information published by the person that has been authorized to perform ID.

8. MEANS OF REPORTING AND INFORMATION DISCLOSURE

- The Company's website: https://www.jbsv.com.vn/;
- Information disclosure system of the SSC;
- Websites of the Stock Exchanges and other ID channels in compliance with the Exchanges' regulations;
- VSDC's website;
- Other mass media as prescribed by law.

9. LANGUAGE OF INFORMATION DISCLOSURE

- The ID language is either Vietnamese or bilingual Vietnamese – English.

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- In case the ID is in Vietnamese and English, the content published in English is for reference only. In case there is a discrepancy between Vietnamese and English content, Vietnamese content will prevail.

10. SUSPENSION OF INFORMATION DISCLOSURE

- The ID shall be temporarily suspended in case of force majeure such as natural disasters, fires, wars, epidemics and other force majeure reasons. The Company must report to the SSC and the Stock Exchanges about the suspension of the ID immediately after the event arises (in which clearly stating the reasons for the ID suspension) and at the same time make an announcement on the ID suspension.
- As soon as the force majeure situation is overcome, the Company must fully disclose information that has not previously been disclosed in accordance with the provisions of law.

11. OBLIGATIONS AND RESPONSIBILITIES OF RELATED DEPARTMENTS

Each department has its own obligations and responsibilities related to the reporting and information disclosure process. As follows:

11.1 Reporting Department:

- Responsible for the accuracy, completeness, and timeliness of the content, data, and reporting documentation within its scope of responsibility;
- Provides documentation to the OPS Department in accordance with established regulations and deadlines; coordinates revisions or additions as requested;
- Responsible for archiving relevant records and documents in compliance with the Company's internal policies and applicable laws.

11.2 Administration Department: Serves as the primary point of contact for receiving and routing incoming official correspondence, as well as dispatching outgoing correspondence; ensures that all correspondence is delivered to the correct department or recipient within the required timeframe; maintains records, tracking logs, and evidence of the dispatch and receipt of correspondence in accordance with established regulations.

11.3 Internal Control Department:

- Conduct checks and controls after reports or information disclosure documents have been prepared and finalized, but prior to their submission to regulatory authorities or their official disclosure in accordance with regulations. Such checks by the Internal Control

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Department do not absolve the department/division responsible for preparing the documents of their obligation to ensure the accuracy and completeness of the data and technical content.

- In the event that errors or omissions are identified, require the relevant department/division to make corrections, provide additions, and finalize the documents before they are submitted for approval or sent to the competent authorities.
- Periodically review the list of required reports and information disclosures, and perform sample-based checks of the information that has been disclosed.

11.4 Legal & Communications Department:

- Monitor and stay updated on legal regulations concerning the Company's obligations regarding reporting and information disclosure.
- Assess the impact of any legal changes, identify any resulting new, modified, or terminated obligations, and promptly notify the relevant departments.

11.5 OPS Department:

- Acts as the focal point for coordinating the fulfillment of the Company's reporting and information disclosure obligations; manages, monitors, and maintains an inventory of required reports and disclosures.
- Receives documentation for submission from the relevant departments/divisions.
- Tracks reporting and disclosure deadlines; proactively sends reminders and follows up with the responsible departments/divisions to ensure timely provision of documentation; promptly notifies the competent authority if there is a risk of delay or if any issues arise.
- Submits reports and disclosure documents to the appropriate regulatory bodies, using the correct systems or submission channels, ensuring compliance with deadlines and utilizing only the approved versions of the documents.
- Monitors the status of submitted documents; coordinates with the departments/divisions that prepared the documentation to address any instances of rejection, requests for additional information, or system errors.
- Collaborates with relevant units to publish information on the Company's website and

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carries out other disclosure methods as required by regulations.

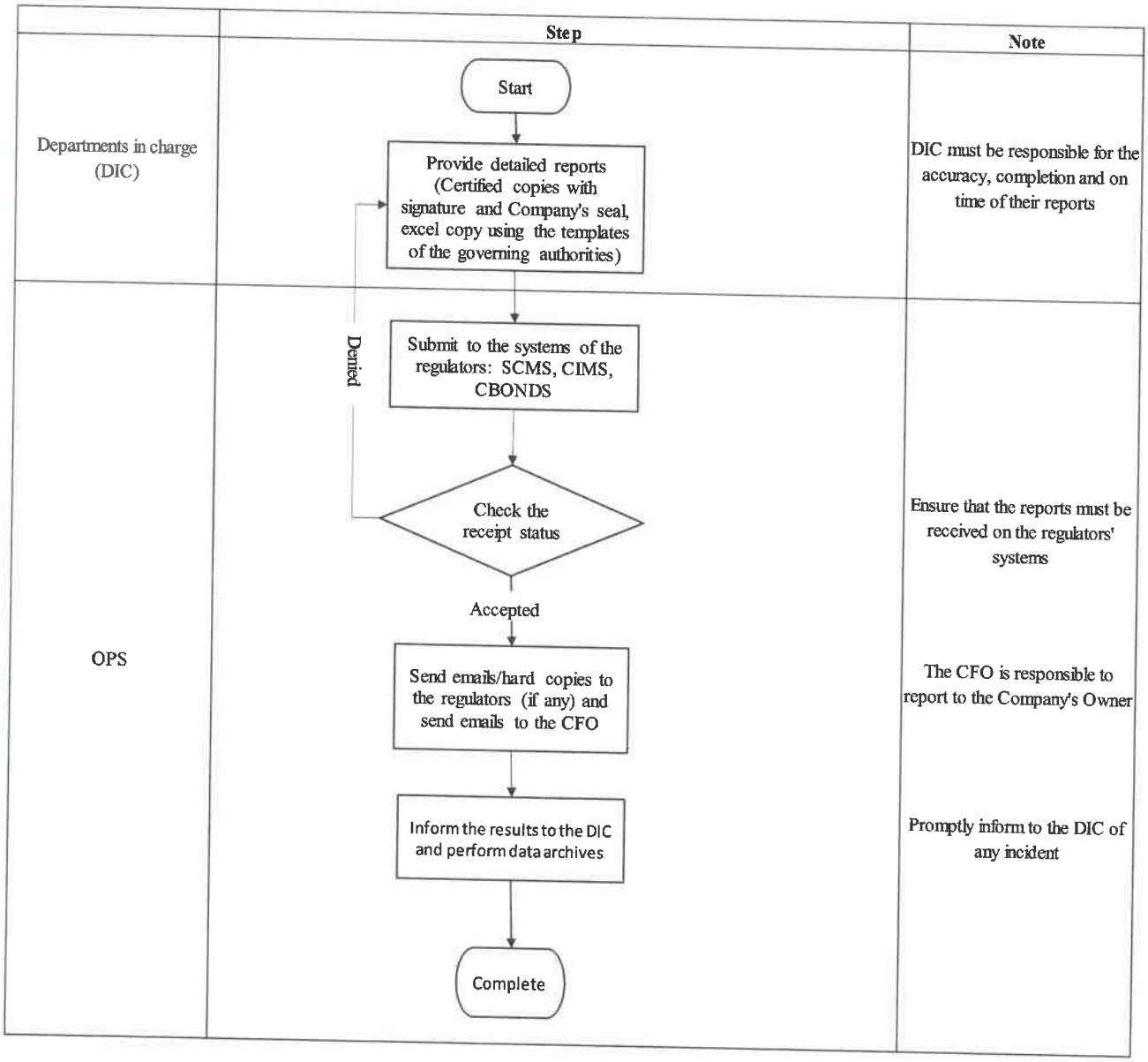
11.6 Staff Member Responsible for Website Publication

- Publishes approved information and documents on the Company's website in a complete and accurate manner, ensuring compliance with legal deadlines.
- Verifies the published content against the provided source documents, confirms completion, and shares the relevant links with the concerned departments.
- Immediately notifies the IT department and other relevant units in the event of any website technical issues that may affect information disclosure.

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12. REPORTING PROCEDURE

12.1. Operational flowchart



12.2. Flowchart description

Step	Detail	Form	PIC
1	**Departments in charge (DIC) of reporting and completing the dossier** - Related departments conduct reports and submit to the internal electronic office system (e-office) for approval. The e-office submission must go through: Heads of the departments, IC, COO, Deputy CEO, CEO and cc: Admin and OPS PIC.		DIC

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	- After completing the reports, the DIC provide details of the reports to OPS including: • Scanned copies with full signature and company's seal • Excel copies using the templated downloaded from the regulator's system (if any) • Word or excel reports in English Note: The electronic files of daily reports of OPS and RISK that must be submitted to SSC's SCMS system every day after the market is closed, due to the reporting frequency and timing of the submission, do not need the submission on e-office, however there is a separate control step at each department, at the same time IC also cross-checks on the daily checklist.		
2	**OPS submits report files to the competent regulators' systems** After receiving reports from relevant departments, OPS shall submit 1 or 2 days before the deadline. Other departments must be proactive in understanding regulations to provide timely reports to OPS. - To SSC: SCMS system - To VNX: CIMS system - To NFSC: FMSIS system - To HNX: CBONDS system If the system denies, OPS reports back to the DIC to determine the cause. The DIC must promptly redo the reports and forward back to OPS for further submission until accepted.		- OPS - DIC of reporting
3	**OPS informs the results** - OPS sends emails to the regulators (if necessary) - OPS sends a summary email of reports submitted to the regulators to the CEO within 24 hours, including: • Scanned reports with signature and company's seal • Word or excel copies of reports in English • A full list of reports and ID of the Company		- OPS - DIC of reporting

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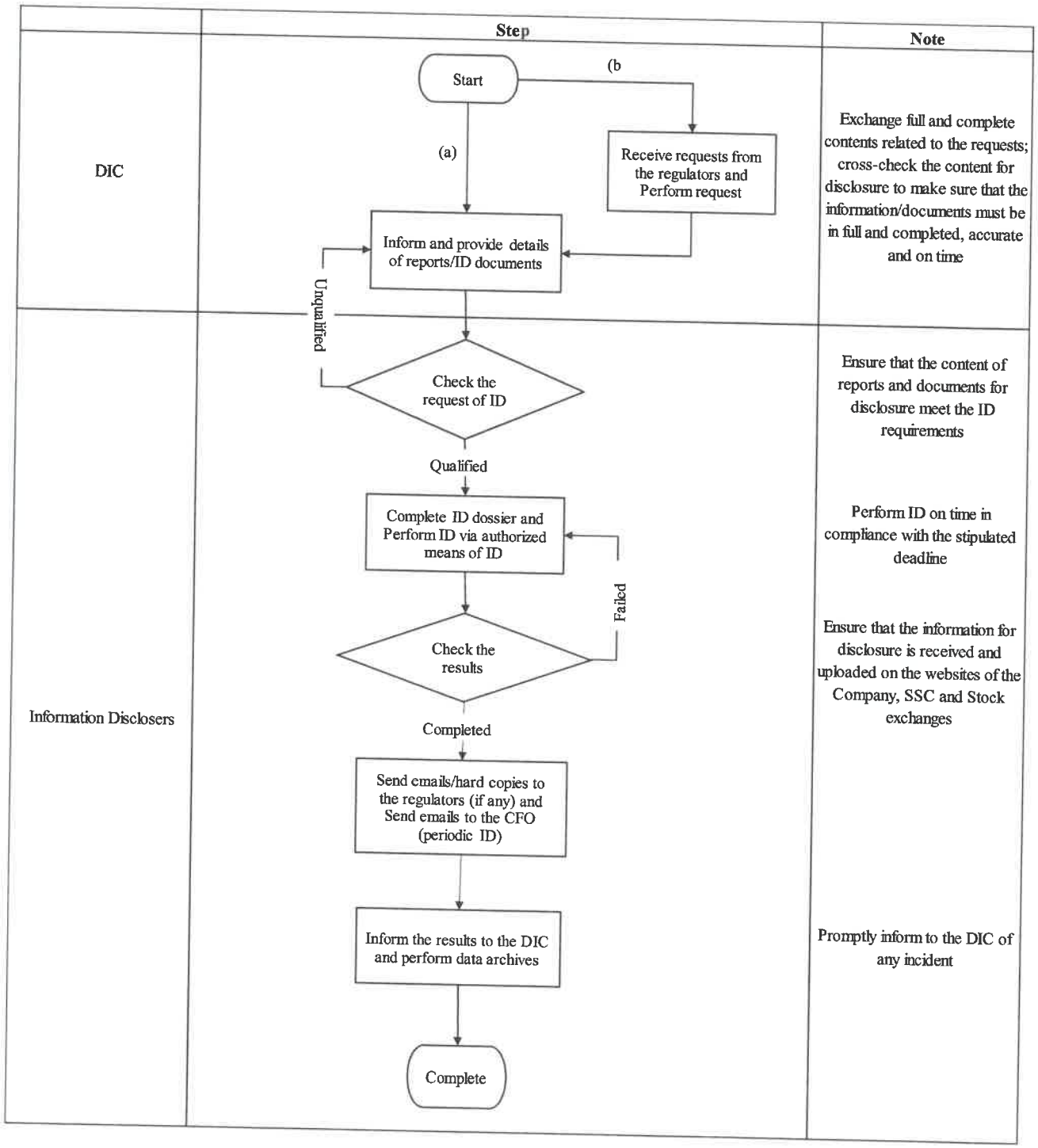
	- OPS notifies successful submission of reports on the Company's system to the DIC, then the DIC send hard copies to the regulators (if necessary) and store data - IC is responsible for periodical and irregular inspection for the preparation, submission and archiving of reports		

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13. INFORMATION DISCLOSURE PROCEDURE

13.1. Flowchart



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13.2. **Flowchart description**

Step	Detail	Form	PIC
1	**The departments in charge (DIC) of the information needs to be disclosed provide details of reports/documents of ID to OPS** - Related departments conduct reports and submit to the internal electronic office system (e-office) for approval. The e-office submission must go through: Heads of the departments, IC, COO, Deputy CEO, CEO and cc: Admin and OPS PIC. - After completing the reports, the Departments provide details of the reports to OPS including: • Scanned copies with full signature and company's seal • Excel copies using the templated downloaded from the regulator's system (if any) • Word or excel reports in English - After receiving reports/documents from the DIC, OPS performs checking the ID requirement. - If it is a document subject to extraordinary ID such as the Owner's Decision, Business Registration Certificate, etc., relevant departments provide OPS with scans and photocopies to carry out ID procedure. - OPS then conducts letters of ID and submits on e-office for approval. The e-office submission must go through: Head of the department, IC, COO, Deputy CEO, CEO and cc: Admin. - Types of ID: • Periodic Information disclosure • Extraordinary Information disclosure (within 24 hours after the occurrence of the event) • Information disclosure upon request	- FS; - SOA; - FARR; - GR; - AR; - Documents of events that need extraordinary ID or upon request.	DIC
2	**Completion of ID documents and Implementation of ID via means of ID**	- FS; - SOA;	MKT, OPS and DIC of

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Step	Detail	Form	PIC
	After receiving reports/documents from departments, OPS then submit 1 or 2 days before the deadline. Other departments must be proactive in understanding regulations to provide timely reports to OPS. Particularly, extraordinary or on-request ID must be published within 24 hours from the time of the event. - OPS sends documents for ID to MKT for MKT to post on JBSV's website. - OPS sends documents for ID with a SOC to the systems of the regulators, and also sends hard copies (if necessary), specifically: • To SSC: SCMS system • To VNX: CIMS system - If the system denies, OPS works with the DIC to determine the cause. The DIC must promptly redo the reports and forward back to OPS for further submission until accepted.	- FARR; - GR; - AR; - Documents of events that need extraordinary ID or upon request; - SOC.	information to be disclosed
3	**OPS informs the results** - OPS sends emails to the regulators (if necessary) - OPS sends a summary email of reports submitted to the regulators to the GD, including: • Scanned reports with signature and company's seal • Word or excel copies of reports in English • A full list of reports and ID - OPS informs to the DIC once the reports have been successfully submitted on the regulators' systems, the departments shall then send hard copies to the regulators (if necessary) and perform file and data archives. - IC is responsible for periodic and irregular inspection on the preparation, submission and archiving of the reports.	- FS - SOA - FARR - GR - AR - Documents of events that need extraordinary ID or upon request; - SOC.	- OPS - IC

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14. IMPLEMENTATION

14.1. This Procedure shall take effect from....10/11/2026

14.2. The OPS Department is responsible for reviewing and updating the List of Reports and Disclosures on a monthly basis and notifying relevant departments of any changes. In cases where such updates do not affect the content of this Procedure, no formal amendment or supplement to the Procedure is required.

14.3. The amendment and supplementation of this Procedure is decided by the GD.

14.4. The members of the Board of Management, departments/divisions and related individuals are responsible for following this Procedure.

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APPENDIX I

PERIODIC INFORMATION DISCLOSURE

1. Quarterly Financial Statements and Statements to Adjustments in Quarterly Profit-after-tax (if fluctuating over 10%).
2. Reviewed Interim Financial Statements and Statements to the fluctuation of Interim Profit-after-tax (if fluctuating over 10%) and Reviewed Interim Financial Adequacy Ratio Report.
3. Audited Annual Financial Statements and Statements to the fluctuation of Annual Profit-after-tax (if fluctuating over 10%) and Audited Annual Financial Adequacy Ratio Report.
4. Interim and Annual Company Governance Reports.
5. Annual Report.
6. Monthly and Quarterly ID on the effective list of Margin stocks.
7. Other reports required by legal instruments issued and effective at the time of disclosure

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APPENDIX II
EXTRAORDINARY AND UPON-REQUEST INFORMATION DISCLOSURE AND OTHER INFORMATION DISCLOSURE

(Pursuant to Circular No. 96/2020/TT-BTC and its amendments under Circulars No. 68/2024/TT-BTC, 18/2025/TT-BTC and 08/2026/TT-BTC, and other relevant circulars)

1. Extraordinary information disclosure (within 24 hours after the occurrence of the event)

1.1. The Company's account at a foreign bank or bank branch is blocked at the request of a competent authority or when the payment service provider detects signs of fraud or law violation related to the payment account; The account is un-blocked after being blocked in the cases specified in this Item;

1.2. Upon receipt of written requests from competent state agencies or when the Company makes a decision on partial or complete suspension of business activities; change the contents of business registration; revocation of the Business Registration Certificate; amendment, supplementation or suspension or revocation of the Establishment and Operation License or Operation License;

1.3. All Decisions of the Company's Owners and Member's Council, as well as Approvals of the Decisions of the Extraordinary Members' Council. Documents for disclosure include the Resolutions of the Members' Council, meeting minutes and attached documents, the Voting Resolutions or Minutes (in case of collecting written opinions from the Member's Council);

1.4. Decisions on the company re-organization (division, separation, consolidation, merger, transformation of business field), dissolution or bankruptcy of the enterprise; change of tax code, change of company name, seal of the company; change of location; new establishment or closure of head offices, branches, factories, representative offices; promulgate, amendment and supplementation of the Company's Charter; strategy, medium-term development plan and annual business plan of the Company;

1.5. Decisions to change the accounting period, applicable accounting policy (except for the case of changing the applicable accounting policy due to changes in legal regulations); notification on the auditing firm who has entered into a contract to audit the Company's annual financial statements; notification of change of the auditing firm (after signing the contract); the cancellation of the signed audit contract;

1.6. Decisions to participate in capital contribution to establish, buy to increase ownership in a company leads to that company becoming a subsidiary, associate company or sell to reduce the ownership ratio in a subsidiary or associated company resulting in that company no longer being a subsidiary, associated company or dissolution of subsidiaries or affiliated companies;

1.7. The Company changes, appoints new, re-appoints, dismisses insiders; receive an insider's resignation letter (the Company needs to clearly state the effective time as prescribed in the

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Law on Enterprises and the Company's Charter). At the same time, the Company submits to the State Securities Commission and the Stock Exchanges The declaration of information of new insiders according to the form specified in Appendix III promulgated together with this Procedure;

1.8. Upon receipt of the Decision to prosecute against the Company or its insiders; temporary detention and prosecution for criminal liability for insiders of the Company;

1.9. Upon receipt of the judgment, the Decision has the force of law of the Court related to the Company's operations; Decisions on penalties for violations of tax legislation;

1.10. The Company receives a notice from the Court accepting the petition to open corporate bankruptcy proceedings;

1.11. When other events that have a major impact on production, business activities or the Company's governance situation occur;

1.12. Approval or delisting in foreign stock exchanges;

1.13. Decisions to increase or decrease the Company's charter capital;

1.14. Decisions to contribute capital to invest in an organization, a project, loan or other transaction with a value of 10% or more of the total assets of the Company in the most recent reviewed financial statements or the most recent reviewed semi-annual financial statements (based on the consolidated financial statements in the case of the public company is the parent company);

1.15. Decisions to contribute capital with a value of 50% or more of the charter capital of an organization (determined according to the charter capital of the organization receiving the contributed capital before the time of capital contribution);

1.16. Upon receipt of the Decision of the State Securities Commission on sanctioning administrative violations in the field of securities and securities market against companies, branches and securities practitioners of companies or branches; The General Director (Director), Deputy General Director (Deputy Director) shall be deprived of the right to use the securities practice certificate for a definite period or revoke the securities practice certificate;

1.17. Organizations and individuals, who are administratively sanctioned with a fine of VND 70,000,000 or more or subject to the main sanction of deprivation of the right to use certificates or practitioner licenses for a definite period or suspension of securities trading activities for a definite period or to be subject to one of the additional sanctions or after-remedies stipulated at Clauses 2 and 3, Article 4 of Decree 128/221/ND-CP, shall be publicly disclosed information on administrative violations in the securities sector;

1.18. Upon receipt of the Decision on prosecution, detention or examination of criminal liability related to securities practitioners of the company or branch;

1.19. Upon receiving the Decision of the State Securities Commission on placing the company under warning, control, special control or removal from the category of warning, control or special

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control; suspension of operation, suspension of operation or termination of operation suspension or suspension of operation;

1.20. Upon receiving the Decision of the State Securities Commission approving the establishment, closure, change of name, location of branches, transaction offices, representative offices in the country or abroad; change of business operations at branches; establishment of overseas subsidiaries; the indirect investment abroad;

1.21. Upon receiving the Decision of the State Securities Commission approving the provision of online securities trading services; provide or coordinate with credit institutions in providing services for borrowers to purchase securities or provide securities lending services; provide or coordinate with credit institutions in providing advance services for securities sales; securities depository; clearing and settlement of securities; services on the derivatives market;

1.22. Upon receiving the Decision of the State Securities Commission on offering and listing securities abroad;

1.23. Upon completion of transactions of transfer of shares, contributed capital to become shareholders, capital contributing members hold 10% or more of the contributed charter capital of a securities company that is not a public company; transactions that change the ownership of shares or contributed capital accounting for 10% or more of the charter capital or transactions that result in the ownership ratio of shareholders and capital contributors exceeding or falling below the ownership levels of 10%, 25%, 50%, 75% of the charter capital of a fund management company that is not a public company;

1.24. When the Company voluntarily terminates or stops providing one of the securities trading products, services and operations;

1.25. When the Company suffers an information technology incident that affects the performance of securities transactions for customers.

2. Information Disclosure upon request

2.1. The Company must perform ID within 24 hours after receiving the request of the SSC or the Stock exchanges when there is information related to the company or branch that seriously affects the legitimate rights and interests of investors.

2.2. The contents of the disclosed information must clearly state the event requested by the SSC and the Stock exchanges, the cause and the degree of authenticity of that event, and solutions to fix (if any).

3. Other Information Disclosure

3.1. The Company must announce operation information on SSC's means of the information disclosure and 01 electronic or printed newspaper in 03 consecutive issues at least 30 days before the expected official date of operation.

3.2. The Company must publish information at its head office, branches, transaction offices and post on the Company's website the contents related to trading methods, placing orders, trading

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margin, settlement time, transaction fees, services provided and the list of securities practitioners of the company. In case of providing margin trading services, securities companies must notify the conditions for providing services, including requirements on margin ratio, loan interest rate, loan term, method of executing additional margin calls, list of securities to perform margin trading.

3.3. When the Company executes a forced sale of margin securities or sell pledged securities of customers who are insiders and related persons of insiders, they must disclose information on the Company's website. After the transaction is made, the Company must notify the transaction results to customers by the end of the trading day for customers to fulfill the obligation to disclose information as prescribed in Article 33 of Circular 96/2020/TT-BTC.

3.4. When the Company is the issuer of secured warrants, it must fulfill the obligation to disclose information in accordance with the law on offering and trading secured warrants.

3.5. Securities companies and securities investment fund management companies must comply with other information disclosure obligations as prescribed in Article 13 of Circular 96/2020/TT-BTC and the law on establishment and operation of securities companies and securities investment fund management companies.

APPENDIX III
SUBMISSION METHODS OF DOCUMENTS/REPORTS

1. **State Securities Commission**

Methods of submission of Dispatches/Reports and Information Disclosure:

- Submit scanned files of reports with full signature and company seal and electronic files; signed with electronic signature (token key) on SCMC system;
- Email to managers;
- Send hard copies.

2. **Vietnam Stock Exchange**

Method of submission of Dispatches/Reports and Information Disclosure:

- Submit scanned files of reports with full signature and company seal and electronic files signed with electronic signature (token key) on CIMS system;
- Send hard copies of reviewed or audited financial statements and financial adequacy ratio reports.

3. **Vietnam Securities Depository**

Method of submission of Dispatches/Reports: Send hard copies.

4. **HNX Corporate Bonds page**

Method of submission of Dispatches/Reports:

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- Submit scanned files of reports with full signature and company seal and electronic files to CBONDS system of HNX;
- Send an email containing a scan—complete with signatures and an official red seal—to the email address specified in the HNX notification.

5. **State Bank of Vietnam:**

Method of submission of Dispatches/Reports:

- Email a scanned copy of your signature and red stamp to the email address notified by the State Bank of Vietnam
- Send hard copy.

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