**VIX: Corporate Governance Report of the first 06 months of 2019**

***REPORT ON CORPORATE GOVERNANCE OF LISTING COMPANY  
(The first 06 months of 2019)***

*- Name of listing company: IB Securities Joint Stock Company*

*- Address of headoffice: Floor 8 – No.52 Le Dai Hanh Street – Le Dai Hanh Ward – Hai Ba Trung District – Hanoi City*

*- Telephone: 024 4456 8888 - Fax: 024 3978 5379/80 -  Email:* [*info@ibsc.vn*](mailto:info@ibsc.vn)

*- Charter capital: VND 1,161,086,380,000*

*- Securities code: VIX*

***I. Board of Directors (Semi- annual/ annual reports):***

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

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **No.** | **Board of Directors’ members** | **Position** | **Day becoming/ no longer member of Board of Directors** | **Number of attendance** | **Percentage** | **Reason for absence** |
| 1 | Mrs. Nguyen Thi Tuyet | Chair of Board of Directors from 05 July 2017 to now | 25 May 2016 | 8/8 | 100% |  |
| 2 | Mrs. Cao Thi Hong | Member of Board of Directors | 30 Aug 2014 | 8/8 | 100% |  |
| 3 | Mrs. Tran Thi Hong Ha | Member of Board of Directors | 24 April 2017 | 8/8 | 100% |  |
| 4 | Mr. Nguyen Tuan Dung | Member of Board of Directors | 17 July 2017 | 8/8 | 100% |  |
| 5 | Mr. Phi Anh Tuan | Member of Board of Directors | 17 April 2018 | 8/8 | 100% |  |

*2. Supervision by Board of Directors with Manager (General Manager):*

*3. Activities of Board of Directors’ committees:*

*4. Resolutions/ Decisions of Board of Directors (Semi- annual/ annual reports):*

***II. Board of Supervisors (Semi- annual/ annual reports):***

*1. Information about members of Board of Supervisors:*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **No.** | **Members of *Board of Supervisors*** | **Position** | **Day becoming/no longer member of *Board of Supervisors*** | **Number of attendance** | **Percentage** | **Reason for absence** |
| 1 | Mrs. Trinh Thi My Le | Head of Board of Supervisors | 25 April 2016 | 1/1 | 100% |  |
| 2 | Mrs. Nguyen Thi Duyen | Member of Board of Supervisors | 17 April 2018 | 1/1 | 100% |  |
| 3 | Mrs. Doan Thi Huong | Member of Board of Supervisors | 17 April 2018 | 1/1 | 100% |  |

*2. Surveillance activities of Board of Supervisors**with Board of Managers, Board of Directors and shareholders:*

*3. The coordination among Board of Supervisors**with Board of Managers, Board of Directors and other managers:*

4. *Other activities of Board of Supervisors**(if any):*

***III. Training on corporate governance:*** *Training courses on corporate governance which members of Board of Managers, members of Board of Supervisors, Chief Executive Officer (CEO), other managers and company secretary was involved in accordance with regulations on corporate governance:*

***IV. List of affiliated persons of the public company as specified in clause 34, Article 6 of the Securities Law (Semi-annual/annual reports) and transactions of affiliated persons of the Company with the Company)***

*1. List of affiliated persons of the Company*

*2. Transactions between the company and the affiliated persons or between the company and major shareholders, internal persons and related person of internal person*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **No.** | **Connected parties** | **Relation with IBSC** | **Amount** | **Note** |
| 2 | FTG Vietnam Joint Stock Company   * Fee for securities depository | Major shareholder | 34,817,317 | - |
|  | Total |  | 34,817,317 |  |

*3. Transaction between internal person of listed company and company’s subsidiaries, or the company in which listed company takes controlling power: None*

4. *Transactions between the company and other objects*

Unit: VND

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **No.** | **Connected parties** | **Relation with IBSC** | **Amount** | **Board Resolution No./ General Mandate No.** | **Note** |
| 2 | Vietnam Electrical Equipment Joint Stock Corporation   * Fee for securities trading * Fee for securities depository * Other frees | Member of Board of Directors, General Manager is connected person of member of Board of Directors/ General Manager of IBSC | 5,279,068  33,127  62,114 |  | - |
|  | Total |  | 5,374,309 |  |  |

***VI. Transactions of internal persons and related person of internal person (Semi-annual/annual reports)***

*1. List of internal persons and their affiliated persons*

2. *Transactions of internal persons and affiliated persons on shares of the listed company*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| *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* |
| 1 | FTG Vietnam Joint Stock Company | Major shareholder | 17,395,429 | 21.48% | 20,004,743 | 17.23% | Receiving dividend by share |
| 2 | Nguyen Thi Tuyet | Chair of Board of Directors cum General Manager of the Company | 4,620,000 | 5.71% | 5,313,000 | 4.58% | Receiving dividend by share |
| 3 | Nguyen Tuan Dung | Member of Board of Directors | 34,650 | 0.04% | 39,847 | 0.034% | Receiving dividend by share |
| 4 | Tran Thi Hong Ha | Member of Board of Directors | 53,361 | 0.06% | 61,365 | 0.053% | Receiving dividend by share |
| 5 | Do Ngoc Dinh | Vice- General Manager | 374 | 0.0005% | 430 | 0.00037% | Receiving dividend by share |
| 6 | Nguyen Hong Son | Husband of Mrs. Doan Thi Huong – Member of Board of Supervisors | 880 | 0.00108% | 1,012 | 0.00087% | Receiving dividend by share |

**VII. Other significant issues: None**