

CONSOLIDATED BALANCE SHEET

As of 30th Sep, 2014

Unit: VND

Assets	Code	EXP	Ending Balance	Beginning Balance
A. CURRENT ASSETS (100=110+120+130+140+150)	100		1.635.362.151.581	1.506.359.779.923
I. Cash and cash equivalents	110	V.01	115.670.491.796	610.137.802.436
1. Cash	111		115.670.491.796	305.937.802.436
2. Cash equivalents	112		-	304.200.000.000
II. Short-term financial investments	120		905.796.491.903	627.412.078.658
1. Short-term investments	121	V.02	1.073.661.986.209	707.290.194.104
2. Short-term investment of trustee investment	122	V.03	-	-
3. Provision for devaluation of short-term investments (*)	129	V.02	(167.865.494.306)	(79.878.115.446)
III. Short-term receivables	130	V.08	612.831.293.685	268.479.599.303
1. Trade accounts receivable	131		6.695.724.745	366.500.000
2. Advances to supplier	132		110.705.000	77.182.322
3. Short-term internal receivables	133		-	-
4. Receivable in accordance with contracts in progress	135		633.570.254.170	261.375.321.450
5. Other receivables	138		1.275.488.663	10.288.071.199
6. Provision for short-term bad receivables (*)	139		(28.820.878.893)	(3.627.475.668)
IV. Inventories	140		21.722.927	22.175.365
V. Other current assets	150		1.042.151.270	308.124.161
1. Short-term prepaid expenses	151		-	-
2. VAT deductible	152		660.651.270	55.824.161
3. Tax and accounts receivable from State budget			-	-
4. Trading Government bonds	154		-	-
5. Other current assets	158		381.500.000	252.300.000
Assets	Code	EXP	Ending Balance	Beginning Balance
B. LONG-TERM ASSETS (200=210+220+240+250+260)	200		38.218.431.175	35.478.130.863
I. Long-term receivables	210		-	-
1. Long-term receivables from customers	211		-	-
2. Capital receivable from subsidiaries	212		-	-
3. Long-term inter-company receivables	213		-	-
4. Other long-term receivables	218		-	-
5. Provision for long-term bad receivable (*)	219		-	-
II. Fixed assets	210		1.788.859.208	1.492.534.553
1. Tangible fixed assets	221	V.06	1.788.859.208	1.481.045.660
- Historical cost	222		11.198.742.267	10.385.452.494
- Accumulated depreciation (*)	223		(9.409.883.059)	(8.904.406.834)
2. Finance leases fixed assets	224		-	-
- Historical cost	225		-	-
- Accumulated depreciation (*)	226		-	-
3. Intangible fixed assets	227	V.07	-	11.488.893
- Historical cost	228		921.400.000	921.400.000
- Accumulated depreciation (*)	229		(921.400.000)	(909.911.107)
4. Construction in progress expenses	230		-	-
III. Property Investment	240		-	-
- Historical cost	241		-	-
- Accumulated depreciation (*)	242		-	-
IV. Long-term financial investments	250	V.02	18.570.431.466	18.965.521.809
1. Investment in subsidiary company	251		-	-
2. Investment in joint venture	252		-	-
3. Long-term security investments	253		48.088.741.766	48.483.832.109
4. Other long-term investment	258		-	-
5. Provision for devaluation of long-term finance investments (*)	259		(29.518.310.300)	(29.518.310.300)
V. Other long-term assets	260		17.859.140.501	15.020.074.501
1. Long-term prepaid expenses	261	V.04	-	-
2. Deferred income tax assets	262		-	-
3. Deposit fund payment	263	V.05	14.885.767.397	12.385.767.397
4. Others	268		2.973.373.104	2.634.307.104
TOTAL ASSETS (270=100+200)	270		1.673.580.582.756	1.541.837.910.786

CAPITAL SOURCE	Code	EXP	Ending Balance	Beginning Balance
A. LIABILITIES (300=310+330)	300		926.462.514.209	849.392.412.152
I. Current liabilities	310		926.462.514.209	849.392.412.152
1. Short-term borrowing and debts	311	V.13	209.000.000.000	419.000.000.000
2. Trade accounts payable	312	V.10	4.666.432.799	1.808.237.417
3. Advances from customers	313	V.11	799.619.888	1.515.540.722
4. Taxes and liabilities to State budget	314	V.12	4.325.942.180	2.011.734.284
5. Payable to employees	315		3.983.935.706	4.842.284.029
6. Payable expenses	316	V.09	9.255.255.556	908.149.144
7. Accounts payable-Affiliate	317		-	-
8. Payable to securities transactions	320		674.334.883.790	161.749.907.067
9. Payable to dividend, original capital and interest bonds	321		16.100.225.259	41.339.692.793
10. Payable to organization issuing securities	322		-	-
11. Bonus and welfare fund			-	-
12. Other short-term payables	328	V.14	3.996.219.031	164.572.630.000
13. Traded government bonds again			-	51.644.236.696
14. Unrealised revenue			-	-
15. Provision for short-term liabilities	329		-	-
II. Long-term liabilities	330		-	-
1. Long-term accounts payable-Trade	331		-	-
2. Long-term accounts payable-Affiliate	332		-	-
3. Other long-term payables	333		-	-
4. Long-term borrowing and debts	334		-	-
5. Capital trustee received long-term investment	335	V.15	-	-
6. Deferred income tax	336		-	-
7. Provision for unemployment benefit	337		-	-
8. Provision for long-term liabilities	338		-	-
9. Provision for compensation for investors	339		-	-
B. OWNER'S EQUITY (400=410+430)	400		747.118.068.547	692.445.498.634
I. Capital sources and funds	410	V.16	747.118.068.547	692.445.498.634
1. Paid-in capital	411		865.000.000.000	865.000.000.000
2. Capital surplus	412		241.713.457	241.713.457
3. Other capital of owner	413		-	-
4. Treasury stock (*)	414		-	-
5. Assets revaluation difference	415		-	-
6. Foreign exchange difference	416		-	-
7. Investment and development funds	417		-	-
8. Financial reserve fund	418		-	-
9. Other fund belong to owner's equity	419		-	-
10. Retained after-tax profit	420		(118.123.644.910)	(172.796.214.823)
MINORITY INTEREST			-	-
TOTAL RESOURCES	440		1.673.580.582.756	1.541.837.910.786

CONSOLIDATED INCOME STATEMENT

Quarter 3/2014

Unit: VND

No.	Items	Code	Quarter 3		Accumulation	
			Current year	Previous year	Current year	Previous year
1	2	3	4	5	6	7
1	Revenue of sales and services	01	147.106.407.405	54.213.841.379	350.792.402.105	155.159.511.795
	<i>Include:</i>					
	- Revenue per active stockbroker		29.900.273.389	10.916.726.340	78.663.576.618	35.637.962.739
	- Revenue activities Investment securities, capital contribution		55.327.964.135	12.068.528.365	108.723.664.246	51.785.570.035
	- Revenue guarantees issued securities		-	399.000.000	-	399.000.000
	- Revenue agents issuing securities		-	7.666.318.182	-	8.056.318.182
	- Revenue Management category of investment company fund management		-	-	-	-
	- Revenue from the operation		40.247.818.182	3.598.363.636	53.453.444.189	11.184.506.363
	- Revenue save up stocks		2.332.905.061	1.513.449.005	4.332.197.203	3.672.546.403
	- Revenue activities trustee auction		-	-	-	-
	- Revenue for the use tax assets		-	-	-	-
	- Others revenue		19.297.446.638	18.051.455.851	105.619.519.849	44.423.608.073
2	Deductions	02	-	-	-	-
3	Net sales and services (10=01 - 02)	10	147.106.407.405	54.213.841.379	350.792.402.105	155.159.511.795
4	Cost of goods sold	11	112.409.331.240	42.128.661.259	290.586.185.925	125.280.192.752
5	Gross profit	20	34.697.076.165	12.085.180.120	60.206.216.180	29.879.319.043
6	General and Administrative Expenses	25	3.075.396.590	8.159.025.227	5.347.516.424	21.846.938.388
7	Net operating profit (30=20-25)	30	31.621.679.575	3.926.154.893	54.858.699.756	8.032.380.655
8	Other Income	31	27.909.090	1.266.659.916	38.889.079	1.276.087.189
9	Other Expenses	32	73.395.087	32.666.667	191.018.922	75.516.110
10	Other profit (40=31-32)	40	(45.485.997)	1.233.993.249	(152.129.843)	1.200.571.079
11	Profit from joint venture	41	-	-	-	-
12	Total profit before tax (50=30+40+41)	50	31.576.193.578	5.160.148.142	54.706.569.913	9.232.951.734
13	Current corporate income tax expenses	51	-	-	-	-
14	Deferred corporate income tax expenses	52	-	-	-	-
15	Profit after tax (60=50-51-52)	60	31.576.193.578	5.160.148.142	54.706.569.913	9.232.951.734
	15.1 Profit after tax of minorities		-	-	-	-

CONSOLIDATED CASH FLOW STATEMENT

(Indirect method)
Quarter 3/2014

Unit: VND

No.	Items	Code	Accumulation	
			Current year	Previous year
I. CASH FLOWS FROM BUSINESS SECURITIES				
1.	<i>Profit before tax</i>	01	54.706.569.913	9.232.951.734
2.	<i>Adjusted for the:</i>			
-	<i>Depreciation of fixed assets</i>	02	516.965.118	1.083.483.142
-	<i>The back-up</i>	03	88.572.903.192	(39.745.124.013)
-	<i>Interest, loss difference exchange rates not</i>	04	-	-
-	<i>Interest, loss investment activities</i>	05	(113.026.933.281)	(66.436.775.237)
-	<i>Loan interest expenses</i>	06	70.706.793.565	11.349.543.728
3.	Profit from operating activities	08	101.476.298.507	(84.515.920.646)
-	<i>Increase, decrease receivables</i>	09	(713.387.752.593)	6.726.393.574
-	<i>Increase, reduce inventor</i>		452.438	317.160.220
-	<i>Increase, reduce short-term securities</i>	10	-	177.063.061.666
-	<i>Increase, reducing the pay</i>	11	286.283.995.645	702.505.637.695
-	<i>Increase, reduce costs prepaid</i>	12	-	3.344.287.163
-	<i>Interest loan funds have</i>	13	(69.920.687.153)	(5.139.113.172)
-	<i>Corporate income tax was filed</i>	14	-	-
-	<i>Cash received from operating activities</i>	15	-	464.705.005
-	<i>Orther cash paid from operating activities</i>	16	(3.212.002.766)	(2.784.095.793)
	Net cash flows from operating activities	20	(398.759.695.922)	797.982.115.712
II. CASH FLOWS FROM INVESTING ACTIVITIES:				
1.	Cash paid for purchase of capital assets and other long-term assets	21	(813.289.773)	(769.065.000)
2.	Cash received from liquidation or disposal of capital assets and other long-term assets	22	-	400.909.091
3.	Cash paid for lending or purchase debt tools of other companies	23	-	(40.000.000.000)
4.	Withdrawal of lending or resale debt tools of other companies	26	300.000.000.000	-
5.	Cash paid for joining capital in other companies	27	-	-
6.	Withdrawal of capital in other companies	28	-	50.000.000
7.	Cash received from interest, dividend and distributed profit	29	115.105.675.055	57.250.954.687
	Net cash used in investing activities	30	414.292.385.282	16.932.798.778
III. CASH FLOWS FROM FINANCING ACTIVITIES:				
1.	Cash received from issuing stock, other owners' equity	31	-	-
2.	Cash paid to owners equity, repurchase issued stock	32	-	-
3.	Cash received from long-term and short-term borrowings	33	6.555.000.000.000	2.588.800.000.000
4.	Return of capital trustee to trustee investment	34	-	-
5.	Cash paid to principal debt	35	(6.765.000.000.000)	(2.607.800.000.000)
6.	Cash paid to financial lease debt	36	-	-
7.	Dividend, profit paid for owners	37	-	-
	Net cash (used in) provided by financing activities	40	(210.000.000.000)	(19.000.000.000)
	Net cash during the period	50	(194.467.310.640)	795.914.914.490
	Cash and cash equivalents at beginning of year	60	310.137.802.436	470.115.194.719
	Influence of foreign exchange fluctuation	61	-	-
	Cash and cash equivalents at end of year	70	115.670.491.796	1.266.030.109.209