

Số: 05/2021/CV-CBTT
No.05/2021/CV-CBTT

TP. Hồ Chí Minh, ngày 28 tháng 01 năm 2021
Ho Chi Minh City, January 28, 2021

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

Điện thoại: (+84) 28 3823 3299 Fax: (+84) 28 3823 3301 Website: www.hsc.com.vn
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Người thực hiện công bố thông tin: Ông Lâm Hữu Hồ
Submitted by: Mr. Lam Huu Ho

Chức vụ: Giám đốc Tài chính
Position: Chief Financial 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 2020
2020 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 28/01/2021 tại đường dẫn <http://www.hsc.com.vn/vn/investor/information-disclosure>
This information was published on HSC webpage on January 28, 2021 and available 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.

Công ty Cổ phần Chứng khoán TP. Hồ Chí Minh
Ho Chi Minh City Securities Corporation



Lâm Hữu Hồ
Giám đốc Tài chính
Chief Financial Officer

Tài liệu đính kèm/ Attached file:

- Báo cáo quản trị năm 2020 số 04/2021/CV-HĐQT ngày 28/01/2021;
2020 Corporation Governance Report No.04 /2021/CV- HĐQT dated January 28, 2021;

No.04/2021/CV-HĐQT

Ho Chi Minh City, 28 January 2021

REPORT ON CORPORATION GOVERNANCE OF HO CHI MINH CITY SECURITIES CORPORATION (year 2020)

(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
- Governance model: General Meeting of Shareholders, Board of Directors, Board of Supervision, Chief Executive Officer
- The implementation of internal audit: Implemented

I. Activities of the General Meeting of Shareholders ("AGM")

HSC held the Annual General Shareholders' Meeting of the fiscal year 2020 ("AGM FY2020") on June 23, 2020

(*). The contents of AGM FY2019 Resolution are as follows:

No.	Resolution No.	Date	Content
01	01/2020/NQ-ĐHĐCĐ	23/06/2020	<ul style="list-style-type: none">- Approved the report of 2019 activities of the Board of Directors.- Approved the report of 2019 bussiness performance of the Board of Management.- Approved business plan 2020;- Approved the report of the Supervisory Board on Company's operation 2019.- Approved the Audited Financial Statements for the year ended 31 December 2019.- Approved the FY2019 final cash dividend rate.- Approved the FY2020 dividend plan.- Approved the FY2019 profit distribution plan.- Approved the authorization to BOD to appoint an independent audit firm for the FY2020.

No.	Resolution No.	Date	Content
			<ul style="list-style-type: none"> - Approved the change of address of HSC Head Office. - Approved the amendments and supplements of HSC Charter. - Approved the supplements to HSC Business Registration Certificate referring to English name and abbreviation of company name. - Approved HSC Regulations on Conducting Virtual General Meeting and Online Voting.

(*) Official Document 2352/UBCK-QLKD dated April 08, 2020 issued by the State Securities Commission approved to postpone the HSC Annual General Meeting FY2019 due to the Covid-19 pandemic.

II. Board of Directors ("BOD")

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

No.	BOD's members	Position	The date becoming/ ceasing to be the member of the Board of Directors	
			Date of appointment	Date of dismissal
01	Mr. Do Hung Viet	Chairman Non- executive Member	21/04/2016	
02	Mr. Le Anh Minh	Vice chairman Non- executive Member	21/04/2016	
03	Mr. Lam Hoai Anh	Non- executive Member	26/04/2018	
04	Mr. Pham Nghiem Xuan Bac	Non- executive Member	21/04/2016	
05	Mr. Le Thang Can	Non- executive Member	21/04/2016	
06	Mr. Johan Nyvene	Non- executive Member	21/04/2016	
07	Mr. Le Hoang Anh	Non- executive Member	21/04/2016	

2. Meetings of the Board of Directors:

In 2020, the Board of Directors held thirty eight meetings, in which twenty two in-person and sixteen for seeking directors' writing approval.

No.	BOD's members	Number of meeting attended by BOD	Attendance rate	Voting rate	Reasons for absence
01	Mr. Do Hung Viet	38/38	100%	100%	
02	Mr. Le Anh Minh	38/38	100%	100%	
03	Mr. Lam Hoai Anh	38/38	100%	100%	
04	Mr. Pham Nghiem Xuan Bac	38/38	100%	100%	
05	Mr. Le Thang Can	38/38	100%	100%	
06	Mr. Johan Nyvene	38/38	100%	100%	
07	Mr. Le Hoang Anh	38/38	100%	100%	

3. Supervising the Board of Management ("BOM") by the BOD:

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

- To complete and disclosure on time the FY2019 audited Financial Statement, the FY2020 quarterly/ the semi-annual Financial Statement and the Annual Report 2019.
- To convene the FY2019 Annual General Shareholders' Meeting at New World Saigon Hotel on June 23, 2020.
- To urge the implementation of FY2020 business plan approved at the AGM FY2019. The profit after tax for FY2020 reached VND530 billion, increased by 23% compared to same period last year, completed 117% yearly target approved at the AGM FY2019.
- To set up and complete the FY2019 final cash dividend payment with the pay-out rate of 7% and the FY2020 cash interim dividend payment with the pay-out rate of 5% approved by FY2019 AGM Resolution No.01/2020/NQ-ĐHĐCĐ dated June 23, 2020 and and BOD Resolution No.37/2020/NQ-HĐQT dated December 08, 2020.
- To appoint Price Waterhouse Coopers Vietnam Co., Ltd as the independent audit firm and monitor the implementation of HSC FY2020 semi – annual/ annual audited Financial Statements.
- To monitor the issuance of covered warrants.
- To monitor the implementation of rearrange some transaction offices and head office.

4. Activities of the BOD's committees:

4.1. Risk Management Committee ("RMC"):

- In 2020, RMD continued to improve the framework of Risk Management under COSO.
- On a monthly/ quarterly/ annual 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.

4.2. Board Internal Audit Committee ("BAC")

Made the audits of processes and monitored the implementation of internal audit findings:

- In 2020, Internal Audit Function and co – audited firm (KPMG Vietnam Co., Ltd) issued the reports of:
 - Anti – Money Laundering
 - Monitoring the implementation of internal audit findings of Human Resources of Private Client Department (the second time).
 - Monitoring the implementation of internal audit findings of Accounting Department.
- Report of the implementation of internal audit findings always presented in periodic meetings of BAC.

5. Resolutions/ Decisions of BOD:

No.	Resolution No.	Date	Content
01	01/2020/NQ-HĐQT	09/01/2020	<ul style="list-style-type: none"> - Approved the forecast 2019 financial performance; - Approved the agenda of AGM FY2019 and the main contents of the proposals to be presented at AGM FY2019; - Approved the record date to determine which shareholders were eligible to attend AGM FY2019; - Approved the plan of issuance of covered warrants (the fourth time); - Accepted the resignation and the appointment of Chief Executive Officer; - Approved the change of hedging rate of exchange rate.

No.	Resolution No.	Date	Content
02	02/2020/NQ-HĐQT	18/02/2020 For seeking directors' writing approval	Approved to issue the covered warrants: FPT-HSC-MET03, HPG-HSC-MET02, MBB-HSC-MET04, MSN-HSC-MET01, MWG-HSC-MET04, PNJ-HSC-MET01, REE-HSC-MET02, TCB-HSC-MET02, VHM-HSC-MET01, VJC-HSC-MET01, VNM-HSC-MET03, VPB-HSC-MET02, VRE-HSC-MET03.
03	03/2020/NQ-HĐQT	20/02/2020 For seeking directors' writing approval	Accepted Mr Le Cong Thien's resignation as Deputy Chief Executive effective from February 26, 2020.
04	04/2020/NQ-HĐQT	27/03/2020	Approved the recommendations of credit limit of banking loans (the credit limit of banking loans was disclosure at Disclosure Information No. 10/2019/CV-CBTT dated March 19, 2019).
05	05/2020/NQ-HĐQT	31/03/2020	<ul style="list-style-type: none"> - Approved the forecast of 1Q2020 financial performance; - Decided to postpone the Annual General Meeting FY2019; - Revised the total credit limit of HSC in 2020; - Approved the plan of issuance of covered warrants (the fifth time).
06	06/2020/NQ-HĐQT	22/04/2020	Approved the recommendations of credit limit of banking loans (the credit limit of banking loans was disclosure at Disclosure Information No. 20/2020/CV-CBTT dated April 01, 2020).
07	07/2020/NQ-HĐQT	22/04/2020	Approved the recommendations of credit limit of banking loans (the credit limit of banking loans was disclosure at Disclosure Information No. 20/2020/CV-CBTT dated April 01, 2020).
08	08/2020/NQ-HĐQT	22/04/2020 For seeking directors' writing approval	Approved the recommendations of credit limit of banking loans (the credit limit of banking loans was disclosure at Disclosure Information No. 20/2020/CV-CBTT dated April 01, 2020).
09	09/2020/NQ-HĐQT	06/05/2020 For seeking directors' writing approval	<ul style="list-style-type: none"> - Approved the agenda of AGM FY2019 and the main contents of the proposals to be presented at AGM FY2019; - Approved the record date to determine which shareholders were eligible to attend AGM FY2019.
10	10/2020/NQ-HĐQT	22/05/2020	<ul style="list-style-type: none"> - Approved to invest to bond, in which the capital will be loaned from foreign banks. - Approved the plan of rearrange some transaction offices.
11	11/2020/NQ-HĐQT	28/05/2020 For seeking directors' writing approval	Approved to issue the covered warrants: FPT-HSC-MET04, HPG-HSC-MET03, MBB-HSC-MET05, MSN-HSC-MET02, MWG-HSC-MET05, PNJ-HSC-MET02, REE-HSC-MET03, TCB-HSC-MET03, VHM-HSC-MET02, VNM-HSC-MET04, VPB-HSC-MET03, VRE-HSC-MET04.
12	12/2020/NQ-HĐQT	08/06/2020 For seeking directors' writing approval	Approved the documents of the Annual General Meeting FY2019.
13	13/2020/NQ-HĐQT	18/06/2020 For seeking directors' writing approval	Approved to supplement the proposal "Change of address of HSC Head Office" to the agenda of Annual General Meeting

No.	Resolution No.	Date	Content
			FY2019.
14	14/2020/NQ-HĐQT	09/07/2020	Approved the recommendations of credit limit of banking loans (the credit limit of banking loans was disclosure at Disclosure Information No. 20/2020/CV-CBTT dated April 01, 2020).
15	15/2020/NQ-HĐQT	07/07/2020	Approved the recommendations of credit limit of banking loans (the credit limit of banking loans was disclosure at Disclosure Information No. 20/2020/CV-CBTT dated April 01, 2020).
16	16/2020/NQ-HĐQT	07/08/2020	- Approved the 1H2020 financial performance and forecast the 2H2020 business plan. - Approved the plan to issue covered warrants (the sixth time).
17	17/2020/NQ-HĐQT	07/08/2020	Approved the recommendations of credit limit of banking loans (the credit limit of banking loans was disclosure at Disclosure Information No. 20/2020/CV-CBTT dated April 01, 2020).
18	18/2020/NQ-HĐQT	07/08/2020	Approved the recommendations of credit limit of banking loans (the credit limit of banking loans was disclosure at Disclosure Information No. 20/2020/CV-CBTT dated April 01, 2020).
19	19/2020/NQ-HĐQT	18/08/2020 For seeking directors' writing approval	Approved to issue the covered warrants: FPT-HSC-MET05, FPT-HSC-MET06, HPG-HSC-MET04, HPG-HSC-MET05, MBB-HSC-MET06, MSN-HSC-MET03, MWG-HSC-MET05, MWG-HSC-MET06, PNJ-HSC-MET03, REE-HSC-MET04, STB-HSC-MET01, TCB-HSC-MET04, VHM-HSC-MET03, VHM-HSC-MET04, VIC-HSC-MET01, VNM-HSC-MET05, VPB-HSC-MET04, VPB-HSC-MET05, VRE-HSC-MET05.
20	20/2020/NQ-HĐQT	03/09/2020	Approved the recommendations of credit limit of banking loans (the credit limit of banking loans was disclosure at Disclosure Information No. 20/2020/CV-CBTT dated April 01, 2020).
21	21/2020/NQ-HĐQT	07/09/2020	Approved the recommendations of credit limit of banking loans (the credit limit of banking loans was disclosure at Disclosure Information No. 20/2020/CV-CBTT dated April 01, 2020).
22	22/2020/NQ-HĐQT	29/09/2020	Approved the recommendations of credit limit of banking loans (the credit limit of banking loans was disclosure at Disclosure Information No. 20/2020/CV-CBTT dated April 01, 2020).
23	23/2020/NQ-HĐQT	08/10/2020 For seeking directors' writing approval	Approved to the supplemental issuance of covered warrants: MWG-HSC-MET06, MWG-HSC-MET07, REE-HSC-MET04.
24	24/2020/NQ-HĐQT	08/10/2020	Approved the recommendations of credit limit of banking loans (the credit limit of banking loans was disclosure at Disclosure Information No. 20/2020/CV-CBTT dated April 01, 2020).
25	25/2020/NQ-HĐQT	08/10/2020	- Approved the Q3.2020 financial performance and forecast the 2020 business plan. - Approved the plan to issue covered warrants (the seventh time). - Appointed the Person in charge of Corporate Governance.

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No.	Resolution No.	Date	Content
26	26/2020/NQ-HĐQT	08/10/2020	Approved the recommendations of credit limit of banking loans (the credit limit of banking loans was disclosure at Disclosure Information No. 20/2020/CV-CBTT dated April 01, 2020).
27	27/2020/NQ-HĐQT	08/10/2020	Approved the recommendations of credit limit of banking loans (the credit limit of banking loans was disclosure at Disclosure Information No. 20/2020/CV-CBTT dated April 01, 2020).
28	28/2020/NQ-HĐQT	08/10/2020	Approved the recommendations of credit limit of banking loans (the credit limit of banking loans was disclosure at Disclosure Information No. 20/2020/CV-CBTT dated April 01, 2020).
29	29/2020/NQ-HĐQT	29/10/2020 For seeking directors' writing approval	<ul style="list-style-type: none"> - Approved to establish the Hoan Kiem Branch in the North Region. - Approved to close the transaction offices and branch in the North Region and in the South Region.
30	30/2020/NQ-HĐQT	11/11/2020 For seeking directors' writing approval	Approved the supplemental issuance of covered warrants: CTCB2010 and CVRE2012.
31	31/2020/NQ-HĐQT	11/11/2020 For seeking directors' writing approval	Allowed to participate in exchange rate hedging activities through foreign currency swaps and interest rate derivative transactions with banks.
32	32/2020/NQ-HĐQT	16/11/2020 For seeking directors' writing approval	Approved to issue the covered warrants: FPT-HSC-MET07, FPT-HSC-MET08, HDB-HSC-MET01, HDB-HSC-MET02, HPG-HSC-MET06, HPG-HSC-MET07, KDH-HSC-MET01, KDH-HSC-MET02, MBB-HSC-MET07, MBB-HSC-MET08, MSN-HSC-MET04, MSN-HSC-MET05, MWG-HSC-MET08, MWG-HSC-MET09, PNJ-HSC-MET04, PNJ-HSC-MET05, REE-HSC-MET05, REE-HSC-MET06, STB-HSC-MET02, STB-HSC-MET03, TCB-HSC-MET05, TCB-HSC-MET06, VHM-HSC-MET05, VHM-HSC-MET06, VIC-HSC-MET02, VIC-HSC-MET03, VJC-HSC-MET02, VJC-HSC-MET03, VNM-HSC-MET06, VNM-HSC-MET07, VPB-HSC-MET06, VPB-HSC-MET07, VRE-HSC-MET06, VRE-HSC-MET07.
33	33/2020/NQ-HĐQT	01/12/2020	Approved the recommendations of credit limit of banking loans (the credit limit of banking loans was disclosure at Disclosure Information No. 20/2020/CV-CBTT dated April 01, 2020).
34	34/2020/NQ-HĐQT	01/12/2020	Approved the recommendations of credit limit of banking loans (the credit limit of banking loans was disclosure at Disclosure Information No. 20/2020/CV-CBTT dated April 01, 2020).
35	35/2020/NQ-HĐQT	01/12/2020 For seeking directors' writing approval	Adjusted the contents of the covered warrants (the seventh time).
36	36/2020/NQ-HĐQT	01/12/2020 For seeking directors' writing approval	Approved the supplemental issuance of covered warrants: CTCB2010 and CVRE2012 (the sixth time).

No.	Resolution No.	Date	Content
37	37/2020/NQ-HĐQT	08/12/2020 For seeking directors' writing approval	Approved the FY2020 first interim cash dividend with pay-out rate 5%.
38	38/2020/NQ-HĐQT	24/12/2020	Approved the recommendations of credit limit of banking loans (the credit limit of banking loans was disclosure at Disclosure Information No. 20/2020/CV-CBTT dated April 01, 2020).

III. Supervisory Board ("BOS")

1. Information about members of the BOS:

No.	Members of Supervisory Board	Position	The date becoming to be the member of BOS	Qualification
01	Mr. Vo Van Chau	Head of BOS	21/04/2016	BA
02	Mr. Doan Van Hinh	Member	21/04/2016	BA
03	Ms. Dang Nguyet Minh	Member	21/04/2016	BA

2. Meetings of the BOS:

In 2020, BOS held two meetings which all members attended and discussed the contents regarding the BOS authorities

No.	Members of Supervisory Board	Number of meetings attendance	Attendance rate	Voting rate	Reasons for absence
01	Mr. Vo Van Chau	2/2	100%	100%	
02	Mr. Doan Van Hinh	2/2	100%	100%	
03	Ms. Dang Nguyet Minh	2/2	100%	100%	

3. The supervising BOD, BOM and Shareholders by BOS:

BOS's representatives attending all BOS quarter/ request meetings updated the activities of the Company. In the first half of the year, the main areas were overseen by BOS as below:

- To report the supervisions of the FY2019 business results and the activities plan of BOS to the Shareholders at AGM FY2019.
- 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 FY2020 quarterly/ semi-annual/ annual Financial Statements.
- To supervise the implementation of the internal audit processes of Internal Audit Function in 2020.
- To supervise the implementation of the information disclosure as provided by law.

4. The coordination among BOS with the BOD, BOM and other 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 2020.

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.

5. Other activities of the BOS:

BOS together with Internal Audit Function and Board Internal Audit Committee supervised the implementation of internal audit processes of the Company in 2020.

IV. Board of Management

No.	Members of Board of Management	Date of birth	Qualification	Date of appointment/ dismissal of the BOM
01	Mr. Trinh Hoai Giang Position: CEO & Legal Representative	Jan 28, 1969	MBA	Mar 16, 2020

V. Chief Accountant

No.	Name	Date of birth	Qualification	Date of appointment/ dismissal of the BOM
01	Mr. Lam Huu Ho	July 25, 1974	BA	Nov 11, 2007

VI. 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 due to the time was not available.

VII. 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: Please see Appendix I
2. Transactions between the Company and its affiliated persons, or between the Company and its major shareholders, internal persons and affiliated persons: No transaction
3. Transactions between internal persons of the Company, affiliated person of internal persons and the Company's subsidiaries in which the Company takes controlling power: No transaction
4. Transactions between the Company and other objects:
 - 4.1. Transactions between the Company and the company that its members of BOD, BOS and CEO have been founding members or members of BOD or CEOs in three (03) latest years (calculated at the time of reporting): No transaction
 - 4.2. Transactions between the Company and the company that its affiliated person with members of BOD, BOS, CEO and other managers as a member of BOD, CEO: No transaction
 - 4.3. Other transactions of the Company may bring marterial or non-marterial benefits for members of BOD, BOS and CEO: No transaction

VIII. Share transactions of internal persons and their affiliated persons

1. The list of internal persons and their affiliated persons: Please see Appendix II
2. Transactions of internal persons and affiliated persons with shares of the Company: Please see Appendix III

IX. Other significant issues:

FOR AND ON BEHALF OF THE BOARD OF DIRECTORS

CHAIRMAN



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DO HUNG VIET



APPENDIX I

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			
02	Dragon Capital Vietnam VietFund Management		BOD member	45/UBCK-GP	08/01/2009	SSC	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/D 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			
04	Investment Liner JSC		Chairman	0108263029	10/01/2019	DPI of Hanoi	3 rd Floor, Hanoi Tower, 49 Hai Ba Trung Str., Hanoi			

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				
05	Le Thang Can		Member					21/04/2016		
	Organization									
01	Hochiminh city Finance and Investment state – own Company (HFIC)		Head of Accounting Dept.	0300535140	13/04/2010	DPI of HCMC	33- 39 Pastuer Str., Dist. 1, HCMC			
02	Voluntary Youth Argicultureal Development Corporation (ADECO CORP)		BOD Member	0306320462	06/12/2208	DPI of HCMC	636 Vo Van Kiet Str., Ward 1, Dist. 5, HCMC			
06	Johan Nyvene (*)		Member					21/04/2016		
	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			
02	Dragon Capital Vietnam VietFund Management (DCVFM)		BOD member	45/UBCK-GP	08/01/2009	SSC	Unit 1501, 15 th Fl, Me Linh Point, No.02 Ngo Duc Ke Str., Dist. 1, HCMC			
03	Nafoods Group		BOD member	2900326375	11/09/2020	DPI of Nghe An	47 Nguyen Canh Hoan Str., Quan Bau Ward, Vinh City, Nghe Anh			
07	Le Hoang Anh		Member					21/04/2016		
	Organization									
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			
B SUPERVISORY BOARD										
01	Vo Van Chau		Head of Supervisory Board					21/04/2016		
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	Unit 1501, 15 th Fl, Me Linh Point, No.02 Ngo Duc Ke Str.,			

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				
						Island	Dist. 1, HCMC			
C	BOARD OF MANAGEMENT									
01	Trinh Hoai Giang (**)		CEO & Legal Representative					16/03/2020		
02	Le Cong Thien		Deputy CEO					12/08/2013	22/05/2020	
D	CHIEF FINANCIAL OFFICER/ ACCOUNTING CHIEF									
	Lam Huu Ho		CFO/AC					01/11/2007		
E	PERSON AUTHORIZED TO DISCLOSE INFORMATION									
	Le Anh Quan		Chief Partnership Officer					11/02/2019		
F	PERSON IN CHARGE OF CORPORATE GOVERNANCE – COMPANY SECRETARY									
	Than Thi Thu Dung		Person on charge of Corporate Governance & Company Secretary					08/10/2020		

Note:

- (*) Mr. Johan Nyvene has been no longer as Chief Executive Officer of HSC, effective from March 16, 2020 referring Decision of the resignation of Chief Executive Officer No. 01/2020/QĐ-HĐQT dated January 09, 2020 and Decision No. 13/GPĐC-UBCK issued by the State Securities Commission dated March 16, 2020 on adjusting Securities Business License No. 11/GPĐKKD dated April 29, 2003.
- (**) Mr. Trinh Hoai Giang has been official appointed as Chief Executive Officer of HSC, effective from March 16, 2020 referring Decision of the appointment of Chief Executive Officer No. 02/2020/QĐ-HĐQT dated January 09, 2020 and Decision No. 13/GPĐC-UBCK issued by the State Securities Commission dated March 16, 2020 on adjusting Securities Business License No. 11/GPĐKKD dated April 29, 2003.

APPENDIX II

The list of internal persons and their affiliated persons

No.	Name	Securities trading account (if any)	Position at Company (if any)	Relationship with the Company/ internal person	Type of documents	ID card/Passport			Address	Number of shares owned at the end of period	Percentage of share owned at the end of period	Number of shares represented at the end of period	Percentage of share represented at the end of period
						Number	Date of issue	Place of issue					
A	THE BOARD OF DIRECTORS												
01	Do Hung Viet	011C008858	Chairman		ID					41,924	0.01	-	
a	Organization												
b	Individual												
01	Nguyen Thi Bach Ngoc	011C005289		Wife	ID								
02	Do Tri Duc	022C039113		Son	ID					970	0.0003		
03	Do Nguyen Bao Chau	011C009671		Daughter	ID								
04	Do Anh Tuan			Brother	ID								
05	Do Thi Xuan Mai			Younger sister	ID								
06	Do Thi Xuan Lan			Younger sister	ID								

No.	Name	Securities trading account (if any)	Position at Company (if any)	Relationship with the Company/ internal person	Type of documents	ID card/Passport			Address	Number of shares owned at the end of period	Percentage of share owned at the end of period	Number of shares represented at the end of period	Percentage of share represented at the end of period
						Number	Date of issue	Place of issue					
07	Do Thi Thanh Thuy			Younger sister	ID								
08	Do Quoc Hung			Younger brother	ID								
02	Le Anh Minh		Vice Chairman		ID				102,592	0.03%	-	-	
a	Organization												
01	Dragon Capital Markets Limited (DC)		Director, BOD Member of DCG		BRC	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	15.02
02	Dragon Capital Vietnam VietFund Management (DCVFM)		BOD member		BRC	45/UBCK-GP	08/01/2009	SSC	Unit 1501, 15 th Fl, Me Linh Point, No.02 Ngo Duc Ke Str., Dist. 1, HCMC				
b	Individual												
01	Le Anh Dung			Father									
02	Pham Thi Nha			Mother									
03	Nguyen Thu Thuy			Wife	ID								

No.	Name	Securities trading account (if any)	Position at Company (if any)	Relationship with the Company/ internal person	Type of documents	ID card/Passport			Address	Number of shares owned at the end of period	Percentage of share owned at the end of period	Number of shares represented at the end of period	Percentage of share represented at the end of period
						Number	Date of issue	Place of issue					
04	Le Anh Phuong Vy			Daughter									
05	Le Anh Khang			Son									
06	Le Anh Quan			Brother	ID				196.800	0,06			
07	Le Anh Huy			Brother									
08	Le Anh Quang			Younger brother									
03	Pham Nghiem Xuan Bac		Member		ID				460,000	0.15			
	Organization												
01	Vision & Associates		CEO		BRC	0100912017	18/05/1999	DPI of Hanoi	3 rd Floor, Hanoi Tower, 49 Hai Ba Trung Str., Hanoi				
02	Vision & Associates Legal		Chairman		BRC	01070392/TP/ĐKKD	02/08/2007	DPJof Hanoi	3 rd Floor, Hanoi Tower, 49 Hai Ba Trung Str., Hanoi				
03	Cong Huong JSC		Chairman		BRC	0103012948	07/07/2006	DPI of Hanoi	3 rd Floor, Hanoi Tower, 49 Hai Ba				

No.	Name	Securities trading account (if any)	Position at Company (if any)	Relationship with the Company/ internal person	Type of documents	ID card/Passport			Address	Number of shares owned at the end of period	Percentage of share owned at the end of period	Number of shares represented at the end of period	Percentage of share represented at the end of period
						Number	Date of issue	Place of issue					
									Trung Str., Hanoi			691,030	0.23
04	Investment Liner JSC		Chairman			0108263029	10/01/2019	DPI of Hanoi	3 rd Floor, Hanoi Tower, 49 Hai Ba Trung Str., Hanoi				
b	Individual												
01	To Thi Anh Dương			Wife	ID								
02	Pham Thu Nga			Daughter	ID								
03	Pham Thu Hương			Daughter	ID								
04	Pham Hoang Minh Thu			Sister	ID								
05	Pham Nghiem Minh Thao			Sister	ID					11	-		
06	Pham Nghiem Minh Thuy			Sister	ID								
07	Pham Nghiem Xuan Binh			Brother	ID					88	-		

No.	Name	Securities trading account (if any)	Position at Company (if any)	Relationship with the Company/ internal person	Type of documents	ID card/Passport			Address	Number of shares owned at the end of period	Percentage of share owned at the end of period	Number of shares represented at the end of period	Percentage of share represented at the end of period
						Number	Date of issue	Place of issue					
04	Le Thang Can		Member		ID								
a	Organization												
01	Hochiminh city Finance and Investment state – own Company (HFIC)		Head of Accounting Department		BRC	0300535140	13/04/2010	DPI of HCMC	33- 39 Pastuer Str., Dist. 1, HCMC			21.282.554	7,18
02	Voluntary Youth Argicultureal Development Corporation (ADECO CORP)		BOD Member		BRC	0306320462	06/12/2208	DPI of HCMC	636 Vo Van Kiet Str., Ward 1, Dist. 5, HCMC				
b	Individual												
01	Le Cong			Father									
02	Chau Thi Hong			Mother	ID								
03	Nguyen Thi Huong			Wife	ID								
04	Le Ba Minh			Son									
05	Le Ba Hoang Quan			Son									
06	Le Ngoc An			Brother	ID								
07	Le Duc			Brother	ID								
08	Le Tri			Brother									
09	Le Thi Ngoc Chau			Younger sister	ID								

No.	Name	Securities trading account (if any)	Position at Company (if any)	Relationship with the Company/ internal person	Type of documents	ID card/Passport			Address	Number of shares owned at the end of period	Percentage of share owned at the end of period	Number of shares represented at the end of period	Percentage of share represented at the end of period
						Number	Date of issue	Place of issue					
05 a	Johan Nyvene (*) Organization		BOD Member		ID					1,382,020	0.45	-	-
01	Dragon Capital Markets Limited (DC)		Capital Representative of DC		BRC	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	15.02
02	Dragon Capital Vietnam VietFund Management (DCVFM)		BOD member		BRC	45/UBCK-GP	08/01/2009	SSC	Unit 1501, 15 th Fl, Me Linh Point, No.02 Ngo Duc Ke Str., Dist. 1, HCMC				
03 b	Nafoods Group Individual		BOD member		BRC	2900326375	11/09/2020	DPI of Nghe An	47 Nguyen Canh Hoan Str., Quan Bau Ward, Vinh City, Nghe An				
01	Nguyen Duc Hoa			Father									
02	Le Thi Sen			Mother									
03	Nguyen Thai Hang			Wife	ID								

No.	Name	Securities trading account (if any)	Position at Company (if any)	Relationship with the Company/ internal person	Type of documents	ID card/Passport			Address	Number of shares owned at the end of period	Percentage of share owned at the end of period	Number of shares represented at the end of period	Percentage of share represented at the end of period
						Number	Date of issue	Place of issue					
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									
06	Le Hoang Anh		Member		ID								

No.	Name	Securities trading account (if any)	Position at Company (if any)	Relationship with the Company/ internal person	Type of documents	ID card/Passport			Address	Number of shares owned at the end of period	Percentage of share owned at the end of period	Number of shares represented at the end of period	Percentage of share represented at the end of period
						Number	Date of issue	Place of issue					
a Organization													
01	Dragon Capital Markets Limited (DC)		Director		BRC	184419	04/05/1996	British Virgin Island	Unit 1501, 15 th Fl, Me Linh Point, No.02 Ngo Duc Ke Str., Dist. 1, HCMC				
b Individual													
01	Le Phi Yen			Father	ID								
02	Thai Thi Thanh Van			Mother	ID								
03	Le Thi Huynh Mai			Wife	ID								
04	Le Hoang Quoc Anh			Son	ID								
05	Le Hoang Nhat Nam			Son									
06	Le Hoang Mai			Sister	ID								

No.	Name	Securities trading account (if any)	Position at Company (if any)	Relationship with the Company/ internal person	Type of documents	ID card/Passport			Address	Number of shares owned at the end of period	Percentage of share owned at the end of period	Number of shares represented at the end of period	Percentage of share represented at the end of period
						Number	Date of issue	Place of issue					
07	Le Nam Thang			Younger brother	ID								
07 a	Lam Hoai Anh Organnization		BOD Member		ID								
01	Hochiminh city Finance and Investment state – own Company (HFIC)		Deputy Director		BRC	0300535140	13/04/2010	DPI of HCMC	33- 39 Pastuer Str., Dist. 1, HCMC	-	-	51.082.626	16,75
02	Saigon Diamond Corporate		BOD Member		BRC	0305244843	17/05/2017	DPI of HCMC	181-183-185 Tran Hung Dao Str., Co Giang Ward, Dist., 1, HCMC				
03 b	Giadinh Textile Corporate Individual		BOD Member		BRC	0300744507	05/08/2016	DPI of HCMC	10-12-14-16 Nam Ky Khoi Nghia Str., Nguyen Thai Binh Ward, Dist., 1, HCMC				
01	Tran Thi Hoa			Mother	ID								
02	Le Thi Phuong Hong			Wife	ID								

No.	Name	Securities trading account (if any)	Position at Company (if any)	Relationship with the Company/ internal person	Type of documents	ID card/Passport			Address	Number of shares owned at the end of period	Percentage of share owned at the end of period	Number of shares represented at the end of period	Percentage of share represented at the end of period
						Number	Date of issue	Place of issue					
03	Lam Hoai Phuong An			Son	ID								
04	Lam Hoai Khanh An			Daughter									
05	Lam Tuan Anh			Brother	ID								
06	Lam Quynh Anh			Younger Sister	ID								
B	THE SUPERVISORY BOARD												
01	Vo Van Chau		Head of Supervisory Board		ID					40,418	0.01%	-	-
a	Organization												
b	Individual												
01	Pham Thi Thu Van			Wife	ID								
02	Vo Thi Nha Uyen			Daughter	ID								

No.	Name	Securities trading account (if any)	Position at Company (if any)	Relationship with the Company/ internal person	Type of documents	ID card/Passport			Address	Number of shares owned at the end of period	Percentage of share owned at the end of period	Number of shares represented at the end of period	Percentage of share represented at the end of period
						Number	Date of issue	Place of issue					
03	Vo Pham Nha Khanh			Daughter	ID								
04	Vo Thanh Bao			Younger brother	ID								
05	Vo Thi Luom			Younger sister	ID								
06	Vo Van Tuan			Younger brother	ID								
07	Vo Van Kiet			Younger brother	ID								
08	Vo Thi Cuc Hoa			Younger sister	ID								
02	Đoan Van Hinh		Member		ID				10,935	0,004	-	-	
a	Organization												
b	Individual												
01	Nguyen Thi Sen			Mother	ID								
02	Trinh Thi Kim Thanh			Wife	ID								
03	Doan Quang Huy			Son	ID								
04	Doan Thi Quynh Nhu			Daughter	ID								
05	Doan Van Can			Brother	ID								
06	Doan Thi Kim Oanh			Sister	ID								

No.	Name	Securities trading account (if any)	Position at Company (if any)	Relationship with the Company/ internal person	Type of documents	ID card/Passport			Address	Number of shares owned at the end of period	Percentage of share owned at the end of period	Number of shares represented at the end of period	Percentage of share represented at the end of period
						Number	Date of issue	Place of issue					
07	Doan Van Trung			Younger brother	ID								
08	Doan Van Khiem			Younger brother	ID								
09	Doan Thi Kim Anh			Younger sister	ID								
10	Doan Van Trang			Younger sister	ID								
11	Doan Thi Kim Chi			Younger sister	ID								
12	Doan Thi Kim Lien			Younger sister	ID								
03 a	Dang Nguyet Minh Organization		Member		ID								
01 b	Dragon Capital Markets Limited (DC) Individual		Director		BRC	184419	04/05/1996	British Virgin Island	Unit 1501, 15 th Fl, Me Linh Point, No.02 Ngo Duc Ke Str., Dist. 1, HCMC				
01	Dang Van Duong			Father	ID								
02	Le Nguyen Minh			Mother	ID								
03	Nguyen Hoai Nam			Husband	ID								
04	Dang Thanh Tung			Brother	ID								

No.	Name	Securities trading account (if any)	Position at Company (if any)	Relationship with the Company/ internal person	Type of documents	ID card/Passport			Address	Number of shares owned at the end of period	Percentage of share owned at the end of period	Number of shares represented at the end of period	Percentage of share represented at the end of period
						Number	Date of issue	Place of issue					
C BOARD OF MANAGEMENT													
01	Trinh Hoai Giang		CEO & Legal Representative							943,351	0.31	-	-
a	Organization												
b	Individual												
01	Tran Thi Tuong Hy			Mother	ID								
02	Nguyen Hong Anh			Wife	ID								
03	Trinh Hoai Anh Nguyen			Son									
04	Trinh Hoai Thanh Van			Daughter									
05	Trinh Hoai Nam			Younger brother						10	-		
D CHIEF FINANCIAL OFFICER / ACCOUNTING CHIEF													
	Lam Huu Ho		CFO/AC		ID					478,789	0.16	-	-

No.	Name	Securities trading account (if any)	Position at Company (if any)	Relationship with the Company/ internal person	Type of documents	ID card/Passport			Address	Number of shares owned at the end of period	Percentage of share owned at the end of period	Number of shares represented at the end of period	Percentage of share represented at the end of period
						Number	Date of issue	Place of issue					
a	Organization												
b	Individual												
01	Lam Van To			Father									
02	Ho Thi Hong Nhan			Mother	ID								
03	Lam Thi Phuong Linh			Sister	ID								
04	Lam Thi Phuong Thao			Sister	ID								
05	Lam Huu Phuc			Brother	ID								
06	Lam Huu Duc			Brother	ID								
07	Lam Thi Phuong Lan			Sister	ID								
E	PERSON AUTHORIZED TO DISCLOSE INFORMATION												
	Le Anh Quan		Chief Partnership Officer		ID					196,800	0.06		

No.	Name	Securities trading account (if any)	Position at Company (if any)	Relationship with the Company/ internal person	Type of documents	ID card/Passport			Address	Number of shares owned at the end of period	Percentage of share owned at the end of period	Number of shares represented at the end of period	Percentage of share represented at the end of period
						Number	Date of issue	Place of issue					
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									
F	PERSON IN CHARGE OF CORPORATE GOVERNANCE – COMPANY SECRETARY												
	Than Thi Thu Dung		Person on charge of Corporate Governance & Company Secretary		ID					60.345	0.02		
a	Organization												
b	Individual												
01	Dang Thi Ngoc Tien			Mother	ID								
02	Nguyen Van Nhan			Husband	ID								
03	Nguyen Du Nghi			Daughter									

No.	Name	Securities trading account (if any)	Position at Company (if any)	Relationship with the Company/ internal person	Type of documents	ID card/Passport			Address	Number of shares owned at the end of period	Percentage of share owned at the end of period	Number of shares represented at the end of period	Percentage of share represented at the end of period
						Number	Date of issue	Place of issue					
04	Than Thi Thu Hong			Sister	ID								
05	Than Duc Phuc			Brother	ID								
06	Than Thi Thu Thuy			Sister	ID								
07	Than Thi Thu Thao			Sister	ID								
08	Than Duc Dung			Brother	ID								
09	Than Thi Thu Loc			Sister	ID								
10	Than Duc Quang Da			Brother	ID								
11	Than Duc Quoc Viet			Brother	ID								
12	Than Duc Long			Younger brother	ID								

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 – 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.