**ABW: Annual Corporate Governance Report 2023**

On January 18, 2024, An Binh Securities Joint Stock Company announced Report No. 03/BC-BCHDQT24 on corporate governance in 2023 as follows:

* Name of company: An Binh Securities Joint Stock Company
* Head office address: 16th floor, Geleximco Buiding, No. 36 Hoang Cau Street, O Cho Dua Ward, Dong Da District, Hanoi.
* Tel: 024 35624626 Fax: 024 35624628 Email: ptkd@abs.vn
* Charter capital: VND 1,011,500,000,000
* Securities code: ABW
* Corporate governance model: The General Meeting, Board of Directors, Supervisory Board and Managing Director
* Internal audit: Implemented
1. Activities of the General Meeting:

On April 21, 2023, An Binh Securities Joint Stock Company held the Annual General Meeting 2023. Based on the Reports and Proposals, the General Meeting has discussed and approved the following contents:

|  |  |  |  |
| --- | --- | --- | --- |
| No. | General Mandate/Decision No. | Date | Content |
| 1 | 12/NQ-DHDCD2023 | April 21, 2023 | Annual General Mandate 2023 |

1. Board of Directors (Report of 2023):
2. Information about members of the Board of Directors:

|  |  |  |  |
| --- | --- | --- | --- |
| No. | Member of the Board of Directors | Position | Date of appointment/dismissal as member/independent member of the Board of Directors |
| Appointment date | Dismissal date |
| 1 | Ms. Vu Thi Huong | Chair  | April 19, 2018 |  |
| 2 | Ms. Tran Kim Khanh | Member | April 19, 2018 |  |
| 3 | Mr. Le Viet Ha | Member | April 15, 2021 |  |
| 4 | Ms. Nguyen Thi Nga | Member | April 15, 2021 |  |
| 5 | Mr. Khuong Duc Tiep | Member | April 26, 2022 |  |

1. Board Resolutions/Decisions:

In 2023, the Board of Directors approved decisions and resolutions on orientations, policies, strategies, internal governance regulations, investments, etc., specifically as follows:

|  |  |  |  |
| --- | --- | --- | --- |
| No. | Board Resolution/Decision  | Date | Contents |
| 1 | 02/QD-HDQT23 | January 19, 2023 | Approve the risk policy and risk limit in 2023 |
| 2 | 04/QD- HDQT22 | January 19, 2023 | Change the audit company for 2022 |
| 3 | 05/BC-HDQT23 | January 30, 2023 | Corporate Governance Report 2023 |
| 4 | 07/QD-HDQT23 | February 16, 2023 | Record the list of shareholders for transaction registration |
| 5 | 09/QD-HDQT23 | March 01, 2023 | Approve the convening and the contents of the Annual General Meeting 2023 |
| 6 | 14/NQ-HDQT23 | April 21, 2023 | Elect the Chair of the Board of Directors |
| 7 | 18/QD-HDQT23 | May 26, 2023 | Promulgate the financial investment regulations |
| 8 | 22/QD-HDQT23 | July 07, 2023 | Select an audit company in 2023 |
| 9 | 23/BC-HDQT23 | July 13, 2023 | Corporate Governance Report for the first 6 months of 2023 |
| 10 | 28/QD-HDQT23 | August 22, 2023 | Establish Hanoi Branch at Lang Ha. |
| 11 | 31/QD-HDQT23 | September 21, 2023 | Change the address of Hue Branch |

Furthermore, in 2023, the Board of Directors announced Decisions on dismissal, appointment, and approval of transactions with related parties under the authority of the Board of Directors as regulated by laws and the Company's charter.

1. Supervisory Board (Report of 2023):
2. Information about the members of the Supervisory Board:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| No. | Member of the Supervisory Board | Position | Date of appointment/dismissal as member of the Supervisory Board | Qualification |
| 1 | Ms. Chu Thi Huong | Chief of the Supervisory Board | April 23, 2015 | Master of Finance, Management Control |
| 2 | Ms. Nguyen Thi Duu | Member of the Supervisory Board | April 15, 2021 | Bachelor at Academy of Finance; Certified Public Accountant (CPA) |
| 3 | Ms. Pham Thi Bich Ngoc | Member of the Supervisory Board | April 15, 2021 | Bachelor at Academy of Finance |

1. Executive Board.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| No. | Member of the ExecutiveExecutive Board | Date of birth | Professional Qualification | Date of appointment/dismissal as member of the Executive Board |
| 1 | Nham Ha Hai - Managing Director | December 19, 1977 | Master | Appointed on January 18, 2022 |
| 2 | Dang Hai Chung – Deputy Managing Director | October 11, 1980 | Master | Appointed on July 30, 2021 (reappointed on July 30, 2023) |

1. Chief Accountant

|  |  |  |  |
| --- | --- | --- | --- |
| Full name | Date of birth | Professional Qualification | Date of appointment/dismissal |
| Le Thi Thu Hien | January 16, 1983 | Bachelor | Appointed on June 01, 2021 (reappointed on June 01, 2022) |

1. Training on corporate governance
2. List of related persons of the public company (Report in 2023) and transaction between related persons of the Company and the Company itself:
3. Transactions between the Company and related persons of the Company; or between the Company and shareholders:

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| No. | Name of organization/individual | Relations with the Company | NSH No., Date of issue, Place of issue of NSH | Head office address/Contact address | Time of transaction | General Mandate/Decision of the General Meeting of Shareholder No. or Board Resolution/Decision No. (including date of promulgation, if any) | Content, quantity, total value of transaction | Note |
| 1 | Geleximco Group Joint Stock Company | Related person of PDMR |  | Geleximco Building, 36 Hoang Cau, Dong Da, Hanoi | December 13, 2023 |  | Service contract for deposit support for the bonds issued by Geleximco Group, as stipulated by Decree No. 153/2020/ND-CP. |  |

Notes: NSH Number\*: ID Card/Passport No. (for individuals) or Business Registration Certificate No., License on Operations No. or equivalent legal documents (for institutions)

1. Transactions between PDMR of the Company, related persons of PDMR and subsidiaries, companies controlled by the Company.

companies controlled by the Company Not incurred

1. Transactions between the Company and other entities:
	1. Transactions between the Company and the companies where members of the Board of Directors, members of the Supervisory Board, Executive Manager (Managing Director) and other managers who have been founding members or members of the Board of Directors and Executive Manager (Managing Director) for the past three (03) years (as at the date of reporting): Arising transactions with Geleximco Group - Joint Stock Company
	2. Transactions between the Company and companies where the related persons of members of the Board of Directors, members of the Supervisory Board, Executive Manager (Managing Director) and other managers who are members of the Board of Directors and Executive Manager (Managing Director): Not incurred
	3. Other transactions of the Company (if any) which can bring about material or non-material benefits to the members of the Board of Directors, members of the Supervisory Board, Executive Manager (Managing Director) and other managers: None
2. Share transactions of PDMR and related persons of PDMR (Report in 2023)
3. Company’s share transactions of PDMR and related persons:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| No. | Transaction conductor | Relations with PMDR | Number of shares owned at the beginning of the period | Number of shares owned at the end of the period | Reasons for increase or decrease (buy, sell, convert, bonus, etc.) |
| Number of shares | Rate | Number of shares | Rate |
| 1 | Ta Thi Hong Ha | PDMR - Company’s Secretariat  | 427,325 | 0.42% | 392,325 | 0.39% | Sale |