**VIG: Annual Corporate Governance Report 2023**

On January 24, 2024, Viet Nam Financial Investment Securities Corporation announced Report No. 192024/BC-VISC on the corporate governance in 2023 as follows:

* Name of company: Viet Nam Financial Investment Securities Corporation
* Head office address: 1st Floor and 8th Floor, Block B Song Da Building, Pham Hung Street, My Dinh 1 Ward, Nam Tu Liem District, Hanoi City, Vietnam.
* Tel: (024) 35149999 - Fax: (024) 35148766
* Charter capital: VND 451,333,000,000
* Securities code: VIG
* Corporate governance model: The General Meeting of Shareholders, the Board of Directors, the Supervisory Board and the General Manager
* Internal audit execution: Unimplemented.

1. Activities of the General Meeting of Shareholders

Information about meetings and General Mandates/Decisions of the General Meeting of Shareholders (including General Mandates approved by collecting opinions via a ballot):

|  |  |  |  |
| --- | --- | --- | --- |
| No. | General Mandate/Decision of the General Meeting of Shareholders No. | Date | Content |
| 1 | 01/2023/NQ/DHDCD-VICS | March 23, 2023 | * Annual General Mandate 2023 |

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

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| No. | Member of the Board of Directors | Position | Date of appointment/dismissal as member of the Board of Directors | |
| Appointment date | Dismissal date |
| 1 | Mr. Nguyen Phuc Long | Chair of the Board of Directors (Non-executive member of the Board of Directors) | March 23, 2023 |  |
| 2 | Mr. Duong Quang Trung | Deputy Chair of the Board of Directors (Executive member of the Board of Directors) | March 23, 2023 |  |
| 3 | Ms. Dao Thi Thanh | Member of the Board of Directors (Non-executive member of the Board of Directors) | March 23, 2023 |  |
| 4 | Mr. Nguyen Viet Viet | Member of the Board of Directors (Independent member of the Board of Directors) | March 23, 2023 |  |
| 5 | Mr. Nguyen Xuan Bieu | Member of the Board of Directors (Non-executive members of the Board of Directors) | March 23, 2023 |  |

1. Board Resolutions/Board Decisions in 2023:

|  |  |  |  |
| --- | --- | --- | --- |
| No. | Board Resolution/Board Decision No. | Date | Content |
| 1 | 01/2023/NQ/HDQT-VICS | January 4, 2023 | Adjust the License for establishment and securities business operations and related contents |
| 2 | 02/2023/NQ/HDQT-VICS | January 30, 2023 | Approve the risk policy and risk limit |
| 3 | 03/2023/NQ/HDQT-VICS | February 2, 2023 | Plan on holding the Annual General Meeting of Shareholders 2023 |
| 4 | 04/2023/NQ/HDQT-VICS | February 28, 2023 | Approve the agenda and documents of the Annual General Meeting of Shareholders 2023 |
| 5 | 12/2023/NQ/HDQT-VICS | Marrch 16, 2023 | Approve the first trading date off supplement listed VIG shares |
| 6 | 12.02/2023/NQ/HDQT-VICS | March 21, 2023 | Approve the transfer of contributed capital at TIH Holiday Hospitality Investment Joint Venture Company Limited |
| 7 | 13/2023/NQ/HDQT-VICS | March 24, 2023 | Elect the Chair of the Board of Directors |
| 8 | 17/2023/NQ/HDQT-VISC | May 9, 2023 | Approve the change of the Branch's name and transaction office of the Company |
| 9 | 18/2023/NQ/HDQT-VICS | June 6, 2023 | Approve the real estate search for the branch office in Hanoi City |
| 10 | 19/2023/NQ/HDQT-VISC | June 7, 2023 | Deposit the real estate search for the branch office in Hanoi City |
| 11 | 20/2023/NQ/HDQT-VISC | June 7, 2023 | Mortgage assets at Vietnam Joint Stock Commercial Bank for Industry and Trade to borrow capital |
| 12 | 21/2023/NQ/HDQT-VISC | June 15, 2023 | Select the audit company for the Financial Statement 2023 of the Company |
| 13 | 24/2023/NQ/HDQT-VISC | July 5, 2023 | Approve the amendment, adjustment of the Company's rules, regulations, processes, instructions, internal documents to match the new name |
| 14 | 27/2023/NQ/HDQT-VISC | August 18, 2023 | Dismiss the General Manager of the Company |
| 15 | 28/2023/NQ/HDQT-VISC | August 18, 2023 | Appoint the General Manager of the Company |
| 16 | 29/2023/NQ/HDQT-VISC | August 18, 2023 | Appoint the Deputy General Manager of the Company |
| 17 | 30/2023/NQ/HDQT-VISC | August 18, 2023 | Change the legal representative of the Company |
| 17 | 25/2023/NQ/HDQT-VISC | November 13, 2023 | Dismiss the title of the Person in charge of corporate governance |
| 19 | 26/2023/NQ/HDQT-VISC | November 13, 2023 | Appoint the Person in charge of corporate governance |

1. The Supervisory Board;
2. Information about members of the Supervisory Board

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| No. | Members of the Supervisory Board | Position | Date of appointment/dismissal as member of the Supervisory Board | Qualification | |
| 1 | Ms. Pham Thi Tu Anh | Chief of the Supervisory Board | March 23, 2023 | Bachelor of Finance and Banking | |
| 2 | Ms. Nguyen Thi Kim Oanh | Member of the Supervisory Board | March 23, 2023 | Bachelor of Accounting |
| 3 | Ms. Vu Thi Thanh Hai | Member of the Supervisory Board | March 23, 2023 | Bachelor of Accounting |

1. The Executive Board

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| No. | Member of the Executive Board | Date of birth | Qualification | Date of appointment/dismissal as a member of the Executive Board | Date of dismissal as member of the Executive Board |
| 1 | Duong Quang Trung | September 1, 1975 | Bachelor of Economics majoring in Accounting, Master of Business Administration | August 18, 2023 |  |
| 2 | Nguyen Thi Thu Hang | November 28, 1984 | Bachelor of Economics | August 18, 2023 |  |

1. Chief Accountant

|  |  |  |  |
| --- | --- | --- | --- |
| Full name | Date of birth | Professional Qualification | Date of appointment/dismissal |
| Vu Huyen Tram | February 25, 1986 | Master of Economics | January, 2012 |

1. Training on corporate governance:
2. List of affiliated persons of the Company in 2023 and transactions of affiliated persons of the Company with the Company itself
3. Transactions between the Company and affiliated persons of the Company or between the Company and major shareholders, PDMR and affiliated persons of PDMR: None.
4. Transactions between PDMR of listed companies, affiliated persons of PDMR, subsidiaries

and companies controlled by the Company: None.

1. Transactions between the Company and other entities: None.
2. Share transactions of PDMR and affiliated persons of PDMR (in 2023):
3. Transactions of PDMR and affiliated persons of PDMR for shares of listed companies: None.
4. Other significant issues: None.