**WSS: Annual Corporate Governance Report 2023**

On January 22, 2024, Wall Street Securities Joint Stock Company announced Report No. 06/2024/BC-HDQT on the corporate governance 2023 as follows:

* Name of Company: Wall Street Securities Joint Stock Company
* Head office address: Floor 9, ICON4 Building, No. 243A De La Thanh, Hanoi
* Tel: 0439367083 Fax: 0439367082
* Email: info@wss.com.vn
* Charter capital: 503,000,000,000
* Securities code: WSS
* 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 the meetings and General Mandates of the General Meeting of Shareholders

|  |  |  |  |
| --- | --- | --- | --- |
| No. | General Mandate/Decision No. | Date | Content |
| 1 | 01/2023/NQ-DHDCD | April 28, 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/independent member of the Board of Directors | |
| Appointment date | Dismissal date |
| 1. | Mr. Nguyen Dinh Tu | Chair | April 28, 2023 |  |
| 2. | Mr. Pham Duc Long | Vice Chair | April 28, 2023 |  |
| 3. | Mr. Nguyen Viet Thang | Member | April 28, 2023 |  |
| 4. | Mr. Nguyen Dang Truong | Member | April 28, 2023 |  |
| 5. | Mr. Tran Anh Dung | Member | April 28, 2023 |  |
| 6. | Mr. Nguyen Van Thu | Member | April 27, 2018 | April 28, 2023 |
| 7. | Mr. Ngo Tien Minh | Member | April 27, 2018 | April 28, 2023 |

1. Board Resolutions:

|  |  |  |  |
| --- | --- | --- | --- |
| No. | Board Resolution/Board Decision No. | Date | Content |
| 1 | No. 03/QD-HDQT | February 07, 2023 | Assign business development areas to officers in charge |
|  | No. 04/QD-HDQT | February 07, 2023 | Assign business development areas to officers in charge |
|  | No. 05/QD-HDQT | February 07, 2023 | Assign business development areas to officers in charge |
| 2 | No. 02A/QD-HDQT | March 01, 2023 | Change the Company’s logo |
| 3 | No. 06/2023/NQ-HDQT | March 14, 2023 | Approve the organization of the General Meeting of Shareholders 2023 |
| 4 | No. 07/2023/NQ-HDQT | April 06, 2023 | Approve the time, venue, and contents of collecting opinions for the General Meeting of Shareholders 2023 |
| 5 | 07A/2023/WSS/QD-HDQT | May 10, 2023 | Investment portfolio |
| 6 | 08/2023/QD-HDQT | June 05, 2023 | Approve the provision of prepayment services for securities sales |
| 7 | 09/2023/QD-HDQT | August 10, 2023 | Agree on renovating the office on the 9th Floor and rent part of the office |
| 8 | 10/2023/QD-HDQT | December 20, 2023 | Approve the Business Plan for 2024 |

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

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| No. | Member of the Supervisory Board | Position | Date of appointment as member of the Supervisory Board | Date of dismissal as member of the Supervisory Board | Qualification |
| 1 | Mr. Tran Dinh Tung | Chief | April 28, 2023 |  | Bachelor |
| 2 | Mr. Trinh Cong Thang | Member | April 28, 2023 |  | Bachelor |
| 3 | Mr. Doan Van Hung | Member | April 27, 2018 | April 28, 2023 | Bachelor |

1. The Executive Board

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| No. | Members of the Executive Board | Date of birth | Qualification | Date of appointment as a member of the Executive Board | Date of dismissal as a member of the Executive Board |
| 1 | Mr. Nguyen Dang Truong | October 07, 1981 | Master of Business, Certificate of Fund Management Practice | October 05, 2017 |  |
| 2 | Mr. Nguyen Viet Thang | September 19, 1984 | Bachelor of Finance, Certificate of Financial Analysis Practice | May 17, 2013 |  |

1. The Chief Accountant

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Full name | Date of birth | Qualification | Appointment date | Dismissal date |
| Ms. Vu Thi Yen | November 18, 1983 | Bachelor of Economics | September 05, 2023 |  |

1. Training on corporate governance
2. List of affiliated persons of the public company (Annual report) and transactions between the affiliated persons of the Company and 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 the Company’s PDMR, affiliated persons of PDMR and subsidiaries, companies controlled by the Company: None
5. Transactions between the Company and other entities
   1. Transactions between the Company and companies where members of the Board of Directors, members of the Supervisory Board, the General Manager and other managers have been founding members or members of the Board of Directors, the Executive General Manager for the past three (03) years (as at the time of reporting): None
   2. Transactions between the Company and companies where affiliated persons of members of the Board of Directors, members of the Supervisory Board, the General Manager and other managers are members of the Board of Directors, the Executive General Manager: None
   3. Other transactions of the Company (if any) that can bring about material or non-material benefits to members of the Board of Directors, members of the Supervisory Board, the General Manager and other managers: None
6. Share transactions of PDMR and affiliated persons of PDMR
7. Company’s share transactions of PDMR and affiliated persons: None
8. Other significant issues: None