**MBS: Annual Corporate Governance Report 2023**

On January 24, 2024, MB Securities Joint Stock Company announced Report No. 02/BC-MBS-HDQT on the corporate governance in 2023 as follows:

* Name of company: MB Securities Joint Stock Company
* Head office address: 7-8th Floor, MB Building, No. 21 Cat Linh, Dong Da District, Hanoi
* Tel: +84 247304 5688 Fax: +84 24 37262601
* Charter capital: VND 3,805,931,180,000 (Dossier to change charter capital from VND 3,805,931,180,000 to VND 4,376,699,930,000 is being reviewed by the State Securities Commission according to regulations).
* Securities code: MBS
* Corporate Governance Model: The General Meeting of Shareholders, the Board of Directors, the Supervisory Board, and the General Manager.
* Internal audit execution: Implemented.

1. Activities of the General Meeting of Shareholders

Information about the meetings and General Mandates/Decisions of the General Meeting of Shareholders. MB Securities Joint Stock Company successfully organized the Annual General Meeting of Shareholders on April 21, 2023. On the basis of reports, proposals and discussions, the General Meeting of Shareholders approved the following contents:

|  |  |  |  |
| --- | --- | --- | --- |
| No. | General Mandate/Decision of the General Meeting of Shareholders No. | Date | Content |
| 1 | 01/2023/MBS/DHDCD-NQ | April 21, 2023 |  |

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

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| No. | Member of the Board of Directors | Position (independent member/non-executive member of the Board of Directors) | Date of appointment/dismissal as members/independent member of the Board of Directors | |
| Appointment date: | Dismissal date |
| 1 | Mr. Le Viet Hai | Chair of the Board of Directors | June 03, 2020 |  |
| 2 | Mr. Vu Thanh Trung | Vice Chair of the Board of Directors | April 15, 2016 | April 21, 2023 |
| 3 | Mr. Phan Phuong Anh | Member of the Board of Directors, Vice Chair of the Board of Directors | April 26, 2022 - April 21, 2023 |  |
| 4 | Ms. Nguyen Minh Hang | Member of the Board of Directors | June 03, 2020 |  |
| 5 | Ms. Tran Thi Kim Thanh | Independent member of the Board of Directors | April 20, 2018 | April 21, 2023 |
| 6 | Mr. Pham Xuan Thanh | Member of the Board of Directors | April 21, 2023 |  |
| 7 | Mr. Pham The Anh | Independent member of the Board of Directors | April 21, 2023 |  |

1. Board Resolutions/Board Decisions (Report 2023):

|  |  |  |  |
| --- | --- | --- | --- |
| No. | Board Resolution/ Board Decision No. | Date | Content |
| 1 | 04/2023/MBS/HDQT-NQ | January 09, 2023 | Promulgate the procedure for organizing the General Meeting of Shareholders of MB Securities Joint Stock Company |
| 2 | 05/2023/MBS/HDQT-NQ | January 17, 2023 | Receive and assign tasks to officers |
| 3 | 06/2023/MBS/HDQT-NQ | January 17, 2023 | Transfer and appointment of officers |
| 4 | 07/2023/MBS/HDQT-NQ | January 27, 2023 | Promulgate risk management policy in 2023 |
| 5 | 08/2023/MBS/HDQT-NQ | February 01, 2023 | Promulgate the Matrix of Authority Delegation to the Board of Directors |
| 6 | 09/2023/MBS/HDQT-NQ | February 01, 2023 | Change members of the Investment Council |
| 7 | 12/2023/MBS/HDQT-QD | February 21, 2023 | Dismissal of officers |
| 8 | 13/2023/MBS/HDQT-QD | February 21, 2023 | Assign concurrent tasks to officers |
| 9 | 14/2023/MBS/HDQT-QDNS | February 21, 2023 | Change the Manager of Ho Chi Minh Branch |
| 10 | 15/2023/MBS/HDQT-NQ | March 10, 2023 | Change the organization time of the Annual General Meeting of Shareholders 2023 |
| 11 | 16/2023/MBS/HDQT-NQ | March 27, 2023 | Establish a credit limit with Deagu Bank - Ho Chi Minh City Branch |
| 12 | 17/2023/MBS/HDQT-NQ | March 27, 2023 | Establish a credit limit with Indovina Limited Liability Bank |
| 13 | 20/2023/MBS/HDQT-NQ | April 10, 2023 | Establish a credit limit with Ocean Commercial One Member Limited Liability Bank |
| 14 | 21/2023/MBS/HDQT-NQ | April 10, 2023 | Establish a credit limit with Indovina Limited Liability Bank |
| 15 | 22/2023/MBS/HDQT-NQ | April 13, 2023 | Establish a credit limit with Korea Industrial Bank - Hanoi Branch |
| 16 | 24/2023/MBS/HDQT-NQ | April 21, 2023 | Elect the Chair of the Board of Directors |
| 17 | 25/2023/MBS/HDQT-NQ | April 21, 2023 | Elect the Vice Chair of the Board of Directors |
| 18 | 26/2023/MBS/HDQT-NQ | April 21, 2023 | Assign tasks to members of the Board of Directors of MB Securities Joint Stock Company |
| 19 | 27/2023/MBS/HDQT-NQ | April 21, 2023 | Promulgate the Regulations on the organization and operation of the Investment Council |
| 20 | 28/2023/MBS/HDQT-NQ | April 21, 2023 | Change members of the Steering Committee for the implementation of the 2022-2026 strategy |
| 21 | 29/2023/MBS/HDQT-NQ | April 21, 2023 | Change members of the Human Resources and Remuneration Committee |
| 22 | 30/2023/MBS/HDQT-NQ | April 21, 2023 | Change members of the Risk Management Committee |
| 23 | 31/2023/MBS/HDQT-NQ | April 21, 2023 | Change members of the Investment Council |
| 24 | 32/2023/MBS/HDQT-NQ | April 21, 2023 | Change members of the Board of Directors' Emulation and Commendation Council |
| 25 | 36/2023/MBS/HDQT-NQ | April 20, 2023 | Promulgate the Regulations on the management and use of seals |
| 26 | 37/2023/MBS/ HDQT-NQ | May 06, 2023 | Relocate Sai Gon branch |
| 27 | 38/2023/MBS/ HDQT-NQ | May 16, 2023 | Change the location of Transaction Office 1 |
| 28 | 39/2023/MBS/ HDQT-NQ | May 19, 2023 | Implement the plan to issue dividend-paying shares and issue shares to increase share capital from owner's equity |
| 29 | 41/2023/MBS/ HDQT-NQ | May 26, 2023 | Establish a borrowing and guarantee limit with BIDV bank |
| 30 | 42/2023/MBS/ HDQT-NQ | June 02, 2023 | Establish a credit limit with Maritime Bank of Vietnam |
| 31 | 43/2023/MBS/ HDQT-NQ | May 29, 2023 | Promulgate the Regulation on the organization and operation of the Executive Board |
| 32 | 46/2023/MBS/ HDQT-NQ | June 12, 2023 | Establish a credit limit with the Industrial Bank of Korea - Hanoi Branch |
| 33 | 47/2023/MBS/ HDQT-NQ | June 26, 2023 | Promulgate the Charter of MB Securities Joint Stock Company |
| 34 | 48/2023/MBS/HDQT-NQ | June 26, 2023 | Promulgate the Internal Regulations on Corporate Governance |
| 35 | 49/2023/MBS/ HDQT-NQ | June 26, 2023 | Promulgate the Regulation on organization and operation of the Board of Directors |
| 36 | 50/2023/MBS/ HDQT-NQ | June 29, 2023 | Establish a credit limit with the National Citizen Commercial Joint Stock Bank |
| 37 | 51/2023/MBS/ HDQT-NQ | July 06, 2023 | Promulgate the organization chart of MB Securities Joint Stock Company |
| 38 | 52/2023/MBS/ HDQT-NQ | July 11, 2023 | Establish a credit limit with CTBC Bank Co., Ltd |
| 39 | 53/NQ-MBS-HDQT | July 10, 2023 | Rewarding units/individuals for the first 6 months of 2023 |
| 40 | 54/NQ-MBS-HDQT | July 20, 2023 | Establish a credit limit with the Vietnam Foreign Trade Commercial Joint Stock Bank |
| 41 | 55/NQ-MBS-HDQT | July 20, 2023 | Establish a borrowing limit and guarantee with BIDV bank |
| 42 | 56/NQ-MBS-HDQT | July 20, 2023 | Establish a credit limit with Vietnam Construction Bank |
| 43 | 57/NQ-MBS-HDQT | July 10, 2023 | Establish a credit limit with KEB Hana Bank Hanoi Branch |
| 44 | 58/NQ-MBS- HDQT | July 21, 2023 | Issue covered warrant with underlying shares of FPT Corporation |
| 45 | 59/NQ-MBS-HDQT | July 21, 2023 | Issue covered warrant with underlying shares of Hoa Phat Group Joint Stock Company |
| 46 | 60/NQ-MBS-HDQT | July 21, 2023 | Issue covered warrant with underlying shares of Mobile World Investment Corporation |
| 47 | 61/NQ-MBS- HDQT | July 21, 2023 | Issue covered warrant with underlying shares of Sai Gon Thuong Tin Commercial Joint Stock Bank |
| 48 | 62/NQ-MBS- HDQT | July 21, 2023 | Issue covered warrant with underlying TCB shares |
| 49 | 63/NQ-MBS-HDQT | July 21, 2023 | Issue covered warrant with underlying shares of Vinhomes Joint Stock Company |
| 50 | 64/NQ-MBS-HDQT | July 21, 2023 | Issue covered warrant with underlying shares of Vietnam Dairy Products Joint Stock Company |
| 51 | 65/NQ-MBS-HDQT | July 21, 2023 | Issue covered warrant with underlying shares of Vietnam Prosperity Joint Stock Commercial Bank |
| 52 | 66/NQ-MBS-HDQT | July 21, 2023 | Issue covered warrant with underlying shares of Vincom Retail Joint Stock Company |
| 53 | 67/NQ-MBS-HDQT | July 28, 2023 | Chang the Manager of Ho Chi Minh Branch |
| 54 | 68/NQ-MBS-HDQT | July 28, 2023 | Resign from the concurrent position of Manager of Ho Chi Minh Branch |
| 55 | 69/NQ-MBS-HDQT | July 28, 2023 | Assign tasks to Mr. Dao Xuan Dinh |
| 56 | 70/NQ-MBS-HDQT | August 01, 2023 | On the recorded list of shareholders to exercise the rights to receive dividends by shares and receive issued shares due to capital increase from owner's equity |
| 57 | 71/NQ-MBS-HDQT | August 08, 2023 | Officially appoint Ms. Pham Thi Kim Ngan as Financial Manager |
| 58 | 72/NQ-MBS-HDQT | August 18, 2023 | Establish a credit limit with VietCredit Finance Company |
| 59 | 73/NQ-MBS-HDQT | August 21, 2023 | Approve the results of the issuance of shares to pay dividends for 2022 and issue shares to increase charter capital from owner's equity |
| 60 | 74/NQ-MBS-HDQT | August 16, 2023 | Establish a credit limit with Vietnam International Commercial Joint Stock Bank |
| 61 | 75/NQ-MBS-HDQT | August 25, 2023 | Establish a credit limit with Techcombank |
| 62 | 76A/2023/MBS/HDQT-NQ | August 30, 2023 | Establish a credit limit with VPBank |
| 63 | 77/NQ-MBS-HDQT | September 06, 2023 | Establish a credit limit with Orient Commercial Joint Stock Bank |
| 64 | 79/NQ-MBS-HDQT | September 15, 2023 | Assign tasks to Mr. Nguyen Xuan Cuong - Deputy General Manager |
| 65 | 80/2023/MBS/HDQT-NQ | September 28, 2023 | Establish a credit limit with Shinhan Bank Vietnam |
| 66 | 81/2023/MBS/ HDQT-NQ | October 11, 2023 | Promulgate the Charter of MB Securities Joint Stock Company |
| 67 | 81A/2023/MBS/ HDQT-NQ | October 18, 2023 | Promulgate the Charter of MB Securities Joint Stock Company |
| 68 | 82/NQ-MBS- HDQT | October 30, 2023 | Establish a credit limit with HDBank |
| 69 | 83/NQ-MBS-HDQT | October 30, 2023 | Establish a credit limit with An Binh Commercial Joint Stock Bank |
| 70 | 84/NQ-MBS- HDQT | October 30, 2023 | Establish a credit limit with Asia Commercial Bank |
| 71 | 85/NQ-MBS-HDQT | October 30, 2023 | Establish a credit limit with SinoPac Bank |
| 72 | 86/NQ-MBS-HDQT | October 31, 2023 | Establish a credit limit with Southeast Asia Commercial Joint Stock Bank |
| 73 | 87/NQ-MBS-HDQT | October 31, 2023 | Establish a credit limit with Eximbank |
| 74 | 88/NQ-MBS-HDQT | November 14, 2023 | Plan for the first private bond issuance in 2023 |
| 75 | 89/NQ-MBS-HDQT | December 08, 2023 | Implement the Cooperation Agreement to support development and customer information processing |
| 76 | 90/NQ-MBS-HDQT | December 14, 2023 | Approve the results of the first private bond issuance in 2023 |
| 77 | 91/NQ-MBS-HDQT | December 18, 2023 | promulgate the Board of Directors' Authority Matrix |
| 78 | 92/NQ-MBS-HDQT | December 18, 2023 | Issue the second private bond in 2023 |
| 79 | 93/NQ-MBS-HDQT | December 18, 2023 | Establish a credit limit with Asia Commercial Bank |
| 80 | 94/NQ-MBS-HDQT | December 19, 2023 | Establish a credit limit with HDBank |
| 81 | 95/NQ-MBS-HDQT | December 18, 2023 | Establish a credit limit with Bao Viet Commercial Joint Stock Bank |

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

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| --- | --- | --- | --- | --- |
| No. | Member of the Supervisory Board | Position | Date of appointment/dismissal as member of the Supervisory Board | Professional Qualification |
| 1 | Ms. Pham Thi Hoa | Head of the Supervisory Board | Appoint as a member of the Supervisory Board from April 10, 2021 | Master |
| 2 | Ms. Nguyen Thi Diep Quynh | Member of the Supervisory Board | Elected as member of the Supervisory Board from April 28, 2014/ Resigned as member of the Supervisory Board from April 21, 2023 | Master |
| 3 | Ms. Vu Thi Huong | Member of the Supervisory Board | Appoint as a member of the Supervisory Board from April 27, 2017 | Bachelor |
| 4 | Ms. Le Thu Trang | Member of the Supervisory Board | Appoint as a member of the Supervisory Board from April 21, 2023 | Master |

1. The Executive Board

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| No. | Member of the Executive Board | Date of birth | Professional Qualification | Date of appointment/dismissal as member of the Executive Board |
| 1 | Mr. Phan Phuong Anh |  | Master | Appointed as the General Manager on June 08, 2022 |
| 2 | Ms. Phung Thi Thanh Ha |  | Master | Assign duties for Deputy Manager from July 05, 2013 |
| 3 | Mr. Le Thanh Nam |  | Bachelor | Assign duties for Deputy Manager from April 08, 2015 |
| 4 | Mr. Nguyen Xuan Cuong |  | Master | Assignment of member of the Board of Member duties from June 1, 2022; Assigned the role of Deputy General Manager from September 15, 2023 |
| 5 | Mr. Le Van Tuan |  | Master | Assign duties for Member of the Executive Board from January 2, 2019 |

1. Chief Accountant

|  |  |  |  |
| --- | --- | --- | --- |
| Full name | Date of birth | Professional Qualification | Date of appointment /dismissal |
| Nguyen Van Hoc |  | Master | Assign duties for chief accountant from October 10, 2017 |

1. Training on corporate governance
2. List of affiliated persons of the public company (report of 2023) and transactions between the affiliated persons of the Company with the Company itself
3. Transactions between the Company and affiliated persons of the or between the Company and major shareholders, PDMR and affiliated person of PDMR:

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| No. | Name of organization/individual | Relations with the Corporation | NSH\* No., Date of issue and Place of issue of NSH | Headquarters address/Contact address | Time of transaction with the Company | 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 | Military Commercial Joint Stock Bank | Holding Company | 0100283873, issued for the first time on September 30, 1994, changed for the 48th time on December 02, 2020 at the Ha Noi Authority for Planning and Investment | No. 18 Le Van Luong Street, Cau Giay District, Hanoi | from January 01, 2023 to December 31, 2023 | Resolution No. 59/2021/NQ-HDQT dated June 10, 2021. | The Board of Directors approved Contract on providing products/services and cooperation between the Military Commercial Joint Stock Bank with MB Securities Joint Stock Company | 1 |
| 2 | Military Commercial Joint Stock Bank | Holding Company | 0100283873, issued for the first time on September 30, 1994, changed for the 48th time on December 02, 2020 at the Ha Noi Authority for Planning and Investment | No. 18 Le Van Luong Street, Cau Giay District, Hanoi | from January 01, 2023 to December 31, 2023 | Resolution No. 70/2021/MBS/HĐ  QT-NQ dated July 19, 2021 | The Board of Directors approved the contracts and the buying and selling activities of Certificates of Deposit issued by Military Commercial Joint Stock Bank via primary and secondary transactions. Primary Transactions:   * MBS conducted 2 purchase transactions with a total value of VND 600,000,000,000 * MBS conducted 2 sell transactions worth VND 600,503,616,510   Secondary Transactions:   * MBS conducted 468 transactions to buy CDs, with a total purchase value of VND 61,623,732,558,637 * MBS conducted 683 transactions to sell CDs, with a total sales value of VND 61,629,750,321,724 | 2 |
| 3 | Military Commercial Joint Stock Bank | Holding Company | 0100283873, issued for the first time on September 30, 1994, changed for the 48th time on December 02, 2020 at the Hanoi Authority for Planning and Investment | No. 18 Le Van Luong Street, Cau Giay District, Hanoi | from January 01, 2023 to December 31, 2023 | Resolution No. 90/202 l/MBS/HDQT-NQ dated September 10, 2021 | The Board of Directors approves the implementation of foreign currency transactions, foreign exchange derivatives, interest rate derivatives, and the signing of transaction contracts with Military Commercial Joint Stock Bank (MB). On June 7, 2023, a cross-currency swap transaction was conducted with a total amount of: VND 234,800,000,000  -On December 11, 2023, a cross-currency swap transaction was conducted with a total amount of: VND 241,900,000,000. | 3 |
| 4 | Military Commercial Joint Stock Bank | Holding Company | 0100283873, issued for the first time on September 30, 1994, changed for the 48th time on December 02, 2020 at the Hanoi Authority for Planning and Investment | No. 18 Le Van Luong Street, Cau Giay District, Hanoi | from December 08, 2023 to December 31, 2023 | Resolution No. 89/NQ-MBS- HDQT dated December 08, 2023 | The Board of Directors agreed with the proposal of the Executive Board in Proposal No. 85/MBS/TTr- BDH dated December 5, 2023 on the "Implementation of the Cooperation Agreement to support development and customer information processing" (Cooperation Agreement). | 4 |
| 5 | MB Shinsei Finance Limited Liability Company | Also a subsidiary of the Military Commercial Joint Stock Bank | 0107349019, registered for the first time on March 10, 2016, amended and supplemented for the 6th change on March 01, 2021. | Floor 9, 10, 11, 12 MB Building, No. 21 Cat Linh Street, Cat Linh Ward, Dong Da District, Hanoi | From January 01, 2023 to  December 31, 2023 | Resolution No. 134/2021/MBS-HDQT- NQ dated December 13, 2021 | The Board of Directors approves the signing of the following Contracts between MB Securities Joint Stock Company and MB Shinsei Finance Limited Liability Company:  Agency Registration and Settlement Contract, Account Opening Contract and Registration for Securities Trading Service Use. | 5 |
| 6 | MB Capital Management Joint Stock Company | Also a subsidiary of the Military Commercial Joint Stock Bank | 0102041157, issued for the first time on November 15, 2007, changed for the first time on June 10, 2022 at the Hanoi Authority for Planning and Investment | 12th Floor, 21 Cat Linh Building, Cat Linh Ward, Dong Da District, Hanoi. | From January 1, 2023 to December 31, 2023 | Resolution No. 72/2022/BS-HDQT- NQ dated June 22, 2022 | The Board of Directors approved the authorization contract to identify professional investors between MB Securities Joint Stock Company and MB Capital Management JSC. | 6 |
| 7 | MB Capital Management Joint Stock Company | Also a subsidiary of the Military Commercial Joint Stock Bank | 0102041157, registered for the first time on November 15, 2007, amended and supplemented for the first change on June 10, 2022 at the Hanoi Authority for Planning and Investment | 12th Floor, 21 Cat Linh Building, Cat Linh Ward, Dong Da District, Hanoi. | From January 01, 2023 to  December 31, 2023 | Resolution No. 94/2022/BS-HDQT- NQ dated December 02, 2022 | The Board of Directors approved the investment plan for MB Bond Fund Certificates by MB Capital Management JSC (MBCapital):   * Number of MB Bond Fund Certificates at the beginning of the period (December 31, 2022): 7,839,370.26 Fund Certificates   Number of MB Bond Fund Certificates at the end of the period (December 31, 2023): 6,000,000 Fund Certificates   * Number of Fund Certificates sold during the period: 1,839,370.26 Fund Certificates Corresponding to the sold value: 25,244,866,993 | 7 |

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

1. Transactions between Company’s PDMR, affiliated persons of PDMR and subsidiaries or companies controlled by the Company None
2. Transactions between the Company and other entities:
   1. Transactions between the Company and the company in which members of the Board of Directors, members of the Supervisory Board and the Executive General Manager have been founding members or members of the Board of Directors, the Executive Manager (General Manager) for the past three (03) years (calculated at the time of reporting)

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| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| No. | Name of organization/individual | Relations with the Corporation | NHS\* No., Date of issue and Place of issue of NHS | Head office address/Contact address | Time of transaction with the Company | 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 | Louis Holdings Joint Stock Company  MB Capital Management Joint Stock Company | Also a subsidiary of the Military Commercial Joint Stock Bank | 0102041157, registered for the first time on November 15, 2007, amended and supplemented for the first change on June 10, 2022.  Hanoi Authority for Planning and Investment | 12th Floor, 21 Cat Linh Building, Cat Linh Ward, Dong Da District, Hanoi. | From January 01, 2023 to  December 31, 2023 | Resolution No.  72/2022/BB-HDQT  Dated June 22, 2022 | The Board of Directors approved the Authorization Contract to identify professional investors between MB Securities Joint Stock Company and MB Capital Management JSC |  |
| 2 | MB Capital Management JSC | Also a subsidiary of the Military Commercial Joint Stock Bank | 0102041157, registered for the first time on November 15, 2007, amended and supplemented for the first change on June 10, 2022 at the Hanoi Authority for Planning and Investment | 12th Floor, 21 Cat Linh Building, Cat Linh Ward, Dong Da District, Hanoi. | From January 01, 2023 to  December 31, 2023 | Resolution No. 94/2022/BS-HDQT- NQ dated December 02, 2022 | The Board of Directors approved the investment plan for MBBond fund certificates issued by MB Capital Management JSC (MBCapital):  Number of MB Bond Fund Certificates at the beginning of the period (December 31, 2022): 7,839,370.26 Fund Certificates  Number of MB Bond Fund Certificates at the end of the period (December 31, 2023): 6,000,000 Fund Certificates  Number of Fund Certificates sold during the period: 1,839,370.26 Fund Certificates  Corresponding to the sold value: 25,244,866,903 |  |

* 1. Transactions between the Company and the company that the related persons of members of the Board of Directors, members of the Supervisory Board, the Manager (General Manager) and other managers are members of the Board of Directors, the Executive Manager (General Manager). Manager (General Manager) and other managers are members of the Board of Directors, Executive Manager (General Manager). None
  2. Other transactions of the Company (if any) which can bring material or non-material benefits to members of the Board of Directors, members of the Supervisory Board, the Manager (General Manager) and other managers: None.

1. Share transactions of PDMR and affiliated persons of PDMR (Report of 2023)
2. Company’s share transactions of PDMR and affiliated 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, reward, ...) |
| Number of shares | Rate (%) | Number of shares | Rate (%) |
| 1 | Military Commercial Joint Stock Bank | Holding bank | 303,445,402 | 79.73 | 348,962,212 | 79.73 | Dividend payment by shares |
| 2 | Le Viet Hai | Chair of the Board of Directors | 666,204 | 0.18 | 766,134 | 0.18 | Dividend payment by shares |
| 3 | Vu Thanh Trung | Vice Chair of the Board of Directors | 654,222 | 0.17 | 24 | 0.00 | Pay dividends by share, sell shares. Dismissed the position of PDMR from April 21, 2023. |
| 4 | Tran Thi Kim Thanh | Member of the Board of Directors | 241,777 | 0.06 | 177,928 | 0.04 | Pay dividends by share, sell shares. Dismissed the position of PDMR from April 21, 2023. |
| 5 | Nguyen Minh Hang | Member of the Board of Directors | 355,619 | 0.09 | 408,961 | 0.09 | Dividend payment by shares |
| 6 | Pham Thi Hoa | Chief of the Supervisory Board | 125 | 0.00 | 143 | 0.00 | Dividend payment by shares |
| 7 | Hoang Thi Thanh Thuy | Sister-in-law of Ms. Pham Thi Hoa | 2 | 0.00 | 0 | 0.00 | Sell shares |
| 8 | Nguyen Thi Dieu  Quynh | Members of the Supervisory Board | 55 | 0.00 | 62 | 0.00 | Dividend payment by shares Dismissed the position of PDMR from April 21, 2023. |
| 9 | Vu Thi Huong | Member of the Supervisory Board | 61,155 | 0.02 | 70,327 | 0.02 | Dividend payment by shares |
| 10 | Phung Thi Thanh Ha | Deputy General Manager | 10 | 0.00 | II | 0.00 | Dividend payment by shares |
| 11 | Le Thanh Nam | Deputy General Manager | 162,252 | 0.04 | 186,589 | 0.04 | Dividend payment by shares |
| 12 | Mr. Nguyen Xuan Cuong | Deputy General Manager | 10,666 | 0.00 | 12,264 | 0.00 | Dividend payment by shares |
| 13 | Le Van Tuan | Member of the Board of Directors | 497,777 | 0.13 | 457,088 | 0.10 | Pay dividends by share, sell shares. |
| 14 | Nguyen Kim Chung | Finance Manager | 261,599 | 0.07 | 3,507 | 0.00 | Pay dividends by share, sell shares. Dismissed the position of PDMR from April 21, 2023. X |
| 15 | Nguyen Van Hoc | Chief Accountant | 91,044 | 0.02 | 0 | 0.00 | Pay dividends by share, sell shares. |
| 16 | Tran Thi Thanh Huyen | Head of Internal Audit Department | 96,998 | 0.03 | 11,546 | 0.03 | Dividend payment by shares |
| 17 | Bui Thanh Thuy | Husband of Ms. Tran Thi Thanh Thuy | 18,547 | 0.00 | 0 | 0.00 | Pay dividends by share, sell shares. |
| 18 | Mai Van Dung | Brother of Ms. Mai Thi Sen | 2,400 | 0.00 | 0 | 0.00 | Pay dividends by share, sell shares. |

1. Other significant issues: None