**SHS: Annual Corporate Governance Report 2023**

On January 30, 2024, Saigon - Hanoi Securities JSC announced Report No. 187-2024/CV-SHS on corporate governance 2023 as follows:

1. Company’s information:
2. Name of company: Saigon - Hanoi Securities JSC
3. Establishment License No.:

Securities business license No. 66/UBCK-GP dated November 15, 2007 and most recently adjusted license No. 85/GPDC-UBCK dated September 5, 2022 issued by the State Securities Commission.

Business code: 0102524651 issued by Hanoi Department of Planning and Investment according to the first Business Registration Certificate dated November 15, 2007 and changed for the ninth time on September 9, 2022.

1. Head Office: Floors 1-5, UNIMEX Hanoi Building, Hang Bai Ward, Hoan Kiem District, Hanoi, Vietnam
2. Tel: 024.38181888 Fax: 024.38181688 Email: contact@shs.com.vn
3. Charter capital
* VND 350,000,000,000 from November 15, 2007 to April 2010
* VND 1,000,000,000,000 from April 2010 to May 18, 2018
* VND 1,053,956,740,000 from May 18, 2018 to April 26, 2019
* VND 2,072,682,010,000 from April 26, 2019 to October 14, 2021
* VND 3,252,650,270,000 from October 14, 2021 to June 2022
* VND 6,505,300,540,000 from June 2022 to August 2022
* VND 8,131,567,480,000 from August 2022 to present
1. Securities code: SHS
2. Corporate governance model

The General Meeting of Shareholders, the Board of Directors, the Supervisory Board, and the Board of Management.

1. Internal Audit: The company pays special attention to Internal Audit activities and has performed the internal audit since 2014.
2. Activities of the General Meeting of Shareholders
3. General Mandates:

The General Meeting of Shareholders approved and issued General Mandate No. 01-2023/NQ-DHDCD approving the following contents at the Annual Meeting 2023 on April 28, 2023:

1. Approve the Report of the Board of Directors of Saigon - Hanoi Securities JSC at the Annual General Meeting of Shareholders 2023 including the performance results of the Board of Directors and each member of the Board of Directors in 2022, and operational orientation in 2023, contents as prescribed in the Law on Enterprises, Law on Securities, Decree 155-2020/ND-CP.
2. Approve the Report of the Supervisory Board of Saigon - Hanoi Securities JSC at the Annual General Meeting of Shareholders 2023 including:
3. Report of the Supervisory Board on the company's business results, inspection and review of the audited Financial Statements 2023, performance results of the Board of Directors and the General Manager;
4. Self-assessment report on the performance of the Supervisory Board and Supervisors;
5. Action program and operational plan of the Supervisory Board in 2023, contents as prescribed in the Law on Enterprises, Law on Securities, Decree 155-2020/ND-CP.
6. Approve the audited Financial Statements 2022 of Saigon - Hanoi Securities JSC.
7. Approve the business activity results of Saigon - Hanoi Securities JSC in 2022.
8. Approve the Business Operation Plan of Saigon - Hanoi Securities JSC in 2023.
9. Approve the Profit Distribution Plan 2022 and appropriation for funds of Saigon - Hanoi Securities JSC.
10. Approve the Plan to handle the financial reserve fund and professional risks of Saigon - Hanoi Securities JSC.
11. Approve SHS's Report 2022 and Plan 2023 on Budget, total remuneration, bonuses, allowances and other benefits for the Board of Directors and the Supervisory Board of Saigon - Hanoi Securities JSC.
12. Approve adjusting, supplementing, amending and applying the Company Charter and Regulations under the authority of the General Meeting of Shareholders for approval of Saigon - Hanoi Securities JSC, including:
* Charter of Saigon - Hanoi Securities JSC;
* Internal Regulations on Corporate Governance;
* Regulations on the organization and operation of the Board of Directors of the Company;
* Regulations on organizing online General Meeting of Shareholders and electronic voting, remote voting;

The approved Charter and Regulations take effect from April 28, 2023, and are unique and replace previously issued Charters and Regulations.

1. Approve the Plan for Issuing/Offering and listing covered warrants of Saigon - Hanoi Securities JSC.
2. Approve the Plan to implement activities of providing clearing services, payment for securities transactions and offering activities of financial products of Saigon - Hanoi Securities JSC.
3. Approve the Plan to deploy operations related to the derivatives market, including derivatives trading and providing clearing and settlement services for derivatives transactions of the Company.
4. Approve the Plan to select an independent audit company for the fiscal year 2023 of Saigon - Hanoi Securities JSC.
5. Approve adjusting, supplementing, amending and applying the Regulations on Organization and Operation of the Supervisory Board of Saigon - Hanoi Securities JSC. The approved Regulations will take effect from April 28, 2023, and are unique and replace previously issued Regulations.
6. The Board of Directors
7. Information about members of the Board of Directors

The Policy of Diversity in the Board of Directors in terms of expertise, knowledge, experience, gender, and generation has been established and guaranteed throughout the operation and development of SHS. This is specifically shown in the structure of the Board of Directors maintained from the term 2017-2022 to June 2023. There are five members, including 04 male, 01 female, a Non-executive Chair of the Board of Directors, 01 independent member, 01 executive member being the Executive General Manager.

This ensures that at least 1/3 of the total number of members are non-executive members, minimizing members of the Board of Directors who concurrently hold executive positions of the Company to ensure the independence of the Board of Directors as stipulated in Articles 154-155 of the Law on Enterprises, Articles 275-276 of Decree 155-2020/ND-CP, Article 36 of the Company Charter, ensuring diversity and inclusion of the Board of Directors in terms of gender and background according to ESG, CSI and GRI Criteria.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| No. | Member of the Board of Directors | Gender | Position at SHS | Date of appointment/dismissal as member of the Board of Directors | Comply with Articles 154-155 of the Law on Enterprises, Articles 275-276 of Decree 155- 2020/ND-CP |
| 1 | Mr. Do Quang Vinh | Male | Chair of the Board of Directors | April 27, 2022 | Non-executive |
| 2 | Mr. Le Dang Khoa | Male | Member of the Board of Directors | March 22, 2013 | Non-executive |
| 3 | Mr. Vu Duc Tien | Male | Member of the Board of Directors - General Manager | September 10, 2014 | Concurrently Executive General Manager |
| 4 | Ms. Nguyen Dieu Trinh | Female | Member of the Board of Directors | January 03, 2020 | Independent member, non-executive |
| 5 | Mr. Luu Danh Duc | Male | Member of the Board of Directors | April 27, 2022 | Non-executive |

1. Board Resolutions/Board Decisions
2. Details are in Appendix 01 attached to this Report.
3. Resolutions/Decisions of the Board of Directors are issued in compliance with the law and internal regulations of the Company on grammar and regulations, and are disclosed, issued, circulated and archived in accordance with the law, representing the contents unanimously approved by the members of the Board of Directors within the scope of powers and responsibilities permitted by the Charter and the law for SHS's governance, operations and business issues.
4. The Supervisory Board
5. Information about members of the Supervisory Board:
* The Supervisory Board includes 03 members, including: Executive Chief of the Supervisory Board (female) and 02 non-executive members (male, female)
* The Chief of the Supervisory Board works full-time at the Company;
* All members of the Supervisory Board are qualified according to the law and the Company's Charter, and do not hold management/employee positions at the Company.
* All members of the Supervisory Board are not affiliated persons of Members of the Board of Directors, the General Manager and other Managers; Ensure compliance with regulations in Article 137, Article 168 to Article 176 of the Law on Enterprises.

|  |  |  |  |
| --- | --- | --- | --- |
| Member of the Supervisory Board | Position | Date of appointment as member of the Supervisory Board | Qualification |
| Ms. Pham Thi Bich Hong | Chief | August 20, 2008 | * Thuongmai University - majoring in finance and accounting, Auditor, Chief Accountant for many years, corporate governance;
* Securities Brokerage Practice Certificate
 |
| Ms. Luong Thi Luu | Member | April 27, 2015 | * Master of Banking and Finance - National Economics University;
* Bachelor of Economic Law - University of Law
 |
| Mr. Vu Duc Trung | Member | April 06, 2012 | * Master of Finance - CPA - Edith Cowan University - Australia;
* Auditor Certificate - Ministry of Finance;
* Securities practice certificate: Fund Management
 |

1. The Executive Board

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| No. | Member of Executive Board | Date of birth | Qualification | Appointment date |
| 1 | Mr. Vu Duc Tien - General Manager | September 02, 1973 | * Master of Finance - Banking - Banking Academy
* Bachelor of English - Hanoi University of Foreign Languages
* Certificate of practice in Financial Analysis - issued by the State Securities Commission
 | September 15, 2014 |
| 2 | Mr. Tran Sy Tien - Deputy General Manager | May 06, 1973 | * Bachelor of Banking - Finance - National Economics University
* Bachelor of Credit - Banking Academy
* Certificate of practice in Financial Analysis - issued by the State Securities Commission
 | April 16, 2014 |
| 3 | Ms. Tran Thi Thu Thanh - Deputy General Manager | April 08, 1975 | * Master of Finance - Banking - Banking Academy
* Bachelor of English - University of Foreign Language Education
* Vietnam National University
* Certificate of practice in Fund Management - issued by the State Securities Commission
 | August 01, 2018 |
| 4 | Mr. Nguyen Chi Thanh - Deputy General Manager | November 13, 1980 | * Master of Business Administration - Boston University (USA)
* Bachelor of Foreign Economics - Foreign Trade University
* Certificate of practice in Fund Management - issued by the State Securities Commission
 | May 05, 2014 |
| 5  | Ms. Le Quang Ngoc Thanh - Manager of Ho Chi Minh City Branch | July 24, 1982 | * Bachelor of Accounting - Ho Chi Minh City University of Economics
* Certificate of practice in Financial Analysis - issued by the State Securities Commission
 | September 06, 2022 |
| 6 | Ms. Tran Phuoc Ha Nhi - Manager of Da Nang Branch | March 29, 1982 | * Master of Business Administration - Columbia Southern University (USA)
* Bachelor of Accounting - Da Nang University of Economics
* Securities Brokerage Practice Certificate
 | August 09, 2011 |

1. The Chief Accountant

|  |  |  |  |
| --- | --- | --- | --- |
| Full name | Date of birth | Qualification | Appointment date |
| Mr. Tran Sy Tien - Chief Accountant | May 06, 1973 | * Bachelor of Banking - Finance - National Economics University
* Bachelor of Credit - Banking Academy

Certificate of practice in Financial Analysis - issued by the State Securities Commission | September 20, 2011 |

1. Training on corporate governance
2. List of affiliated persons of the listed company as prescribed in Clause 34, Article 6 of the Law on Securities and transactions between 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, affiliated persons of PDMR

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| No. | Trading name | Document | Affiliated person at SHS | Note |
| 1 | SHS provides divestment plan services for Petrovietnam Machinery - Technology Joint Stock Company (PVM) | Decision No. 07-2023/QD-HDQT dated March 21, 2023 of the Board of Directorshttps://www.shs.com.vn/News/2023322/1011684/shs-cung-cap-dich-vu-tu-van-phuong-an-thoai-von-cho-cong-ty-co-phan-may-thiet-bi-dau-khi-pvm.aspx | PVM is the affiliated organization of member of Mr. Vu Duc Tien - a member the Board of Directors - General Manager | Member of the Board of Directors of SHS - General Manager - Mr. Vu Duc Tien is the Chair of the Board of Directors of PVM |
| 2. | SHS provides consulting services for Saigon - Hanoi Insurance Corporation (BSHC) | Decision No. 14-2023/QD-HDQT dated May 15, 2023 of the Board of Directors of SHShttps://www.shs.com.vn/News/2023516/1011769/shs-cong-bo-thong- tin-ve-viec-cung-cap-dich-vu-tu-van-cho-tong-cong-ty-co-phan-bao-hiem-sai-gon-ha-noi-bsh.aspx | BSHC is a related organization of SHS Chair of the Board of Directors - Do Quang Vinh; Member of the Board of Directors - General Manager of SHS - Vu Duc Tien; Member of the Board of Directors of SHS - Le Dang Khoa, Member of the Board of Directors of SHS - Luu Danh Duc, Member of the Supervisory Board of SHS - Vu Duc Trung | Mr. Do Quang Vinh is the Chair of the Board of Directors of SHS and BSHC;Mr. Vu Duc Tien, Mr. Le Dang Khoa, Mr. Luu Danh Duc, Mr. Vu Duc Trung are members of the Board of Directors of BSHC  |
| 3 | The Board of Directors of SHS approved the plan to provide consulting services to Saigon - Hanoi Insurance Corporation (BSHC) | Decision No. 19-2023/QD-HDQT dated August 23, 2023 of the Board of Directors of SHShttps://www.shs.com.vn/News/2023824/1011921/shs-thong-qua-phuong-an-cung-cap-dich-vu-tu-van-cho-tong-cong-ty-co-phan-bao-hiem-sai-gon-ha-noi-bsh.aspx |
| 4 | the Board of Directors of SHS approved the plan to borrow capital according to the limit at Saigon - Hanoi Commercial Joint Stock Bank - Dong Do Branch (SHB Dong Do) | Decision No. 24-2023/QD-HDQT dated October 23, 2023 of the Board of Directors of SHShttps://www.shs.com.vn/News/202 31024/1012019/thong-qua-phuong-an-shs-vay-von-theo-han-muc-tai-ngan-hang-tmcp-sai-gon-ha-noi- chi-nhanh-dong-do-shb-dong-do.aspx | SHB is a related organization of the Chair of the Board of Directors of SHS - Do Quang Vinh; Member of the Board of Directors of SHS - Le Dang Khoa, Member of the Board of Directors of SHS - Luu Danh Duc | Mr. Do Quang Vinh is the Chair of the Board of Directors of SHS and Vice Chair of the Board of Directors - Deputy General Manager of SHB; Mr. Le Dang Khoa and Mr. Luu Danh Duc are Members of the Board of Directors of SHS and Deputy General Manager of SHB |
| 5  | The Board of Directors of SHS approved the plan to borrow capital under the overdraft limit at Saigon - Hanoi Commercial Joint Stock Bank - Dong Do Branch (SHB Dong Do) | Decision No. 26-2023/QD-HDQT dated November 2, 2023 of the Board of Directors of SHS https://www.shs.com.vn/News/2023112/1012033/shs-thong-qua-phuong-an-vay-von-theo-han-muc-thau-chi-tai-ngan-hang-tmcp-sai-gon-ha-noi-chi-nhanh-dong-do-shb-dong-do.aspx |
| 6 | The Board of Directors of SHS approved the plan to sign a cooperation agreement between Saigon - Hanoi Securities JSC (SHS) and Saigon - Hanoi Commercial Joint Stock Bank (SHB) on providing data to SHB | Decision No. 23-2023/QD-HDQT dated October 4, 2023 of the Board of Directors of SHShttps://www.shs.com.vn/News/2023105/1011984/thong-qua-phuong- an-ky-ket-thoa-thuan-hop-tac-giua- cong-ty-cp-chung-khoan-sai-gon-ha-noi-shs-voi-ngan-hang-tmcp-sai-gon-ha-noi-shb-ve-viec-cung-cap-du-lieu-cho-shb.aspx |
| 7 | The Board of Directors of SHS approved the plan to provide consulting services for offering dossiers; Issuing agent; Representative of bond owners; Bond registration, depository and transaction registration agent for Saigon - Hanoi Commercial Joint Stock Bank (SHB) | Decision No. 28-2023/QD-HDQT dated December 25, 2023 of the Board of Directors of SHShttps://www.shs.com.vn/News/20231226/1012087/shs-thong-qua-phuong-an-cung-cap-dich-vu-tu-van-ho-so-chao-ban-dai-ly-phat-hanh-dai-dien-ngưoi-so-huu-trai-phieu-dai-ly-dang-ky-luu-ky-va- dang-ky-giao-dich-trai-phieu-cho-ngan-hang-tmcp-sai-gon-ha-noi- shb.aspx |

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:
3. Transactions between the Company and the company in which members of the Board of Directors, members of the Supervisory Board, the Manager (General Manager) and other managers 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): Clause 1, Section VIII
4. Transactions between the Company and the companies where the affiliated 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): None
5. Other transactions of the Company (if any) which can bring about 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
6. Share transactions of PDMR and affiliated persons of PDMR
7. Listed company’s share transactions of PDMR and affiliated persons of PDMR:
8. Information about major shareholders, strategic shareholders:

01 major shareholder, no change in number of shares and ownership rate during the period

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Name of organization/individual | Securities Account No. | ID Card/Business Registration Certificate | Address | Number of shares owned at the beginning of the period (January 1, 2023) | Number of shares owned at the end of the period (December 31, 2023) |
| T&T Group Joint Stock Company | 069C055555 | 0100233223; July 13, 2021, Hanoi | Artexport Building, 2A Pham Su Manh, Hoan Kiem, Hanoi | 45,505,734;5.596% | 45,505,734;5.596% |

SHS Share transaction of PYN Elite Fund:

* December 01, 2023: PYN Elite Fund Investment Fund (Non UCITS) has increased the number of SHS shares it owns to 42,842,900 shares, becoming a major shareholder of SHS, holding 5.27% of the total SHS shares.
* December 04, 2023: PYN Elite Fund has reduced the number of SHS shares it owns to 39,842,900 shares, a holding rate of 4.9%, and is no longer a major shareholder of SHS.

Thus, PYN has only been a major shareholder for 3 days and has announced transaction information.

Notes: Charter capital of SHS: VND 8,131,567,480,000 from August 2022 to present

1. Transaction of PDMR and affiliated persons related to the Company’s shares:

According to Appendix 04 attached

1. Other transaction of PDMR and affiliated persons related to the Company’s shares: None.
2. Other significant issues:

List of General Mandates, Resolutions, Decisions promulgated in 2023

|  |  |  |  |
| --- | --- | --- | --- |
| No. | Document No. | Date | Content |
| I | General Mandate |
| 1 | 01-2023/NQ-DHDCD | April 28, 2023 | Approve the contents approved by the Annual General Meeting of Shareholders 2023 |
| II | Meeting Minutes of the Board of Directors |
| 1 | 01-2023/BBH-DHDCD | April 28, 2023 | Approve the contents approved by the Annual General Meeting of Shareholders 2023 |
| III | Proposals for the General Meeting of Shareholders |
| 1 | 01-2023/TTr-DHDCD | April 05, 2023 | Approve the business results 2022 and business plan for 2023 |
| 2 | 02-2023/TTr-DHDCD | April 05, 2023 | Plan for profit distribution in 2022 and appropriations for funds |
| 3 | 03-2023/TTr-DHDCD | April 05, 2023 | Handle the Reserve Fund for Financial and Operational Risk  |
| 4 | 04-2023/TTr-DHDCD | April 05, 2023 | Budget and remuneration in 2023 for the Board of Directors and Supervisory Board of SHS  |
| 5  | 05-2023/TTr-DHDCD | April 05, 2023 | Amend the Charter and Regulations approved by the General Meeting of Shareholders |
| 6 | 06-2023/TTr-DHDCD | April 05, 2023 | Implement the offering, issuance, and listing of covered warrants |
| 7 | 07-2023/TTr-DHDCD | April 05, 2023 | SHS Provides payment clearing services, securities transactions, offering and selling of financial products |
| 8 | 08-2023/TTr-DHDCD | April 05, 2023 | Deploy derivative securities operations |
| 9 | 09-2023/TTr-DHDCD | April 05, 2023 | Select an audit company |
| 10 | 10-2023/TTr-DHDCD | April 05, 2023 | Amend the Regulations on Organization and Operation of the Supervisory Board; |
| IV | Board Resolution |
| 1 | 01-2023/NQ-HDQT | March 02, 2023 | Prepare a List of shareholders and organize the Annual General Meeting of Shareholders 2023 |
| V | Meeting Minutes of the Board of Directors |
| 1 | 01-2023/BBH-HDQT | January 16, 2023 | Regular Meeting in Q1/2023 |
| 2 | 02-2023/BBH-HDQT | February 24, 2023 | Prepare a List of shareholders and organize the Annual General Meeting of Shareholders 2023 |
| 3 | 03-2023/BBH-HDQT | March 21, 2023 | SHS Provides Consulting Services on Divestment Plans for Petrovietnam Machinery - Technology Joint Stock Company (PVM) |
| 4 | 04-2023/BBH-HDQT | May 15, 2023 | Regular Meeting in Q2/2023 |
| 5  | 05-2023/BBH-HDQT | June 09, 2023 | Divest capital in enterprises |
| 6 | 06-2023/BBH-HDQT | June 14, 2023 | Limit Loan at credit institutions |
| 7 | 07-2023/BBH-HDQT | July 17, 2023 | Loan at Indovina Bank  |
| 8 | 08-2023/BBH-HDQT | August 14, 2023 | Regular Meeting in Q3/2023 |
| 9 | 09-2023/BBH-HDQT | August 23, 2023 | Provide consulting services for Saigon - Hanoi Insurance Corporation (BSHC) |
| 10 | 10-2023/BBH-HDQT | September 20, 2023 | Limit loan at VP Bank |
| 11 | 11-2023/BBH-HDQT | September 28, 2023 | Limit loan at Tien Phong Bank |
| 12 | 12-2023/BBH-HDQT | October 04, 2023 | Cooperation agreement with SHB Bank on data provision |
| 13 | 13-2023/BBH-HDQT | October 23, 2023 | Limit loan at SHB Bank - Dong Do Branch  |
| 14 | 14-2023/BBH-HDQT | October 23, 2023 | Limit loan at Bac A Commercial Joint Stock Bank |
| 15 | 15-2023/BBH-HDQT | November 02, 2023 | Limit loan at SHB Bank - Dong Do Branch |
| 16 | 16-2023/BBH-HDQT | November 30, 2023 | Regular meeting Q4/2023 - Limit loan at NCB |
| 17 | 17-2023/BBH-HDQT | December 25, 2023 | Provide bond consulting services for SHB |
| 18 | 18-2023/BBH-HDQT | December 28, 2023 | Regular Meeting in Q4/2023 |
| VI | Board Decision |  |  |
| 1 | 01-2023/QD-HDQT | January 03, 2023 | Promulgate regulations on risk management system |
| 2 | 02-2023/QD-HDQT | January 16, 2023 | Limit Loan at credit institutions |
| 3 | 03-2023/QD-HDQT | February 27, 2023 | Promulgating the Regulation on SHS Information Disclosure  |
| 4 | 04-2023/QD-HDQT | March 02, 2023 | Establish the Organizing Committee of the Annual General Meeting of Shareholders 2023 |
| 5  | 05-2023/QD-HDQT | March 02, 2023 | The authority to make decisions according to the operations of the General Manager |
| 6 | 06-2023/QD-HDQT | March 02, 2023 | Amend the Organizational apparatus of the Investment Council |
| 7 | 07-2023/QD-HDQT | March 21, 2023 | SHS Provides Consulting Services on Divestment Plans for Petrovietnam Machinery - Technology Joint Stock Company (PVM) |
| 8 | 08-2023/QD-HDQT | March 22, 2023 | Remuneration of the Board of Directors and the Supervisory Board in 2023 |
| 9 | 09-2023/QD-HDQT | April 05, 2023 | Establish the Shareholder's Eligibility Verification Committee for the General Meeting of Shareholders 2023  |
| 10 | 10-2023/QD-HDQT | April 05, 2023 | Approve the expected Agenda and Documents of the Annual General Meeting of Shareholders 2023 |
| 11 | 11-2023/QD-HDQT | April 05, 2023 | Approve the contents submitted to the General Meeting of Shareholders for approval  |
| 12 | 12-2023/QD-HDQT | May 05, 2023 | Continue to appoint Mr. Tran Sy Tien to the position of Deputy General Manager of SHS |
| 13 | 13-2023/QD-HDQT | May 05, 2023 | Continue to appoint Mr. Nguyen Chi Thanh to the position of Deputy General Manager of SHS |
| 14 | 14-2023/QD-HDQT | May 15, 2023 | Provide consulting services for Saigon - Hanoi Insurance Corporation (BSHC) |
| 15 | 15-2023/QD-HDQT | June 09, 2023 | Divest capital in enterprises |
| 16 | 16-2023/QD-HDQT | June 01, 2023 | Appoint personnel |
| 17 | 17-2023/QD-HDQT | June 14, 2023 | Limit Loan at credit institutions  |
| 18 | 18-2023/QD-HDQT | August 14, 2023 | Limit loan at VP Bank |
| 19 | 19-2023/QD-HDQT | August 23, 2023 | Sign a Consulting Contract with Saigon - Hanoi Insurance Corporation (BSHC) |
| 20 | 20-2023/QD-HDQT | July 17, 2023 | Loan at Indovina Bank  |
| 21 | 21-2023/QD-HDQT | September 20, 2023 | Limit loan at VP Bank |
| 22 | 22-2023/QD-HDQT | September 28, 2023 | Limit loan at Tien Phong Bank  |
| 23 | 23-2023/QD-HDQT | October 04, 2023 | Cooperation agreement with SHB Bank on data provision |
| 24 | 24-2023/QD-HDQT | October 23, 2023 | Limit loan at SHB Bank - Dong Do Branch |
| 25 | 25-2023/QD-HDQT | October 23, 2023 | Limit loan at Bac A Commercial Joint Stock Bank |
| 26 | 26-2023/QD-HDQT | November 02, 2023 | Limit loan at SHB Bank - Dong Do Branch |
| 27 | 27-2023/QD-HDQT | November 30, 2023 | Limit loan at National Citizen Commercial Joint Stock Bank (NCB) |
| 28 | 28-2023/QD-HDQT | December 25, 2023 | Provide bond consulting services for SHB |

Appendix 04

Transaction of PDMR and affiliated persons related to the Company’s shares:

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| 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 (purchase, sell, convert, reward,etc.) | Note |
| Number of shares | Rate (%)  | Number of shares | Rate (%)  | Date of disclosing sales registration information | Permitted transaction period | Date of transaction | Date of reporting the transaction |
| 1. | Nguyen Thuy Hanh Mai | Person authorized to disclose information - PDMR of SHS | 178,614 | 0.022 | 0 | 0 | Sell shares | June 16, 2023 | June 26, 2023 - July 20, 2023 | July 04 - July 05, 2023 | July 05, 2023 |
| 2. | Nguyen Chi Thanh | Deputy General Manager - PDMR of SHS | 1,112,500 | 0.14 | 0 | 0 | Sell shares | July 24, 2023 | July 27, 2023 - August 27, 2023 | August 07 - August 24, 2023 | August 25, 2023 |
| 3. | Vu Duc Trung | Member of the Supervisory Board - PDMR of SHS | 2,743,750 | 0.34 | 2,664,100 | 0.33 | On August 08, 2023 sold 79,650 shares | August 02, 2023 | August 08, 2023 - September 08, 2023 | August 08, 2023 | August 11, 2023 |
| 4. | Luu Danh Duc | Member of the Board of Directors - PDMR of SHS | 375,000 | 0.05 | 0 | 0 | Sell shares | September 08, 2023 | September 13, 2023 - October 13, 2023 | September 15 - September 20, 2023 | September 21, 2023 |
| 5. | Doan Thi Nhu Quynh | Person in charge of corporate governance - PDMR of SHS | 58,750 | 0.007 | 0 | 0 | Sell shares | August 28, 2023 | September 07, 2023 - October 07, 2023 | October 04, 2023 | October 05, 2023 |
| 6. | Pham Thi Bich Hong | Chief of the Supervisory Board - PDMR of SHS | 355,299 | 0.04 | 0 | 0 | Sell shares | August 29, 2023 | September 07, 2023 - October 07, 2023 | September 11 - October 16, 2023 | October 09, 2023 |
| 7. | Tran Sy Tien | Deputy General Manager - Chief Accountant - PDMR of SHS | 1,112,500 | 0.14 | 0 | 0 | Sell shares | November 07, 2023 | November 10, 2023 - December 08, 2023 | November 10, 2023 | November 13, 2023 |
| 8. | Luong Thi Luu | Member of the Supervisory Board - PDMR of SHS | 62,578 | 0.008 | 0 | 0 | Sell shares | November 14, 2023 | November 17, 2023 - December 17, 2023 | November 30, 2023 | December 04, 2023 |