

No: 03/2024/QĐ-HĐQT

Ho Chi Minh City, May 30<sup>th</sup>, 2024

**DECISION**  
**ISSUING STATUTES ON INFORMATION DISCLOSURE**

**THE BOARD OF DIRECTORS OF  
PHU HUNG SECURITIES CORPORATION**

- Pursuant to the current Charter and Corporate Governance of Phu Hung Securities Corporation,
- Pursuant to the meeting Minutes No. 01/86\_0424/BB-HĐQT dated May 30<sup>th</sup>, 2024 of the Board of Director (BOD) of the Company;

**DECIDE**

**Article 1:** Passed the Statutes on information disclosure.

**Article 2:** This Decision shall take effect from the signing date.

**Article 3:** General Director and the Heads of Divisions, Location Managers and the individuals concerned are responsible implement this Decision./.

**Recipients:**

- As Article 3;
- Archive at Legal Division;
- Archive at Company Secretary.

**ON BEHALF OF BOARD OF DIRECTORS  
CHAIRMAN**



**ALBERT KWANG-CHIN TING**

PHU HUNG SECURITIES CORPORATION



**STATUTES ON  
INFORMATION  
DISCLOSURE**

Year 2024



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# STATUTES ON INFORMATION DISCLOSURE

## ARTICLE 1. PURPOSE

This Statutes is aimed to:

1. Ensuring compliance with statutory provisions of disclosing information on the stock market by providing application principles, procedures and responsibilities of conducting information disclosure at PHS; and
2. Protecting legal rights and interests of shareholders of PHS by complying with provisions herein and the laws from time to time.

## ARTICLE 2. SCOPE AND REGULATED ENTITIES

### 1. Scope

The Statutes governs disclosing information on the stock market (including periodical information disclosure, extraordinary information disclosure; requested information disclosure, information disclosure on other activities of public companies; and information disclosure of other subjects), that are the responsibility of PHS or Investors to the Competent State Authority as prescribed by law.

### 2. Regulated entities

This Statutes applies to Competent Authority, individuals, divisions, department of PHS and Investor who are in charge of or related to information disclosure of PHS or related to PHS.

## ARTICLE 3. DEFINITION AND INTERPRETATION

### 1. Definitions

Capitalized words in this Statutes is construed as below, unless otherwise required by the context:

- (a) Statutes : means Statutes on Information disclosure issued by PHS and be amended from time to time
- (b) PHS : means Phu Hung Securities Corporation
- (c) Investor : means Investor subject to information disclosure on the stock market in accordance with the laws from time to time
- (d) Competent : includes General Director, and other managerial positions as



- Authority : decided by the General Director from time to time.
- (e) Information Disclosure Staff : means personnel under Legal Affairs Division being responsible for and duly authorized (if needed) to directly carry out the Information Disclosure for PHS
- (f) Information Disclosure Unit : means the divisions of the Company incurring information requiring to do the information disclosure
- (g) Competent State Authority : includes enforcement agencies of information disclosure on the stock market per the laws, including with no limitation, the State Securities Commission of Vietnam, Vietnam Exchange, Hanoi Stock Exchange, Ho Chi Minh Stock Exchange
- (h) Information Disclosure Procedure : means Information Disclosure Procedure issued by Competent Authority and its amendments, supplements from time to time
- (i) Content of the information disclosure : means documents attached to the Information Disclosure Procedure, providing cases of information disclosure as per the laws

## **2. Interpretation**

- (a) The laws in this Statutes includes legal documents with respect to information disclosure and their amendments, supplements issued from time to time.
- (b) Provisions of the laws will dominate in case provisions set forth herein are different from or conflicts those in the laws. Contents with respect to information disclosure of PHS and Investor not regulated in the Statutes will be conducted under the laws, regulations of Competent State Authority.
- (c) The Information Disclosure Procedure constitutes an integral part of the Statutes. The Information Disclosure Procedure may, from time to time, be amended, supplemented in accordance with operational features of PHS and changes in the laws relating information disclosure.

## **ARTICLE 4. PRINCIPLES AND MEANS OF INFORMATION DISCLOSURE**

1. Disclosing information in PHS must follow the principles:
- (a) Disclosing information must be carried out in a sufficient, accurate and time-fashioned manner.
- (b) Personal information, including valid Identity Card, Passport, contact address, permanent

address, phone numbers, fax, emails, securities trading account, securities depository accounts, bank accounts, trading codes of foreign investors, of foreign-invested organizations whose ratio of charter capital held above 50%, will only be disclosed provided with consent of such individual; and

- (c) In the event of changes to the content of the information previously disclosed, PHS must promptly and comprehensively announce the changes in content and the reasons for the changes compared to the previously disclosed information.

2. Archiving disclosed information

- (a) Periodic information disclosure, registration information of public company must be archived in written (if any) and in electronic data with a minimum of 10 years. This information must be archived and accessible in website of PHS with a minimum of 5 years.
- (b) Unusual information disclosure, information disclosure as requested, and information disclosure on other activities must be archived and accessible in website of PHS with a minimum of 5 years.

3. Means of information disclosure

- (a) Website of PHS: [www.phs.vn](http://www.phs.vn);
- (b) Information disclosure system of the State Securities Commission of Vietnam and the Stock exchanges;
- (c) Information disclosure system of other competent authorities (if any);
- (d) Mass media as per the laws (for example newspaper, e-newspaper).

#### **ARTICLE 5. SUSPENSION OF INFORMATION DISCLOSURE**

- 1. PHS is permitted to suspend its information disclosure for reasons of force majeure, such as act of Gods, fire, war, pandemic and other causes with the same nature. PHS, upon presence of such events, must report the State Securities Commission of Vietnam, the Stock exchanges of the suspension (in which clearly states reasons for suspending information disclosure), and disclose such suspension.
- 2. Upon remedying force majeure, PHS is responsible for sufficiently disclosing information which has not yet disclosed as per the laws.

#### **ARTICLE 6. LANGUAGE OF INFORMATION DISCLOSURE**

- 1. Disclosed information of PHS must be in English and Vietnamese. Vietnamese is the official language to disclose information to the Competent State Authority and shareholders of PHS.



2. Disclosed information in English is translated from those in Vietnamese. Information Disclosure Unit and Information Disclosure Staff must ensure the consistency and accuracy between the English and Vietnamese content.
3. Disclosed information must be uploaded in website of PHS for information access of PHS shareholders.

#### **ARTICLE 7. DISCLOSED CONTENT**

Report and information disclosed by PHS are specified in:

1. Schedule (s) attached herewith, including: Schedule I – Report and information disclosed and Schedule II – Report and information disclosed by other entities; and
2. The laws from time to time.

If cases of information disclosure are specified in the laws but not prescribed or insufficiently specified in the Schedules hereof or the Schedules otherwise prescribe in comparison with the laws, then such laws shall take precedence in application.

#### **ARTICLE 8. PERSONS CONDUCTING AND APPROVING INFORMATION DISCLOSURE**

1. Legal Representative of PHS conducts information disclosure of PHS under the laws. The Legal Representative must be responsible for the sufficient, accurate and timely manner of information disclosed by the authorized persons to disclose information.

In case all legal representatives and the authorized persons to disclose information are absent, member with the highest position in Board of Managements will conduct the information disclosure. In case of more than 01 person with the highest position, the other members of Board of Managements must elect or appoint 01 person in charge of disclosing information.

2. PHS must report, re-report information of persons conducting the information disclosure to the State Securities Commission of Vietnam and the Stock exchanges within 24 hours as of the effectiveness of the appointment, authorization or change in persons conducting the information disclosure.
3. General Director is entitled to approve information, scope of information to be disclosed after considering the laws and interests of PHS shareholders.

#### **ARTICLE 9. INFORMATION DISCLOSURE OF INVESTOR**

Investor being individual may perform information disclosure on his/ her own or authorize to PHS or Statutes on Information Disclosure

another individual to disclosing information. The Investor needs consent from Competent Authority of PHS in case he/ she wishes to authorize PHS to disclose information.

1. The individual Investor bears responsibilities for the sufficient, accurate and timely manner of the disclosed information. He/ She will provide his/ her status of securities ownership and relationships with interested persons (if any), in a sufficient, accurate and timely manner to PHS for reporting ownership, information disclosure under the laws.
2. Individual must report, re-report information of the person authorized to disclose information to the State Securities Commission of Vietnam and the Stock exchanges within 24 hours as of the effectiveness of such authorization. The reported content of the person authorized to disclose information in accordance with the laws.

#### **ARTICLE 10. INFORMATION DISCLOSURE PROCEDURE**

Information Disclosure Unit, Information Disclosure Staff and individuals, divisions, departments of PHS will cooperate to disclose information in line with Information Disclosure Procedure.

#### **ARTICLE 11. RESPONSIBILITIES FOR CONDUCTING INFORMATION DISCLOSURE**

Information Disclosure Unit, Information Disclosure Staff must:

1. Follow, prepare documents for the information disclosure and conduct the information disclosure as stated in the Information Disclosure Procedure, the Content of the information disclosure and the laws;
2. Proactively update changes in the laws, and regulations on information disclosure; ensure the information disclosure carried out in form and substance in accordance with requirements of the Competent State Authority and the laws;
3. Follow and ensure disclosed information approved by the Competent State Authority;
4. Promptly report the Competent Authority in cases of any issues with respect to the information disclosure of PHS.

#### **ARTICLE 12. IMPLEMENTATION**

1. The Statutes takes effect from the signing date.
2. Information Disclosure Unit, Information Disclosure Staff and other interested individuals must execute the Statutes. In case of failing or performing insufficient, inaccurate obligations, responsibilities set forth herein and other internal regulations of PHS, such entities will be responsible under the laws (if any) and the internal regulations of PHS from time to time and depending nature and severity of the breach.



3. The Statutes is made in 04 originals, including 02 in Vietnamese and 02 in English. Should any conflicts or different interpretation between these languages, the Vietnamese content will prevail.

**PHU HUNG SECURITIES CORPORATION  
FOR AND ON BEHALF OF BOARD OF DIRECTORS**



**Mr. ALBERT KWANG-CHIN TING**

**Date: May 30<sup>th</sup>, 2024**





## APPENDIX 1 REPORT AND INFORMATION DISCLOSED

(Issued with Regulation on information disclosure of Phu Hung Securities Corporation)

Disclosed Information	Recipient of report or disclosed information	Time limit for information disclosure
<b>PERIODICAL INFORMATION DISCLOSURE</b>		
Quarterly financial statement	SSC, SE, PHS website	Within 20 days from the end of the quarter
Reviewed quarterly financial statement (if any)	SSC, SE, PHS website	Within 05 days from the day on which the accounting firm signs the statement and within 45 days from the end of the quarter
Reviewed semi-annual financial statement	SSC, SE, PHS website	Within 05 days from the day on which the accounting firm signs the statement and within 60 days from the end of 06 first months of the fiscal year.
Audited annual financial statement	SSC, SE, PHS website	Within 10 days from the day on which the statement is signed by the accounting firm and within 90 days from the end of the fiscal year.
<p><b>Notes:</b> Provide explanation of the occurrence of any of the following events:</p> <ul style="list-style-type: none"> <li>- After-tax profit shown in the income statement of the reporting period increases/decreases by at least 10% compared to that of the same reporting period in the previous year;</li> <li>- After-tax profit of the reporting period is negative; YOY profit is changed from a positive number to a negative number or vice versa;</li> <li>- After audit or review, after-tax profit of the reporting period varies by at least 5% and is changed from a positive number to a negative number or vice versa.</li> </ul>	SSC, SE, PHS website	Disclose information simultaneously with financial statement that requires explanation
Reviewed Financial Safety Ratio Report on 30 June	SSC, SE, PHS website	At the time disclosing reviewed semi-annual financial statement
Audited Financial Safety Ratio Report on 30 December	SSC, SE, PHS website	At the time disclosing audited annual financial statement
Annual report	SSC, SE, PHS website	Within 20 days from the date of disclosure of its audited annual financial statements and within 110 days from the end of the fiscal year
Semi-annual report on corporate governance	SSC, SE, PHS website	Within 30 days from the end of 06 first months of the year
Annual report on corporate governance	SSC, SE, PHS website	Within 30 days from the end of calander year
Information disclosure about making a list of shareholders to attend the General Meeting of Shareholders	SSC, SE, PHS website	At least 20 days before the record date



**APPENDIX 1**  
**REPORT AND INFORMATION DISCLOSED**

*(Issued with Regulation on information disclosure of Phu Hung Securities Corporation)*

Disclosed Information	Recipient of report or disclosed information	Time limit for information disclosure
Disclosure of information about the Annual General Meeting of Shareholders. In which, clearly state the link to all documents of the General Meeting of Shareholders, including: meeting invitation, meeting agenda, voting paper, documents used in the meeting and draft resolution for each issue on the agenda. Documents of the General Meeting of Shareholders must be updated with amendments and supplements (if any).	SSC, SE, PHS website	At least 21 days before the opening date of General Meeting of Shareholders
Meeting minutes and Resolution of General Meeting of Shareholders and the attached document In case the General Meeting of Shareholders approves the delisting, the company must disclose information about the delisting together with the approval rate of non-major shareholders.	SSC, SE, PHS website	Within 24 hours from the time of passing Resolution and Meeting minutes of General Meeting of Shareholders
The first semi-annual list of state shareholders, strategic shareholders, major shareholders and company treasury shares	SE	No later than 30/07 (pursuant to the latest list of shareholders recorded before 30/6)
The last semi-annual list of state shareholders, strategic shareholders, major shareholders and company treasury shares	SE	No later than 30/01 (pursuant to the latest list of shareholders recorded before 31/12)
<b>EXTRAORDINARY INFORMATION DISCLOSURE</b>		
The company's account at a bank or foreign branch bank is frozen at the request of the competent authority or when the payment service provider suspects a fraud or illegal activities relevant to the payment account; the account is unfrozen	SSC, SE, PHS website	Within 24 hours
The company receives a decision from the competent authority or issues a decision on suspension of part or all of its business operation	SSC, SE, PHS website	Within 24 hours
Changes in the enterprise registration information	SSC, SE, PHS website	Within 24 hours
Revocation of the Enterprise Registration Certificate; revision, supplementation or suspension, revocation of the License for Establishment and Operation or Operating License	SSC, SE, PHS website	Within 24 hours
Decision to repurchase its shares or sell treasury stocks	SSC, SE, PHS website	Within 24 hours
Decision on the date of exercising the right to purchase shares of bondholders with subscription right, or the date of conversion of convertible bonds into shares	SSC, SE, PHS website	Within 24 hours
Decision on overseas offering of securities and decisions relevant to the offering and issuance of securities	SSC, SE, PHS website	Within 24 hours
Decisions on dividend rate, method and time of dividend payment; decisions on stock split and reverse stock split	SSC, SE, PHS website	Within 24 hours
Decisions on the enterprise's reorganization (division, separation, consolidation, merger), dissolution or bankruptcy	SSC, SE, PHS website	Within 24 hours
Changes in tax identification number, company's name or seal	SSC, SE, PHS website	Within 24 hours
Decision on location change, establishment or closure of head office, branches, factories or representative offices	SSC, SE, PHS website	Within 24 hours
Decision on issuance of or revisions or supplementations to the company's charter	SSC, SE, PHS website	Within 24 hours



**APPENDIX 1**  
**REPORT AND INFORMATION DISCLOSED**

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Disclosed Information	Recipient of report or disclosed information	Time limit for information disclosure
Decision on strategies, medium-term development plans and annual business plans of the company	SSC, SE, PHS website	Within 24 hours
Decision on change of accounting period, accounting policies (except change of accounting policies due to changes in laws)	SSC, SE, PHS website	Within 24 hours
Notification that the accounting firm has signed the contract for auditing annual financial statements or change of accounting firm (after having signed audit engagement letter)	SSC, SE, PHS website	Within 24 hours
Cancellation of the signed audit engagement letter	SSC, SE, PHS website	Within 24 hours
Where an accounting firm issues an audit opinion or a review conclusion that is not an qualified audit opinion or entirely accept financial statements after review or financial statements that have been adjusted retroactively, the company must disclose information on audit opinion, review conclusion, adjusted retroactively financial statement result	SSC, SE, PHS website	Time limit in accordance with Article 10.1, Article 14.2, and Article 14.3 of Circular 96/2020/TT-BTC
Decisions on capital contribution for establishing enterprises or increasing ownership in a company that turns such company into a subsidiary or affiliated company or decreasing ownership in a company that makes it is not considered a subsidiary or affiliated company or dissolution of subsidiary or affiliated company	SSC, SE, PHS website	Within 24 hours
Register the change in company model, the type of financial statements due to the reorganization of the enterprise according to Article 11.1(h) and Article 11.1(e) of Circular No. 96/2020/TT-BTC using the form in Appendix IV to Decision 21/QD-SGDVN	SSC, SE, PHS website	Within 24 hours
Decision of the GMS or the Board of Directors on ratification of contracts/transactions between company and its insiders or the affiliated person of insiders or affiliated persons of the public company	SSC, SE, PHS website	Within 24 hours
Change in number of voting shares according form of Appendix V attached with Decision 21/QĐ-SGDVN:	SSC, SE, PHS website	Within 24 hours
If the Company issues additional shares or converts bonds, preferred shares into shares, the Company discloses information from the time the Company reports to the SSC on the issuance results, the conversion results in accordance with the law on securities issuance	SSC, SE, PHS website	Within 24 hours
If the Company repurchases its own shares or sells treasury shares, the Company discloses information from the time the Company reports the transaction results in accordance with the law on repurchasing its own shares, selling treasury shares	SSC, SE, PHS website	Within 24 hours
If the Company repurchases employees' shares in accordance with the Company's regulations on issuing shares to employees or redeems odd-lot shares at the request of shareholders, the Company discloses information within the first 10 days of the month on the basis of completed and updated transactions	SSC, SE, PHS website	Within 24 hours
The company changes, appoints, re-appoints or dismiss its insiders. Company receives resignation letters from its insiders (effective dates must be disclosed in accordance with the Law on enterprises and the company's charter). The Company discloses information according to Appendix I issued together with Decision 21/QĐ-SGDVN and attaches the Curriculum Vitae of new insiders to the State Securities Commission, the Stock Exchange according to the form in Appendix III issued with Decision 21/ QĐ-SGDVN	SSC, SE, PHS website	Within 24 hours
In case there is a change in the related person of an insider, the Company shall report to the SE on the change of the related person of an internal person according to the form in Appendix II issued with Decision 21/QĐ-SGDVN	SSC, SE, PHS website	Within 03 working days from the changing date



**APPENDIX 1**  
**REPORT AND INFORMATION DISCLOSED**

*(Issued with Regulation on information disclosure of Phu Hung Securities Corporation)*

Disclosed Information	Recipient of report or disclosed information	Time limit for information disclosure
Decisions to buy or sell assets or conduct any transaction whose value exceeds 15% of total asset of company according to the latest audited annual financial statements or latest reviewed half-year financial statements. If the public company is a holding company, the consolidated financial statements shall be used	SSC, SE, PHS website	Within 24 hours
Received decision on initiating a lawsuit against the company or its insiders; decision on detention or criminal prosecution against the company's insiders	SSC, SE, PHS website	Within 24 hours
Received effective court's judgments or decisions on the company's operation	SSC, SE, PHS website	Within 24 hours
Received decision on imposition of penalties for tax offences	SSC, SE, PHS website	Within 24 hours
Received the court's notice of acceptance of the bankruptcy petition	SSC, SE, PHS website	Within 24 hours
When Company realizes any event or information that may affect the company's securities prices, the company is required to confirm or correct such event or information	SSC, SE, PHS website	Within 24 hours
Occurrence of any event that considerably affects the company's production, business or corporate governance	SSC, SE, PHS website	Within 24 hours
Approval or cancellation of listing at a foreign stock exchange	SSC, SE, PHS website	Within 24 hours
Decision on capital increase or decrease	SSC, SE, PHS website	Within 24 hours
Decision on investment in an organization, project, borrowing, lending or another transaction whose value is at least 10% of total assets of the company according to the latest audited annual financial statements or latest reviewed half-year financial statements (or the consolidated financial statements if the public company is a holding company)	SSC, SE, PHS website	Within 24 hours
Decision on capital contribution worth at least 50% of charter capital of an organization (determined according to the charter capital of that organization before receipt of contributed capital).	SSC, SE, PHS website	Within 24 hours
After change of the accounting period, the company shall disclose its financial statements for the period between 02 accounting periods between the old and new fiscal years, in accordance with corporate accounting laws	SSC, SE, PHS website	Within 10 days from the day on which the statement is signed by the accounting firm and within 90 days from the beginning of the new fiscal year
Events that require approval from the SSC/competent authority	SSC, SE, PHS website	Disclosing information in accordance with regulations since the issuance of the resolution/decision and within 24 hours since the organization receives the written approval or disapproval of the SSC/other competent authority
Disclosure of information about the Extraordinary General Meeting of Shareholders. In which, clearly state the link to all documents of the General Meeting of Shareholders, including: meeting invitation, meeting agenda, voting paper, documents used in the meeting and draft resolution for each meeting issue on the agenda. Documents of the General Meeting of Shareholders must be updated with amendments and supplements (if any).	SSC, SE, PHS website	At least 21 days before the opening date of General Meeting of Shareholders (if Company Charter does not prescribe the longer period)



## APPENDIX 1

### REPORT AND INFORMATION DISCLOSED

*(Issued with Regulation on information disclosure of Phu Hung Securities Corporation)*

Disclosed Information	Recipient of report or disclosed information	Time limit for information disclosure
In case of collection of opinions of the GMS by written opinion, the company must disclose on its website, and send the written opinion, the draft resolution of the GMS and explanations thereof to all shareholders	SSC, SE, PHS website	At least 10 days before the deadline that the shareholders must send back the written opinion (If the company does not require a longer period)
The resolution of the GMS, the minutes of the GMS and documents enclosed with meeting minutes, resolution or vote counting records (if shareholders' opinions are collected by written opinion). If the GMS approves the delisting, the company shall disclose information about delisting and ratio of the approval rate of non-major shareholders;	SSC, SE, PHS website	Within 24 hours from the time of approval for the extraordinary resolution of GMS
SSC issues a decision to impose penalties for administrative violations against regulations on securities and securities market upon the company, branch or its certified securities professional; General Director (Director), Deputy General Director (Deputy Director) has his/her securities professional certification suspended or revoked	SSC, SE, PHS website	Within 24 hours
A charge or decision on detention or criminal prosecution against a certified securities professional of the company or branch	SSC, SE, PHS website	Within 24 hours
SSC issues a decision to put the company under alert, control or special control, revokes such decision; SSC issues a decision to suspend or terminate the company's operation or cancels such decision	SSC, SE, PHS website	Within 24 hours
SSC issues a decision to approve the establishment, closure, change of name or relocation of a branch, trading office or representative office in Vietnam or a foreign country; changes in business lines of a branch; establishment of an overseas subsidiary; indirect outward investment	SSC, SE, PHS website	Within 24 hours
SSC issues a decision to approve the provision of online securities trading services; provision or cooperation with credit institutions granting loans for purchase of securities or securities lending; provision or cooperation with credit institutions in advancing payment for securities; securities depository; clearing and payment for securities; provision of other derivative-related services	SSC, SE, PHS website	Within 24 hours





**APPENDIX 1**  
**REPORT AND INFORMATION DISCLOSED**

*(Issued with Regulation on information disclosure of Phu Hung Securities Corporation)*

Disclosed Information	Recipient of report or disclosed information	Time limit for information disclosure
SSC issues a decision on offering or listing of securities in a foreign country	SSC, SE, PHS website	Within 24 hours
Completion of the transfer of shares or capital contribution to become a shareholder or contributing member holding at least 10% of contributed charter capital of a securities company that is not a public company; transactions that alter the ownership of shares or capital contribution making up at least 10% of the charter capital, or transactions that fluctuate the ownership ratio of shareholders or contributing members above or below 10%, 25%, 50%, 75% of the charter capital of a fund management company that is not a public company	SSC, SE, PHS website	Within 24 hours
The securities company voluntarily terminates or suspends provision of one of products, services and business lines	SSC, SE, PHS website	Within 24 hours
The securities company faces an information technology incident that affects the conduct of securities transactions for clients	SSC, SE, PHS website	Within 24 hours
<b>INFORMATION DISCLOSURE AS REQUEST</b>		
Upon the request of SSC and SE when:		
Any event that seriously affects lawful interests of investors	SSC, SE, PHS website	Within 24 hours upon receipt of the request
There is information about the company that significantly affects the securities prices and has to be verified.	SSC, SE, PHS website	Within 24 hours upon receipt of the request
Information related to the company or its branches materially affects legal rights and interests of investors	SSC, SE, PHS website	Within 24 hours upon receipt of the request
<b>INFORMATION DISCLOSURE ON OTHER ACTIVITIES</b>		
Disclosure of information about offering, issuance, listing, registration and reporting on fund use	SSC, SE, PHS website	In accordance with regulations on offering, issuance, listing and registration of securities
Disclosure of the maximum rate of its foreign holdings and any changes therein	SSC, SE, PHS website	In accordance with regulations of the Law on Securities regarding foreign investment activities on Vietnam's securities market.
Disclosure of information about share repurchase and sale of treasury stocks	SSC, SE, PHS website	In accordance with regulations on share repurchase and sale of treasury stocks
In case of share repurchase, after all of repurchased shares are fully paid for, if the total assets in the company's accounting books is reduced by more than 10%	SSC, SE, PHS website	Disclose information and informs all of its creditors within 15 days from the payment completion date
Forced selling or liquidating pledged securities of clients that are insiders and affiliated persons of insiders	PHS website	Before transaction made
Notify results of forced selling or liquidating pledged securities which is held by insiders or affiliated persons of insiders	Customers	No later than end of transaction date
	SE	No later than end of transaction date or projected transaction date
Disclosing information in accordance with laws of offering and trading covered warrants	SSC, SE, PHS website	In accordance with regulations of offering and trading covered warrants

Note	
SSC	the State Securities Commission
SE	the Stock Exchange





## APPENDIX 2

### REPORT AND INFORMATION DISCLOSED BY OTHER ENTITIES

(Issued with Regulation on information disclosure of Phu Hung Securities Corporation)

#### I. DISCLOSURE RELATED TO MAJOR SHAREHOLDER, GROUPS OF RELATED PERSONS HOLDING 5% OR MORE OF THE COMPANY'S VOTING SHARES

No.	Disclosed Information	Recipient of report or disclosed information	Time limit for information disclosure
1	Organizations, individuals, group of related persons, group of related foreign investors disclose information and report on becoming a major shareholder holding 5% or more of the Company's voting shares	SSC, SE, PHS website	05 working days from the time of becoming a major shareholder owning 5% or more of Company's voting shares
2	Organizations, individuals, group of related persons, group of related foreign investors disclose information and report on being no longer a major shareholder owning 5% or more of the Company's voting shares	SSC, SE, PHS website	05 working days from the time of being no longer a major shareholder
3	Organizations, individuals, group of related persons, group of related foreign investors who are major shareholders owning at least 5% of voting shares of the Company disclose information and report on the ownership percentage change over the threshold of 1%	SSC, SE, PHS website	05 working days from the transaction completion date (transaction completion date prescribed at Article 3.12 of Circular 96)
4	Company discloses information at point 1;2;3 as above	PHS website	03 working days upon receipt of reports from entities at point 1; 2; 3 as above





## APPENDIX 2

### REPORT AND INFORMATION DISCLOSED BY OTHER ENTITIES

(Issued with Regulation on information disclosure of Phu Hung Securities Corporation)

#### II. INFORMATION DISCLOSURE RELATED TO TRANSACTIONS OF INTERNAL PERSON AND RELATED PERSONS OF INTERNAL PERSON

No.	Information Disclosure Content	Recipient of report or disclosed information	Time limit for information disclosure
1	Internal persons and related persons of these internal persons must disclose information and submit reports before their transactions in case the estimated value of transactions conducted during a day is at least VND 50 million or the estimated value of transactions conducted during a month is at least VND 200 million determined according to the face value (of shares, convertible bonds) or the transfer price (of rights to buy shares or convertible bonds), including the case where a transfer is made not through the trading system of the SE (such as donation, inheritance or transfer of securities and other cases).	SSC, SE, PHS	Before the estimated transaction date at least 03 working days.
2	Internal persons/related persons must disclose information about transaction completion at item 1 above, concurrently explain reasons that he/she does not implement transaction/ or can not implement all registered amount (if any)	SSC, SE, PHS	Within 05 working days from the date of completion of the transaction (in case the transaction ends before the registration deadline) or the end of the expected transaction period.
3	Company discloses information of item 1 and item 2 above	PHS website	within 03 working days from the receipt date of report of entities at item 1; 2 above

#### III. INFORMATION DISCLOSURE ON TENDER OFFER TRANSACTION

No.	Information Disclosure Content	Recipient of report or disclosed information	Time limit for information disclosure
1	Company (target company) must disclose the receipt of the application for making tender offers of shares of public companies on its website and the Stock Exchange's website.	PHS website, SE website	Within 03 working days from the date of receiving the application for registration for making tender offers



## APPENDIX 2

### REPORT AND INFORMATION DISCLOSED BY OTHER ENTITIES

*(Issued with Regulation on information disclosure of Phu Hung Securities Corporation)*

2	Board of Directors of the Company (target company) shall publish recommendations to their shareholders regarding the tender offer on its website and send a report to SSC. The recommendations of the Board of Directors of the target company shall be made in writing, In case one or some members of the Board of Directors/representative board has dissenting opinions, these opinions must be included in the document.	PHS website	Within 10 days from the receipt of the application for registration for making tender offers
3	Organizations and individuals making tender offers disclose information	In accordance with regulations on tender offers	In accordance with regulations on tender offers

Note	
SSC	the State Securities Commission
SE	the Stock Exchange

