

**REPORT ON GOVERNANCE STATUS OF LISTED COMPANY**  
**(First 6 months of 2025)**

To: - State Securities Commission;  
- Stock Exchange.

- Company's name: Viet Nam Financial Investment Securities Corporation
- Head office address: 1<sup>st</sup> and 8<sup>th</sup> Floors, Block B, Song Da Building, Pham Hung Street, Tu Liem Ward, Hanoi City, Vietnam.
- Phone: (024) 35149999 - Fax: (024) 35148766 - Email: [info@visc.com.vn](mailto:info@visc.com.vn)
- Charter capital: 451,333,000,000 VND (*Four hundred and fifty-one billion three hundred and thirty-three million Vietnamese dongs*)
- Stock code: VIG
- Company's governance model: General Meeting of Shareholders, Board of Management, Board of Supervisors and General Director
- Regarding the implementation of internal audit function: Implemented

**I. ACTIVITIES OF THE GENERAL MEETING OF SHAREHOLDERS**

Information on meetings and Resolutions/Decisions of the General Meeting of Shareholders (including Resolutions of the General Meeting of Shareholders adopted in the form of written opinions):

No	Resolution/Decision No	Date	Content
1	01/2025/NQ/DHDCD-VISC	10/04/2025	<ul style="list-style-type: none"><li>- Approval of the Income Statement in 2024 and the Business Plan in 2025;</li><li>- Approval of the Board of Directors' Performance Report in 2024 and the Business Plan in 2025;</li><li>- Approval of the Board of Supervisors' Report on the assessment of the Business Performance in 2024, the Board of Directors' and the Board of Management's performance;</li><li>- Approval of the continued registration of</li></ul>

			<p>additional securities underwriting services;</p> <ul style="list-style-type: none"> <li>- Approval of the Debt Sales Extension Report and the Responsibilities of the Old Executive Board;</li> <li>- Approval of the remuneration of the Board of Management and the Board of Supervisors in 2024 and the Remuneration Plan in 2025;</li> <li>- Approval of the Audited Financial Statements in 2024;</li> <li>- Approval of the Selection of an Auditor for the Financial Statements in 2025;</li> <li>- Statement for distribution of after-tax profits in 2024 and profit distribution plan in 2025;</li> <li>- Statement for approval of the private offering plan.</li> </ul>
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## II. BOARD OF MANAGEMENT:

### 1. Information of the members of Board of Management (BOM):

No	Member of BOM	Position	Date of starting/cease being a member of the Board of Management	
			Date of appointment	Date of dismissal
1	Mr. Nguyen Phuc Long	Chairman of BOM (Member of Executive BOM)	23/3/2023	
2	Mr. Duong Quang Trung	Vice Chairman of BOM (Member of Executive BOM)	23/3/2023	
3	Ms. Dao Thi Thanh	Member of BOM (Member of Non-Executive BOM)	23/3/2023	
4	Mr. Nguyen Viet Viet	Member of BOM (Member of Independent BOM)	23/3/2023	
5	Mr. Nguyen Xuan Bieu	Member of BOM (Member of Non-Executive BOM)	23/3/2023	

## 2. Meetings of the Board of Management

No	Member of BOM	Position	Number of Board of Management meetings attended	Meeting attendance rate	Reason for absence
1	Mr. Nguyen Phuc Long	Chairman of BOM	07/07	100%	
2	Mr. Duong Quang Trung	Vice Chairman of BOM	07/07	100%	
3	Ms Dao Thi Thanh	Member of BOM	07/07	100%	
4	Mr. Nguyen Xuan Bieu	Member of BOM	07/07	100%	
5	Mr. Nguyen Viet Viet	Member of BOM	07/07	100%	

## 3. Supervisory activities of the Board of Management towards the Board of Directors:

Based on the guidelines, policies, plans and resolutions approved by the General Meeting of Shareholders as well as the Company's regulations and current laws, the Board of Management has directly directed, supervised and urged the Board of Directors to implement related tasks in the entire operation process of the Company, specifically:

- In the first 6 months of 2025, the Board of Management held meetings to direct, closely supervise and provide directions in the management and operation of the Board of Directors. Timely resolve arising issues under the authority of the Board of Management, creating favorable conditions for the operation of the Board of Directors.
- Successfully organize the Annual General Meeting of Shareholders in 2025.
- Establish an Internal Audit Department in accordance with the provisions of law and strengthen internal control and risk management in the Company.
- Focus on reviewing the business processes being implemented throughout the Company, thereby updating and amending the business processes to unify and coordinate activities between departments.
- Continue to implement the registration of additional securities underwriting services at the management agency.
- Implement measures to correct any remaining shortcomings in operations and business activities after the inspection process of the State Securities Commission.
- Through monitoring and evaluating compliance, the Board of Management recognizes that the Board of Directors has exercised its assigned rights and duties in accordance with the

provisions of law, the Charter, the Resolutions of the Board of Management and the General Meeting of Shareholders honestly, cautiously, and effectively, ensuring maximum benefits for the Company and shareholders

#### 4. **Activities of subcommittees under the Board of Management:**

The Board of Management always pays attention to the management and internal administration of the Company according to the guidance of the State Securities Commission on the basis of compliance with current legal regulations at: Securities Law No. 2019; Decree No. 155/2020/ND-CP dated December 31, 2022; Circular No. 121/2020/TT-BTC dated December 31, 2022; Circular No. 116/2020/TT-BTC dated December 30, 2020 and Decision No. 105/QD-UBCK dated February 26, 2013 of the State Securities Commission.

❖ ***The Secretariat assisting the Board of Management has performed the following functions and tasks:***

- Assist the Board of Management, ensuring that the organization of meetings and the issuance of Resolutions of the Board of Management are carried out in accordance with the policies of the Resolutions of the General Meeting of Shareholders, the Charter, the Company's procedures and regulations as well as current legal regulations.
- Act as a bridge between the Board of Directors and the Board of Management in the role of providing information to carry out information disclosure in accordance with the law as well as informing shareholders of information on the Company's operations and development;

❖ ***The Internal Audit Department has performed the following functions and tasks:***

- Advise on establishing policies and procedures in internal audit work to ensure the Company's business operations are in accordance with the provisions of law.
- Conduct quarterly internal audits, report the results to the Board of Management and direct timely handling plans.

#### 5. **Resolutions/Decisions of the Board of Management in 2025:**

No	Resolution/Decision No	Date	Content	Rate of approval
1	01/2025/NQ/HDQT-VISC	20/01/2025	Approval of the continued implementation of the Company's Risk Policy and Risk Limit	100%
2	02/2025/NQ/HDQT-VISC	19/02/2025	Approval of the plan to organize the Annual General Meeting of Shareholders in 2025	100%

3	2002/2025/NQ/HDQT-VISC	20/02/2025	Approval of the plan to continue investing in holding bonds coded TDECH2325001 issued by Thu Do Invest And Trade Import And Export Joint Stock Company	100%
4	21/2025/NQ/HDQT-VISC	20/02/2025	Approval of the plan to continue investing in holding bonds coded HDECH2325001 issued by HDE Distribution Joint Stock Company	100%
5	24/2025/NQ/HDQT-VISC	21/02/2025	Approval of the plan to continue investing in holding bonds coded HTMCH2325001 issued by Ha Thanh Trade Manufacturing And Invest Joint Stock Company	100%
6	25/2025/NQ/HDQT-VISC	08/04/2025	Approval of the establishment of an Internal Audit Department, appointment of an Internal Audit Manager and issuance of internal audit regulations and internal audit procedures	100%
7	26/2025/NQ/HDQT-VISC	17/06/2025	Approval of the continued implementation of the Company's underwriting business	100%

### III. BOARD OF SUPERVISORS:

#### 1. Information of members of Board of Supervisors

No	Member of Board of Supervisors	Position	Date of starting/cease being a member of the Board of Supervisors	Qualification
1	Ms. Pham Thi Tu Anh	Head of Board of Supervisors	23/3/2023	Bachelor of Banking and Finance
2	Ms. Nguyen Thi Kim Oanh	Member of Board of Supervisors	23/3/2023	Bachelor of Accounting

3	Ms. Vu Thi Thanh Hai	Member of Board of Supervisors	23/3/2023	Bachelor of Accounting
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## 2. Meetings of Board of Supervisors

No	Member of Board of Supervisors	Position	Number of meetings as attended	Rate of attendance	Voting rate	Reason for absence
1	Ms. Pham Thi Tu Anh	Head of Board of Supervisors	1/1	100%	100%	
2	Ms. Nguyen Thi Kim Oanh	Member of Board of Supervisors	1/1	100%	100%	
3	Ms. Vu Thi Thanh Hai	Member of Board of Supervisors	1/1	100%	100%	

## 3. Supervisory activities of the Board of Supervisors towards the Board of Management, the Executive Board of Directors and shareholders:

- Participate in successfully organizing the Annual General Meeting of Shareholders in 2025 and supervise the implementation of the Resolutions of the General Meeting of Shareholders in 2025, Resolutions/Decisions of the Board of Management and the Executive Board.
- Review compliance with regulations on ensuring safety in business, analyze plans and potential risks. Control compliance with regulations on information disclosure of the Company in accordance with the provisions of law.
- In the first 6 months of 2025, the Board of Supervisors has completed participating in the Board of Management' meetings, supervising the Company's management and operation activities in compliance with the provisions of law, the Law on Enterprises, the Charter, and the Corporate Governance Regulations for the Board of Directors and the Board of Management.

## 4. Coordination between the Board of Supervisors and the activities of the Board of Management, the Board of Directors and other managers:

- The members of the Board of Supervisors always proactively coordinate and discuss with each other and with the Board of Management, the Board of Directors to resolve difficulties and have timely solutions.

- The Board of Supervisors recorded no abnormalities in the activities of the members of the Board of Management, the Board of Directors and the managers of the Company.
- The Board of Management regularly held regular and ad hoc meetings as prescribed to deploy the work of monitoring and orienting the Company's business activities.
- Prepared quarterly activity reports in a timely manner and in compliance with the Company's laws.

**5. Other activities of the Board of Supervisors (if any):** None

#### **IV. EXECUTIVE BOARD**

<b>No</b>	<b>Member of Executive Board</b>	<b>Date of birth</b>	<b>Qualification</b>	<b>Date of appointment</b>	<b>Date of dismissal</b>
1	Duong Quang Trung	01/9/1975	Bachelor of Economics, major in Accounting, Master of Business Administration	18/08/2023	
2	Nguyen Thi Thu Hang	28/11/1984	Bachelor of Economics	18/08/2023	

#### **V. CHIEF ACCOUNTANT**

<b>Full name</b>	<b>Date of birth</b>	<b>Qualification</b>	<b>Date of appointment/dismissal</b>
Vu Huyen Tram	25/06/1986	Master of Economics	March 2012

#### **VI. TRAINING ON CORPORATE GOVERNANCE:**

The Board of Management is always interested in promoting and perfecting the Company's governance on the basis of compliance with current legal regulations. In that spirit, the Board of Management has implemented public governance courses for members to fully implement corporate governance.

#### **VII. LIST OF RELATED PERSONS OF THE LISTED COMPANY (FIRST 6 MONTHS OF 2025) AND TRANSACTIONS OF RELATED PERSONS OF THE COMPANY WITH THE COMPANY ITSELF**

- 1. List of related persons of the Company:** Details are shown in the List attached to this Report (Appendix I).
- 2. Transactions between the company and related persons of the company; or between the company and major shareholders, insiders, and related persons of insiders:** None

3. Transactions between insiders of listed company, related persons of insiders and subsidiaries, companies controlled by the listed company: None

4. Transactions between the company and other entities: None

**VIII. TRANSACTIONS IN SHARES OF INSIDERS AND RELATED PERSONS OF INSIDERS (FIRST 6 MONTHS OF 2025):**

1. List of insiders and related persons of insiders: Details are shown in the List attached to this Report (Appendix II).

2. Transactions of insiders and related persons on shares of listed company: None

**IX. Other notes:** None

**CHAIRMAN OF BOARD OF  
DIRECTIONS**



**Nguyễn Phúc Long**

## APPENDIX I. LIST OF INSIDER AND RELATED PERSONS

No	Full name	Securities trading account (if any)	Position in the company (if any)	Type of NSH Paper, NSH Date of issue, NSH issue place	Head office address/ Contact address	Date become related person	Date become non related person.	Reason for changing
1	Nguyen Phuc Long		Chairman			23/03/2023		
2	Duong Quang Trung		Vice Chairman cum General Director			23/03/2023		
3	Nguyen Viet Viet		Member of BOD			23/03/2023		

4	Nguyen Xuan Bieu		Member of BOD		23/03/2023		
5	Dao Thi Thanh		Member of BOD		23/03/2023		
6	Nguyen Thi Thu Hang		Deputy General Director/ Corporate governance officer/ Information Disclosure Officer		18/08/2023		
7	Pham Thi Tu Anh		Head of the Supervisory Board		23/03/2023		

				Social Order				
8	Vu Thi Thanh Hai		Member of the Supervisory Board			23/03/2023		
9	Nguyen Thi Kim Oanh		Member of the Supervisory Board			23/03/2023		
10	Vu Huyen Tram		Chief Accountant			12/03/2012		
11	Nguyen Thanh Van		Internal Audit Officer			08/04/2025		

**APPENDIX II. LIST OF INSIDER AND RELATED PERSONS (INDIVIDUALS, ORGANIZATIONS) OF INSIDER**

No	Full name	Securities trading account (if any)	Position in the company (if any)	Relationship with insiders	Type of NSH Paper, Date of issue, issue place	Head office address/ Contact address	Number of shares owned at the end of the period	Rate of shares owned at the end of the period	Note
1	Nguyen Phuc Long		Chairman of BOD				-	0	
1.1	Ho Thanh Huong			Spouse			-	0	
1.2	Nguyen Ho Huong Ly			Child			-	0	
1.3	Nguyen Ho Phuc Lan			Child			-	0	Underage

1.4	Nguyen Ho Kim Phung			Child		-	0	Underage
1.5	Nguyen Ho Phuc Anh			Child		-	0	Underage
1.6	Nguyen Ho Bao tran			Child				Underage
1.7	Nguyen Van Thuong			Father		-	0	
1.8	Nguyen Thi Minh Chau			Mother		-	0	
1.9	Ho Van Son			Father-in-law		-	0	

1.10	Nguyen Thi Hanh Lien			Sibling			-	0	
1.11	Nguyen Xuan Bieu			Sibling-in-law			-	0	
1.12	Nguyen Thi Hanh Loan			Sibling			-	0	
1.13	Tran Duc Dung			Sibling-in-law			-	0	
1.14	Thang Long investment group JSC			Chairman of BOD			-	0	

1.15	Thang Long Phu Tho investment JSC			Member of BOD		-	0	
1.16	Sakura Real Estate JSC			Vice Chairman of BOD		-	0	
2	Duong Quang Trung		Vice Chairman/General Director			-	0	
2.1	Vu Thi Thanh			Mother		-	0	
2.2	Duong Anh Tuan			Sibling		-	0	

2.3	Le Thi Minh Hang			Sibling-in-law		-	0	
2.4	Duong Thi Tu Anh			Sibling		-	0	
2.5	Than Van Toan			Father-in-law		-	0	
2.6	Ta Thi Kien			Mother-in-law		-	0	
2.7	Duong Hai Nam			Child		-	0	

2.8	Thang Long investment group JSC			Member of BOD			-	0	
3	Nguyen Viet Viet		Member of BOD				-	0	
3.1	Nguyen Bac Huong			Father			-	0	
3.2	Vu Thi Bich			Mother			-	0	
3.3	Nguyen Phi Long			Sibling			-	0	

3.4	Nguyen Viet Hung			Sibling		-	0		
3.5	Le Thi Hong Van			Sibling-in-law		-	0		
3.6	Hoang Hong Nhung			Sibling-in-law		-	0		
3.7	Nguyen Ngoc Gia Khanh			Child		-	0	Underage	
3.8	Nguyen Khoi Nguyen			Child		-	0	Underage	

3.9	Nguyen Ngoc Gia An			Child		-	0	Underage
3.10	Thang Long investment group JSC			Member of BOD		-	0	
4	Dao Thi Thanh		Member of BOD			-	0	
4.1	Cao Thi Khieu			Mother		-	0	
4.2	Dao Thi Thang			Sibling		-	0	
4.3	Dao Thi Nhung			Sibling		-	0	

4.4	Dao Thi Loi			Sibling	-	0	
4.5	Tran Ngoc Quang			Sibling-in-law	-	0	
4.6	Nguyen Hong Hai			Sibling-in-law	-	0	
4.7	Nguyen The Nam			Sibling-in-law	-	0	
4.8	Thang Long investment group JSC			Member of BOD / Deputy General Director/ Chief Financial Officer	-	0	
5	Nguyen Xuan Bieu		Thành viên HĐQT		-	0	



5.6	Nguyen Xuan Hoa			Sibling		-	0	
5.7	Nguyen Van Thuong			Father-in-law		-	0	
5.8	Nguyen Thi Minh Chau			Mother-in-law		-	0	
5.9	Nguyen Thi Hanh Lien			Spouse		-	0	
5.10	Nguyen Thi Hanh Uyen			Child		-	0	
5.11	Nguyen Thi Hanh Nguyen			Child		-	0	

5.12	Nguyen Thi Thanh Ngan			Child		-	0		
5.13	Nguyen Xuan Nhan			Child		-	0		
6	Pham Thi Tu Anh		Head of the Supervisory Board			-	0		
6.1	Pham Van Tuan			Father		-	0		
6.2	Nguyen Thi Thu Thuy			Mother		-	0		

6.3	Nguyen Trung Kien			Spouse		-	0	
6.4	Nguyen Tu Duong			Child		-	0	Underage
6.5	Nguyen Minh Quang			Child		-	0	Underage
6.6	Nguyen Quoc Khanh			Father-in-law		-	0	
6.7	Nguyen Thi Chung			Mother-in-law		-	0	
6.8	Pham Thi Phuong Lien			Sibling		-	0	
7	Vu Thi Thanh Hai		Member of the Supervisory Board			-	0	

7.1	Nguyen Thi Bich Hang			Mother		-	0	
8	Nguyen Thi Kim Oanh		Member of the Supervisory Board			-	0	
8.1	Tran Thi Thu Hang			Mother		-	0	
8.2	Ta Manh Cuong			Spouse		-	0	
8.3	Ta Minh Thanh			Child		-	0	Underage
8.4	Ta Minh Khoi			Child		-	0	Underage
8.5	Ta Hong Tu			Father-in-law		-	0	

8.6	Nguyen Thi Phan			Mother-in-law		-	0		
8.7	Nguyen Thi Le Hang			Sibling		-	0		
8.8	Nguyen Van Boi			Sibling-in-law		-	0		
8.9	Nguyen Thi Hai Yen			Sibling		-	0		

8.10	Vu Ngoc Toan			Sibling-in-law		-	0	
9	Nguyen Thi Thu Hang		Deputy General Director/ Corporate governance officer/ Information Disclosure Officer			-	0	
9.1	Nguyen Huy Tam			Father		-	0	
9.2	Bui Thi Phuong Hoa			Mother		-	0	
9.3	Nguyen Thi Thu Huong			Sibling		-	0	

9.4	Nghiem Hai Vu			Sibling-in-law	-	0	
9.5	Dinh Van Hieu			Spouse	-	0	
9.6	Dinh Van Lieu			Father-in-law	-	0	
9.7	Doan Gia Minh			Child			Underage
10	Vu Huyen Tram		Chief Account		-	0	
10.1	Vu Dinh Thuoc			Father	-	0	

10.2	Hoang Thi Du			Mother		-	0		
10.3	Vu Kim Thoa			Sibling		-	0		
10.4	Ngo Tho Thiet			Sibling-in-law		-	0		
10.5	Vu Phuong Thuy			Sibling		-	0		
10.6	Pham Quynh			Spouse		-	0		

10.7	Pham Minh Hang			Parent-in-law		-	0	
10.8	Nguyen Thi Tinh			Parent-in-law		-	0	
10.9	Pham Anh Nhien			Child		-	0	Underage
10.10	Pham Quang Minh			Child		-	0	Underage
11.	Nguyen Thanh Van		Internal Auditor			-	0	
11.1	Nguyen Dinh Tuan			Father		-	0	
11.2	Duong Thi Ngu			Mother		-	0	

11.3	Nguyen Hoang Duy			Sibling		-	0	
11.4	Le Huyen Trang			Sibling-in- law		-	0	
11.5	Le Hoang Anh			Spouse		-	0	
11.6	Le Minh Khoi			Child		-	0	
11.7	Le Minh khue			Child		-	0	
11.8	Le Van Thanh			Parent-in-law		-	0	
11.9	Hoang Thi Hoa			Parent-in-law		-	0	