



THIEN VIET SECURITIES JS COMPANY

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GUIDES ON SECURITIES TRADING FOR FOREIGN INVESTORS IN VIETNAM'S SECURITIES MARKET

STEP 1: APPLICATION FOR SECURITIES TRADING CODE WITH VIETNAM SECURITIES DEPOSITORY CENTERS (BELOW 10 WORKING DAYS).

Institutional investor:

Documents required:

- 01 application for registration of securities trading code signed by the institutional investor. (*Form “Securities trading code application form for Institutional Investors”*)
- 01 legalized copy of Incorporation Certificate in the host country and the translation version of Incorporation Certificate (into Vietnamese) notarized in Viet Nam

STEP 2: APPLICATION FOR OPENING CASH ACCOUNTS AND SECURITIES DEPOSITORY ACCOUNT WITH CUSTODIAN BANK (2-3 WORKING DAYS).

Documents required:

- Certificate of Incorporation (*1 copy*)
- ID/Passport of authorized person (*1 copy*)
- Other forms as required by the Custodian Bank

STEP 3: APPLICATION FOR OPENING A TRADING ACCOUNT WITH THIEN VIET SECURITIES (1 WORKING DAY).

Documents required for Trading Account at TVS:

- 02 account opening contracts (2 copies for each in English and Vietnamese and must be signed and sealed/stamped)
- 01 copy of securities trading code
- 01 copy of Certificate of Incorporation
- 01 information sheet of the delegated trading person of the institutional investor signed and sealed/stamped by the authorized body of the institution itself (*can be waived if the company's authorized person who signs the contract also acts as the trading representative*). (Form “Authorized Person Information”) (*if any*)
- 01 copy of ID/Passport of authorized person (sealed by the Notary Public or appropriate authorities in the host country)

STEP 4: TRANSFERRING FOREIGN CURRENCY FROM OVERSEAS TO VIETNAM

Documents required: The instruction of remittance

Investor's USD Overseas Account	→	Investor's USD cash Account at local (Custodian) Bank	→	Investor's VND Account at such bank
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Please ensure that fund transfer strictly follow the applicable regulations of anti-money laundering. Investors shall be responsible for the legality of the source of fund transferred to Viet Nam for the purpose of securities trading.

Investors opening cash accounts and securities depository account with custodian bank: please contact the custodian bank for relevant procedures and documents.

STEP 5: PLACING ORDERS AT TVS:

- Trading orders can be placed directly at TVS trading counter or indirectly via email, facsimile or telephone.
- Documents required: Investors must fill in completely order slips (Sell, Buy and Cancel) in order to execute any transaction. Investors must have sufficient funds or securities in their trading account before placing a Buy or Sell order.
- Investors opening cash accounts and securities depository accounts with other custodian banks and trading accounts with TVS: Clients' funds and securities will be kept under the custodian banks' custody while securities trading orders are placed with TVS, hence, there would be no credit risk involved in the process. TVS will check investors' cash and/or securities balance with the custodian bank before executing orders to ensure investors' ability to settle the transactions.

In case investors have opened cash accounts and securities depository accounts at TVS, Investors must have sufficient funds or securities in their trading account at TVS before placing a Buy or Sell order.

Investor's USD Overseas Account	→	Investor's USD cash Account at local Bank	→	Investor's VND Account at such bank	→	Investor's VND Account at TVS
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SALES TRADING AND EXECUTION

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