Shinhan Securities

REGULATIONS ON PROFESSIONAL SECURITIES INVESTOR

I. The subjects are Professional securities investor

Professional investors are investors that have adequate financial capacity or securities qualifications, including:

1. Commercial banks, foreign branch banks (FBB), finance companies, insurers, securities companies, fund management companies, securities investment funds, international financial institutions, off-budget financial funds, state-owned financial institutions permitted to buy securities as prescribed by relevant laws.

2. Any company whose contributed charter capital exceeds 100 billion VND; every listed or registered organization.

3. Holders of securities professional certifications.

4. Any individual holding a quantity of listed or registered securities that is worth at least 02 billion VND as confirmed by the securities company.

5. Any individual whose taxable income in the latest year is at least 01 billion according to his/her submitted tax return or tax deduction documents of his/her income payer.

II. Regulations on documents to identify the Professional securities investor

Customer requests SSV to identify the Professional securities investor and provides the Request for identification of Professional securities investor and authentication documents as follow:

1. In case of Organization mentioned in I.1

- The Certificate of Enterprise Registration or Establishment and Operation License or equivalent documents.

2. In case of Organization mentioned in I.2

- For listed or registered organizations: the decision on listing or registration.

- For organizations other than listed or registered organizations: the Certificate of Enterprise Registration or equivalent documents; audited annual financial statement or examined half-year financial statement.

3. In case of Individual mentioned in I.3

- Unexpired ID card or passport.

- Unexpired securities practicing certificate.

4. In case of Individual mentioned in I.4

- Unexpired ID card or passport.

- SSV's certification of market values of listed or registered securities when the individual is identified as a professional securities investor.

5. In case of Individual mentioned in I.5

- Unexpired ID card or passport.

- Tax declaration dossier submitted to the tax authority or tax deduction documents of the latest year before the individual is identified as a professional securities investor.

** Note: The above legal documents must be certified by the competent agencies.*

III. Regulations on the Identification of Professional securities investor issued by SSV

- SSV confirms and issues the Identification of Professional securities investor to Customer on the date SSV receives the completed documents from Customer.
- The Identification of Professional securities investor is valid for one (01) year from the date of issue.
- Fee for identify the Professional securities investors are collected according to SSV regulations.