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Hanoi, July , 2021

TRANSLATION

REPORT ON CORPORATE GOVERNANCE

(From 01/01/2021 to 30/06/2021)

Respectfully to: - The State Securities Commission;  
- Ho Chi Minh Stock Exchange.

Company name : Vietnam JS Commercial Bank for Industry & Trade  
Address of Head Office : No. 108 Tran Hung Dao Str., Hoan Kiem District, Hanoi  
Telephone : +84 24 3942 1030  
Fax : +84 24 3941 2637  
Email : [investor@vietinbank.vn](mailto:investor@vietinbank.vn)  
Charter capital : 37,234,045,560,000 VND  
Ticker symbol : CTG  
Governance model : General Meeting of Shareholders, Board of Directors, Board of Supervisors and General Director  
The implementation of internal audit : Implemented

I. Activities of the General Meeting of Shareholders (GMS)

No.	Resolution	Date	Content
1	21/NQ-DIIDCD	23/05/2020	Resolution of 2021 Annual General Meeting of Shareholders (AGM) of VietinBank approved the following contents: 1. Report of the Board of Directors (BoD) on performance in 2020 and development orientation in 2021; 2. Report of the Board of Management (BoM) on business performance in 2020, orientation and plan for 2021; 3. Report of the Board of Supervisors on 2020 activities and orientation in 2021; 4. Audited Financial Statements (FS) of VietinBank prepared in accordance with Vietnamese Accounting Standards and Vietnamese Accounting System for Credit Institutions as at 31 <sup>st</sup> December, 2020 and for the period ranging from 01 <sup>st</sup> January, 2020 to 31 <sup>st</sup> December, 2020; 5. Authorization for VietinBank's BoD to decide to select a qualified and experienced independent audit

			<p>organization that meets the conditions specified in Circular 39/2011/TT-NHNN and is on the approved list of the Ministry of Finance to audit the FS and operations of the internal control system of VietinBank in 2022 in accordance with the Enterprise Law No. 59/2020/QH14, Circular 39/2011/TT-NHNN and applicable laws;</p> <p>6. Profit Distribution Plan for 2020 which VietinBank was submitting to competent State Authority for approval;</p> <p>7. Remuneration for the BoD and Board of Supervisors in 2021; In case additional members of the BoD and Board of Supervisors are elected, the AGM authorized the BoD to decide the additional amount of remuneration arising based on the actual number of the member of the BoD and the Board of Supervisors and in accordance with the Regulation on payroll payment of VietinBank;</p> <p>8. Revision and newly-merged full text of VietinBank's Charter, VietinBank's Internal Governance, VietinBank's Regulations on Organization and Operation of the BoD;</p> <p>9. Revisions and newly-merged full text of the Regulation on Organization and Operation of the Supervisory Board of VietinBank;</p> <p>10. VietinBank personnel for the term 2019-2024.</p> <ul style="list-style-type: none"> <li>- The dismissal of Mr. Shiro Honjo from the position of VietinBank's Board Members for the term 2019-2024;</li> <li>- The additional election of Mr. Masashige Nakazono to hold the position of VietinBank's Board Members for the term 2019-2024;</li> <li>- The additional election of Ms. Nguyen Thi Thom to hold the position of Members of the Supervisory Board of VietinBank for the term 2019 – 2024.</li> </ul>
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## II. Board of Directors

### 1. Information on members of the BoD

No	BoD members	Position	Date becoming/ceasing to be BoD member	
			Date of appointment	Date of dismissal
1	Mr. Le Duc Tho	Chairman of the BoD	29/04/2014	
2	Mr. Tran Minh Binh	Board member cum CEO	08/12/2018	
3	Mr. Tran Van Tan	Board member	23/04/2019	
4	Ms. Tran Thu Huyen	Board member	24/07/2014	

5	Mr. Nguyen The Huan	Board member	23/04/2019	
6	Ms. Pham Thi Thanh Hoai	Board member	23/04/2019	
7	Mr. Masahiko Oki	Board member cum Deputy CEO	23/05/2020	
8	Mr. Masashige Nakazono	Board member	16/04/2021	
9	Ms. Nguyen Thi Bac	Independent Board member	23/05/2020	
10	Mr. Shiro Honjo	Board member	23/05/2020	16/04/2021

**Notes:**

- From 01/01/2021 to 16/04/2021: VietinBank's BoD for the term of 2014-2019 includes 9 members: Mr. Le Duc Tho – Chairman of the BoD, Mr. Tran Minh Binh – Board member cum CEO, Mr. Tran Van Tan – Board member, Ms. Tran Thu Huyen – Board member, Mr. Nguyen The Huan - Board member, Ms. Pham Thi Thanh Hoai – Board member, Mr. Masahiko Oki – Board member cum Deputy CEO, Mr. Shiro Honjo – Board member and Ms. Nguyen Thi Bac – Independent Board member.
- From 16/04/2021 to 30/06/2021: VietinBank's BoD for the term of 2019-2024 includes 9 members: Mr. Le Duc Tho – Chairman of the BoD, Mr. Tran Minh Binh – Board member cum CEO, Mr. Tran Van Tan – Board member, Ms. Tran Thu Huyen – Board member, Mr. Nguyen The Huan - Board member, Ms. Pham Thi Thanh Hoai – Board member, Mr. Masahiko Oki – Board member cum Deputy CEO, Mr. Masashige Nakazono – Board member and Ms. Nguyen Thi Bac – Independent Board member.

**2. Meetings of the BoD**

In the first half of 2021, VietinBank's BoD held meetings to evaluate business results and provide orientations and directions for VietinBank's operations as well as exchanging ideas on a number of issues and topics related to corporate governance. In addition, the BoD also handled with other issues through written – opinion form. Details are as follows:

No	BoD member	Number of meetings attended	Percentage	Reasons for absence
1	Mr. Le Duc Tho	86/86	100%	
2	Mr. Tran Minh Binh	86/86	100%	
3	Mr. Tran Van Tan	86/86	100%	
4	Ms. Tran Thu Huyen	85/86	99%	Business trip
5	Mr. Nguyen The Huan	86/86	100%	
6	Ms. Pham Thi Thanh Hoai	86/86	100%	
7	Mr. Masahiko Oki	86/86	100%	
8	Mr. Masashige Nakazono	48/48	100%	Attend BoD meetings and give written opinions since 16/04/2021 (start being a BoD member)
9	Ms. Nguyen Thi Bac	86/86	100%	

10	Mr. Shiro Honjo	37/38	97%	Absent from 1 meeting due to business trip. Neither attend BoD meetings nor give written opinions since 16/04/2021 ( <i>no longer being a BoD member</i> )
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**Notes:**

- *The total number of meetings of the BoD in the first half of 2021 was 86, including in-person meetings and written opinions.*
- *Mr. Masahiko Oki: is a residential Board member, (i) attended all BoD's in-person meetings and (ii) gave written opinions to the BoD.*
- *Mr. Shiro Honjo and Mr. Masashige Nakazono: are non-residential Board members, (i) attended some BoD's in-person meetings and (ii) gave written opinions to the BoD.*

**3. Supervision by the BoD over the BoM**

Supervisory activities of the BoD over the BoM are carried out in accordance with the Internal Management Regulations, the Regulations on Organization and Operation of the BoD and the Regulation on Organization and Operation of the BoM. In addition, the CEO is concurrently a Board member. Therefore, he promptly acknowledges the orientations and directions of the BoD and effectively implements in the whole system of VietinBank. Supervisory activities of the BoD over the BoM are implemented through many forms such as:

- a) Participate in reporting sessions of the Committees under the BoD;
- b) Attend monthly meetings of the CEO;
- c) Monitor through the processing of information from reports of the Board of Supervisors and Internal Audit Department on banking operations;
- d) Monitor through monthly business reports and other reports/proposals submitted by the BoM.

Through monitoring activities, it proves that the BoM has timely implemented all the orientations and directions of the BoD as well as the tasks according to the assigned functions and duties.

Based on the orientation of the BoD with important strategic goals in VietinBank's Mid-term Business Plan MIBP 2021-2023, 10-year development strategy 2021-2030, Vision to 2045 that were approved by the BoD, the CEO developed and implemented specific tasks to each BoM member, instructed, assigned business targets and tasks to each Division/Department/Board to implement, reported fully and promptly in writing to the BoD on the results of the assigned tasks and rights. In the first half of 2021, the BoM has innovated the direction and administration methods, closely monitored and regularly updated the complicated development of the Covid-19 pandemic, macro-economic situation, market developments, orientations and directions of the Government, the State Bank of Vietnam (SBV) and the BoD to strictly and drastically implement business solutions as well as measures to join hands with the Government, businesses and people in preventing, fighting and repelling the Covid-19 pandemic.

At monthly meetings of the BoD, the CEO fully reported on VietinBank's activities and

highlights of the month on: (i) interest rate policy, growth promotion program; (ii) products and services; (iii) customer support; (iv) internal control and inspection; (v) risk management, debt collection; (vi) developments and situation of the Covid-19 pandemic, measures and effectiveness in disease prevention and control, ensuring the maintenance of safe operations; and (vii) business plan in the coming months. The CEO also reported on progresses and results of the implementation of GMS Resolutions, BoD Resolutions and Decisions; reports on several topics as required by the BoD; status of implementation of the Risk Control Limit, the proposed measures when the limit(s) was (were) in danger of being exceeded or the risk of generating an unanticipated material risk, as well as proposals to the BoD.

As of June 30, 2021, VietinBank's total assets (separated figures) were estimated at 1,400 trillion VND, up 8% ytd. The domestic credit balance was estimated at 1,060 trillion VND, an increase of 4.8% ytd. The growth rate of VietinBank's outstanding loans in the first 6 months of 2021 significantly improved yoy. Total mobilized capital was estimated at 1,200 trillion VND, an increase of 3.4% ytd. The average capital of CASA improved significantly. Net income from service reached more than 3,000 billion VND, up 27.6% yoy. Income from risk settlement reached 1.4 trillion VND, up 145% yoy. The bad debt ratio was controlled according to the planned target; proactively identifying risks early, ensuring to reflect the actual quality of debt and make adequate provision for risks as prescribed. The income-cost gap, profit efficiency and profitability ratios ROE and ROA continued to increase yoy. These positive results came from the joint efforts of the whole system in the process of comprehensive restructuring of operations, in which, focusing on strongly transforming the growth model, changing the mode of competition, developing modern, comprehensive and one-stop-shop banking and financial solutions for customers, providing services in a linked chain, fostering strong digital transformation, improving consulting capacity, meeting the financial needs of customers to the fullest.

Regarding the prevention and control of the Covid-19 pandemic, VietinBank donated more than 160 billion VND for the prevention and control of the Covid-19 pandemic; spent 60 billion VND to support the Government to purchase vaccines to control the disease; free of charge for all money transfer transactions of individual and institutional customers to receiving accounts, supporting funds for Covid-19 pandemic prevention and control; thereby, demonstrating the joint hands and determination to realize the "dual goals" of the Government; make an important and effective contribution to the economy to overcome difficulties and continue to stabilize and develop.

#### **4. Activities of the BoD's committees**

As at 30/06/2021, VietinBank has 03 committees under the BoD, namely Personnel Committee, Risk Management Committee (RMC) and Policy Committee. The establishment of these Committees complied with the regulations of the SBV and the provisions of law. In the first half of 2021, the Committees worked closely with relevant departments and units to effectively carry out their functions and duties according to their Regulations on Organization and Operation issued by the BoD respectively. Details are as follow:

**Human Resource (HR) Committee:** is an advisory and assisting agency for the BoD on dealing with issues under the BoD's authority in developing personnel policies, recruiting, and arranging personnel for titles under the BoD's authority; assisting the BoD in supervising the implementation of the personnel mechanism and policies as well as personnel management

activities of VietinBank. In the first 6 months of 2021, HR Committee advised the BoD in consolidating and supplementing personnel under the authority of the BoD at head office, branches, subsidiaries and non-business units to ensure compliance with the regulations and procedures of VietinBank; planning of positions managed by the General Director and the BoD in the period of 2021 - 2026 at units in VietinBank system. Regarding organizational structure model, HR Committee is continuing to advise the BoD on consolidating the organizational model under three main goal groups: Business promotion - Improving debt settlement efficiency - Improving internal governance efficiency, specifically: Transaction Banking model, Procurement & Asset Management Division model, Finance Division Phase 2, centralized debt settlement mechanism, Contact Center consolidation model; at the same time, coordinate with Payment Center to implement the Transaction Teller Project.

- **Risk Management Committee:** In the first half of 2021, the RMC actively advised the BoD to issue significant risk management policies and guidelines such as: risk appetite in the period of 2021-2023, credit orientation 2021; Credit Risk Control Limits Package 2021; advise on amending the Internal Credit Rating System and debt classification according to Circular 02, adjusting the credit authority mechanism for branches in lending to electricity distribution companies under EVN... In addition, on the basis of monitoring the situation of risks at VietinBank, RMC proposed to the BoD many important issues on risk management so that the BoD would direct and orient the BoM and business units to ensure the safety, efficiency and compliance of VietinBank's business operations according to regulations of law.
- **Policy Committee:** With the key goal of continuing to improve the system of policy documents in a streamlined, scientific and synchronous manner, right from the first days of 2021, the Policy Committee held a meeting to review the situation of the promulgation of policy documents in 2020 and also setting out a plan to issue policy documents in 2021. Accordingly, the plan to issue policy documents was not only based on changing legal documents or actual implementation at VietinBank but also must be consistent with the business strategy as well as with the operational themes in the medium and long term. In addition, on the basis of the perception that credit decisions based on risk measures and quantification according to statistical models and 4.0 technology will be the first breakthrough changes, helping VietinBank system to get closer to international standards in the core operation of the bank, which is credit approval, and recognizing the importance of applying the Probability of default (PD) credit rating model in granting credit for customers, the Policy Committee advised and proposed the BoD to direct relevant departments to continue researching, applying and deploying the PD model in credit rating work.

#### 5. Resolutions of the BoD

No.	Resolution No.	Date of issue	Contents	Approval rate
1	005/NQ-HĐQT-NHCT2.1	06/01/2021	Approval of credit limit granted to a corporate customer	100%
2	009/NQ-HĐQT-NHCT2.1	12/01/2021	Approval of adjustment in collateral measures applied to a corporate customer	100%
3	010/NQ-HĐQT-NHCT2.1	14/01/2021	Approval of the sale and liquidation of 08 large cars	100%

4	011/NQ-HĐQT-NHCT2.1	14/01/2021	Approval of credit limit regranted to a corporate customer	100%
5	013/NQ-HĐQT-NHCT2.1	21/01/2021	Approval of credit limit granted to a corporate customer	100%
6	014/NQ-HĐQT-NHCT2.1	21/01/2021	Approval to continue cooperation with customers in 2021	100%
7	015/NQ-HĐQT-NHCT2.1	26/01/2021	Approval of increasing transaction limit granted to a financial institution	100%
8	020/NQ-HĐQT-NHCT2.1	28/01/2021	Approval of the content of Report on the implementation of VietinBank Tower project in 2020	100%
9	021/NQ-HĐQT-NHCT2.1	01/02/2021	Approval of credit limit granted to a corporate customer	100%
10	024/NQ-HĐQT-NHCT2.1	02/02/2021	Approval of liquidation of fixed assets which is the architecture of the transaction office	100%
11	025/NQ-HĐQT-NHCT2.1	02/02/2021	Approval of the policy of handing over a part of the land area belonging to the road safety corridor and assets attached to the land at Tan Dong Hiep Transaction Office - Binh Duong Branch to carry out the work of upgrading and expanding DT-743 road in Di An city, Binh Duong province	100%
12	026/NQ-HĐQT-NHCT2.1	02/02/2021	Approval of credit limit granted to a corporate customer	100%
13	028/BQ-HĐQT-NHCT2.1	03/02/2021	Approval of the Insurance Agent contract on online application between VietinBank and VietinBank's Insurance Joint Stock Corporation VBI ( <i>a subsidiary of VietinBank</i> )	100%
14	030/NQ-HĐQT-NHCT2.1	05/02/2021	Approval of the report to the State Bank of Vietnam on the plan to rearrange and handle housing and land assets in accordance with the Government's Decree 167/2017/ND-CP dated 31/12/2017 at the request of Document No. 4836/NHNN-TCKT dated 03/07/2020.	100%
15	035/NQ-HĐQT-NHCT2.1	09/02/2021	Approval of transaction limit granted to a financial institution	100%
16	040/NQ-HĐQT-NHCT2.1	25/02/2021	Approving the sending of a conditional confirmation letter on VietinBank's operating status related to the Bank Holding Company Act (BHC Act) as proposed by MUFG Bank and implementing work to meet regulations of the BHC Act.	100%

17	041/NQ-HĐQT-NHCT2.1	26/02/2021	Approval of credit limit and credit facility granted to a corporate customer	100%
18	042/NQ-HĐQT-NHCT2.1	26/02/2021	Approval of the organization of VietinBank's AGM 2021	100%
19	045/NQ-HĐQT-NHCT2.1	03/03/2021	Approval of the Audited Consolidated Financial Statements for special purposes prepared in accordance with International Financial Reporting Standards - IFRS for the year ended December 31, 2019	100%
20	059/NQ-HĐQT-NHCT2.1	12/03/2021	Approval of the policy and plan for procurement costs of normal printed papers for the last 6 months of 2021	100%
21	064/NQ-HĐQT-NHCT2.1	12/03/2021	Approval of Establishment of the Organization Committee of the AGM 2021 and the Inspection Committee of Shareholders' eligibility to attend the AGM 2021	100%
22	065/NQ-HĐQT-NHCT2.1	23/03/2021	Approval of audited separate and consolidated FS for the year ended 31 December 2020 prepared in accordance with Vietnamese Accounting Standards and Vietnamese Credit Institutions Accounting System	100%
23	071/NQ-HĐQT-NHCT2.1	25/03/2021	Approval of the Promulgation of Anti-corruption Regulations	100%
24	073/NQ-HĐQT-NHCT2.1	25/03/2021	Approval of the adjustment of credit authority mechanism for branches in lending to SMEs	100%
25	074/NQ-HĐQT-NHCT2.1	29/03/2021	Approval of network issues	100%
26	076/NQ-HĐQT-NHCT2.1	31/03/2021	Approval of the establishment of a member company under VietinBank Insurance Corporation (VBI)	100%
27	078/NQ-HĐQT-NHCT2.1	05/04/2021	Approval of health check-up cost plan for VietinBank staff	100%
28	082/NQ-HĐQT-NHCT2.1	09/04/2021	Approval of transaction limit granted to a financial institution	100%
29	083/NQ-HĐQT-NHCT2.1	09/04/2021	Approval of VietinBank's Annual Report 2020	100%
30	087/NQ-HĐQT-NHCT2.1	13/04/2021	Approval of the plan to issue valuable papers to the public in 2021	100%
31	088/NQ-HĐQT-NHCT2.1	13/04/2021	Approval of the plan to issue valuable papers individually to the market in 2021	100%
32	090/NQ-HĐQT-NHCT2.1	13/04/2021	Approval of outsourcing policy for "Service to collect customer identification information through electronic method"	100%

33	094/NQ-HĐQT-NHCT2.1	15/04/2021	Approval of salary grades for some departments	100%
34	095/NQ-HĐQT-NHCT2.1	15/04/2021	Approval of agenda and materials for VietinBank's AGM 2021	100%
35	098/NQ-HĐQT-NHCT2.1	15/04/2021	Approval of credit limit and credit facility granted to a corporate customer	100%
36	102/NQ-HĐQT-NHCT2.1	20/04/2021	Approval of credit limit granted to a financial institution	100%
37	110/NQ-HĐQT-NHCT2.1	20/04/2021	Approval of credit orientation in the current period	100%
38	113/NQ-HĐQT-NHCT2.1	23/04/2021	Branch ranking in 2021	100%
39	114/NQ-HĐQT-NHCT2.1	26/04/2021	Approval of the policy of signing contracts with subsidiaries on sub-leasing the unused temporary business office area of VietinBank	100%
40	116/NQ-HĐQT-NHCT2.1	26/04/2021	Approval of agenda and materials for AGM 2021 of VietinBank Securities ( <i>a subsidiary of VietinBank</i> )	100%
41	117/NQ-HĐQT-NHCT2.1	26/04/2021	Approval of agenda and materials for AGM 2021 of VBI ( <i>a subsidiary of VietinBank</i> )	100%
42	118/NQ-HĐQT-NHCT2.1	27/04/2021	Approval of granting transaction limits and limit for receipt of guarantee to a financial institution	100%
43	126/NQ-HĐQT-NHCT2.1	04/05/2021	Approving the policy of handing over part of the land area and land-attached assets at the Binh Duong Industrial Park Branch Office to implement the project of upgrading and expanding DT-743 road (the section from Ong Cu Temple to Song Than intersection) in Di An city, Binh Duong province	100%
44	128/NQ-HĐQT-NHCT2.1	05/05/2021	The 1 <sup>st</sup> bond private placement of VietinBank in 2021	100%
45	129/NQ-HĐQT-NHCT2.1	05/05/2021	The 2 <sup>nd</sup> bond private placement of VietinBank in 2021	100%
46	130/NQ-HĐQT-NHCT2.1	06/05/2021	Approval of adjusting transaction limits to a financial institution	100%
47	131/NQ-HĐQT-NHCT2.1	06/05/2021	Approval of granting transaction limits and limit for receipt of guarantee to a financial institution	100%
48	136/NQ-HĐQT-NHCT2.1	12/05/2021	Approval of granting transaction limits to a financial institution	100%
49	137/NQ-HĐQT-NHCT2.1	13/05/2021	Approval of network issues	100%
50	139/NQ-HĐQT-NHCT2.1	13/05/2021	Approval of promulgation of Network Management Regulations	100%

51	140/NQ-HĐQT-NHCT2.1	13/05/2021	Approval of granting transaction limits and limit for receipt of guarantee to a financial institution	100%
52	141/NQ-HĐQT-NHCT2.1	13/05/2021	Approval of promulgation of the Regulation on granting and managing limits for credit institutions to replace Decision 1536	100%
53	143/NQ-HĐQT-NHCT2.1	14/05/2021	Approval of 2020 profit distribution for domestic subsidiaries	100%
54	146/NQ-HĐQT-NHCT2.1	14/05/2021	Approval of the implementation of Circular 03/2021/TT-NHNN on amending and supplementing a number of articles of Circular 01/2020/TT-NHNN dated March 13, 2020	100%
55	149/NQ-HĐQT-NHCT2.1	14/05/2021	Approval of the content of the 3 <sup>rd</sup> Amendment Agreement of Cooperation and Technical Support Agreement between VietinBank and MUFG Bank	100%
56	150/NQ-HĐQT-NHCT2.1	18/05/2021	Approval of credit limit granted to a corporate customer	100%
57	151/NQ-HĐQT-NHCT2.1	18/05/2021	Approval of granting transaction limits and limit for receipt of guarantee to a financial institution	100%
58	151A/NQ-HĐQT-NHCT2.1	18/05/2021	Approval of credit limit granted to a corporate customer	100%
59	153/NQ-HĐQT-NHCT2.1	21/05/2021	Approval of the maximum credit extension compared to the valuation value of the collateral at the credit extension product for corporate customers	100%
60	158/NQ-HĐQT-NHCT2.1	21/05/2021	Approval of the adjustment of reward levels and additional beneficiaries of superior reward regime	100%
61	163/NQ-HĐQT-NHCT2.1	31/05/2021	Approval of the plan to increase charter capital by issuing shares to pay dividends from profits after tax and fund appropriation of 2017 & 2018, and remaining profit after tax, fund appropriation and cash dividend of 2019	100%
62	167/NQ-HĐQT-NHCT2.1	02/06/2021	Approval of the issuance plan, the plan on using and repaying the capital collected from the bond issuance to the public in 2021 of VietinBank	100%
63	170/NQ-HĐQT-NHCT2.1	08/06/2021	Approval of granting transaction limits and limit for receipt of guarantee to a financial institution	100%

64	171/NQ-HĐQT-NHCT2.1	08/06/2021	Approval of the BHC Act/Volcker Rule Compliance Implementation Regulation	100%
65	176/NQ-HĐQT-NHCT2.1	11/06/2021	Approval of the plan to buy back the 10-year term bonds issued in 2016 and the 7-year term issued in 2019 of VietinBank	100%
66	177/NQ-HĐQT-NHCT2.1	11/06/2021	Approval of granting 2021 transaction limits to a financial institution	100%
67	179/NQ-HĐQT-NHCT2.1	11/06/2021	Approval of implementation of the plan to increase charter capital by issuing shares to pay dividend from profit after tax and after fund appropriation in accordance with regulations of 2017 & 2018, and remaining profit after tax, after fund appropriation in accordance with regulations and cash dividend of 2019	100%
68	181/NQ-HĐQT-NHCT2.1	14/06/2021	Approval of granting transaction limits to a financial institution	100%
69	186/NQ-HĐQT-NHCT2.1	16/06/2021	Approval of credit limit granted to a corporate customer	100%
70	188/NQ-HĐQT-NHCT2.1	17/06/2021	Approval of VietinBank's 2021 bond offering registration dossier set	100%
71	193/NQ-HĐQT-NHCT2.1	23/06/2021	Approval of the last registration date to issue shares to pay dividend from profit after tax and after fund appropriation in accordance with regulations of 2017 and 2018, and remaining profit after tax, after fund appropriation in accordance with regulations and cash dividend of 2019	100%
72	195/NQ-HĐQT-NHCT2.1	24/06/2021	Approval of granting transaction limits and limit for receipt of guarantee to a financial institution	100%
73	196/NQ-HĐQT-NHCT2.1	24/06/2021	Decision to apply e-invoice in VietinBank system	100%
74	197/NQ-HĐQT-NHCT2.1	24/06/2021	Regulations on invoices for goods procurement in VietinBank system	100%
75	200/NQ-HĐQT-NHCT2.1	25/06/2021	Approval of network issues	100%
76	201/NQ-HĐQT-NHCT2.1	25/06/2021	Approval of credit limit granted to a corporate customer	100%
77	203/NQ-HĐQT-NHCT2.1	28/06/2021	Approval of amendments to Regulations on legal consultancy activities in VietinBank system	100%
78	204/NQ-HĐQT-NHCT2.1	28/06/2021	The 3 <sup>rd</sup> bond private placement of VietinBank in 2021	100%

79	209/NQ-HĐQT-NHCT2.1	30/06/2021	Approval of the content of the Banker Blanket Bond and Electronic Computer Crime (BBB & ECC) Insurance Policy Contract within VietinBank system for the period of 2021 - 2022 between VietinBank and VietinBank Insurance Corporation - VBI ( <i>a subsidiary of VietinBank</i> )	100%
80	210/NQ-HĐQT-NHCT2.1	30/06/2021	Approval of the content of the Fidelity Insurance Contract within VietinBank system for the period of 2021 - 2022 between VietinBank and VietinBank Insurance Corporation - VBI ( <i>a subsidiary of VietinBank</i> )	100%
81	211/NQ-HĐQT-NHCT2.1	30/06/2021	Approval of the non-participation in monitoring the total inventory at some branches applied to regional internal control inspectors	100%

### III. Board of Supervisors

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

VietinBank's AGM 2021 approved the additional election of Ms. Nguyen Thi Thom to hold the position of Members of the Board of Supervisors of VietinBank for the term 2019 – 2024. Accordingly, as of 30/06/2021, the Board of Supervisors of VietinBank for the term 2019 – 2024 includes 4 following members:

No.	Members of Board of Supervisors	Position	Date becoming member of Board of Supervisors	Date ceasing to be member of Board of Supervisors	Qualification
1	Ms. Le Anh Ha	Chief	23/04/2019		Master of Economics and Public Management
2	Ms. Nguyen Thi Anh Thu	Member (full time)	23/04/2019		Bachelor in Banking & Finance
3	Mr. Nguyen Manh Toan	Member (full time)	23/04/2019		Master in Criminal Law, Criminology
4	Ms. Pham Thi Thom	Member (full time)	16/04/2021		Master in Banking & Finance

#### 2. Meetings of Board of Supervisors

In the first half of 2020, the Board of Supervisors held: (i) 06 periodical monthly meetings (offline or online) with the participation of members of the Board of Supervisors, assistant team and leader of Internal Control Department to implement works; (ii) 01 extraordinary meeting to assign

tasks in the Board of Supervisors after the additional election of a new member of the Board of Supervisors at the AGM 2021. Details are as follows:

No.	Members of Board of Supervisors	Number of meetings attended	Attendance rate	Voting rate	Reasons for absence
1	Ms. Le Anh Ha	7/7	100%	100%	
2	Ms. Nguyen Thi Anh Thu	7/7	100%	100%	
3	Mr. Nguyen Manh Toan	7/7	100%	100%	
4	Ms. Pham Thi Thom	3/3	100%	100%	Attended meetings of the Board of Supervisors since 16/04/2021 (start being a member of the Board of Supervisors)

### 3. Surveillance activities of the Board of Supervisors toward the BoD, BoM and shareholders

In the first 6 months of 2021, the Board of Supervisors implemented the tasks and rights set forth in VietinBank's Charter and Regulations on organization and operation of the Board of Supervisors. In general, the governance and management activities of the BoD and the BoM complied with the provisions of the Law on Credit Institutions, VietinBank's Charter and were implemented in accordance with the business orientation and objectives approved by the GMS.

The supervision of the Board of Supervisors was implemented through the followings:

- Supervising business activities and compliance with the provisions of law and the Charter in banking management and administration; the implementation of resolutions of the GMS;
- Appraising the audited 2020 FS of VietinBank which were independently carried out by Ernst & Young Vietnam Co., Ltd.;
- Updating the list of major shareholders and related persons of members of the BoD, members of the Board of Supervisors, and members of the BoM of VietinBank;
- Directing and supervision over Internal Audit;

The results of implementing some specific tasks are as follows:

#### 3.1. Supervising business operations, compliance with provisions of law and VietinBank's Charter in administration and management of VietinBank; and implementing resolutions of the GMS

The Board of Supervisors carried out regular and continuous monitoring activities through the following specific actions:

- *Supervise the implementation of resolutions of the GMS, update information on business activities of VietinBank, participate and exchange opinions at BoD's, BoM's meetings:* The

Board of Supervisors regularly monitored the implementation of resolutions of the GMS, attended and express opinions at regular meetings of the BoD, briefings of the BoM. In these meetings, the Board of Supervisors gave independent opinion and views on business performance data (compared with targets assigned by the GMS); shortcomings, risks in business operations and governance of VietinBank, then, recommending solutions to help the BoD and BoM fulfill the plan assigned by the GMS and tasks need implementing to overcome shortcomings. At the same time, regarding issues that need attention and strengthened control, the Board of Supervisors made specific recommendations to improve operational efficiency, ensure safe and sustainable growth. Generally, in the first half of 2021, the BoD and BoM directed and operated the business activities of VietinBank in accordance with the targets, in compliance with provisions of the Law on Credit Institutions and the Bank's Charter in governance and administration. The beginning of 2021 was also the period when VietinBank implemented and completed the Mid-term Business Plan MTBP 2021-2023, the Board of Supervisors directly participated in relevant discussion meetings, giving opinions to ensure the issued strategy in consistent with the overall strategy of the whole banking industry, developing the strengths that VietinBank has been doing, and at the same time, paving a roadmap to overcome the problems that need to be improved in order to develop the business in parallel with risk management, constantly improving service quality and creating value for customers and the bank.

- **Review of policy documents, BoD's resolutions:** The Board of Supervisors assigned one member to review BoD's resolutions sent to the Board of Supervisors and several material policy documents issued by the BoD & the CEO that posed comprehensive impact on the Bank's operation. After reviewing, the Board of Supervisors found that BoD's resolutions and policy documents were basically in accordance with provisions of law and VietinBank's Charter.
- **Supervision of data and results of Internal Audit:** Based on periodical internal audit findings reports and reports on result of each internal audit session provided by the Internal Audit Department, the Board of Supervisors reviewed and evaluated the issues recorded through audit activities, identified material issues, and reflected them in reports to the BoD and CEO at regular meetings.

### **3.2. Appraisal of financial statements**

Performing the functions and duties stipulated in VietinBank's Charter and the Regulation on Organization and Operation of the Board of Supervisors, in the first 6 months of 2021, the FS appraisal team was set up to review the audited FS for full year 2020. Through appraisal, the Board of Supervisors assessed the reasonableness, legality, honesty and the degree of caution in the work of accounting, statistics and preparing FS.

### **3.3. Updating list of affiliated persons**

Updating the list of affiliated persons of the BoD members, Board of Supervisors members, BoM members and shareholders owning at least 05% (five percent) of the voting shares of VietinBank was carried out by the Board of Supervisors periodically on the basis of coordination and information exchange with the Secretariat to the BoD and Investor Relations. The updated results show that VietinBank's list of affiliated persons in the first half of 2021 had several changes compared to that of year end 2020 due to some changes in the BoD members and Board of

Supervisors member for the term of 2019-2024 at AGM 2021. Specifically:

- Mr. Masashige Nakazono – was elected to become VietinBank Board Member for the term 2019-2024 from 16/04/2021;
- Mr. Shiro Honjo, no longer being VietinBank Board Member for the term 2014-2019 from 16/04/2021;
- Ms. Pham Thi Thom – was elected to become member of the Board of Supervisors of VietinBank for the term 2019-2024 from 16/04/2021.

This list was updated promptly by the Board of Supervisors and recorded properly in accordance with regulations.

### **3.4. Direction and supervision of Internal Audit Department's operations**

In the first 6 months of 2021, the Board of Supervisors regularly directed and supervised the Internal Audit Department's activities according to the approved functions, tasks and plans. High-level supervision of the Internal Audit Department was implemented through the role of the Person-in-charge in each internal audit team, thereby controlling the quality of audit activities, ensuring compliance with professional ethical standards as well as assessing the achievements/limitations of the Internal Audit Department to promptly draw experience through each audit team. Basically, the Internal Audit Department completed audits according to the approved plan. In addition to comprehensive audit teams at branches, the Board of Supervisors directed the Internal Audit Department to deploy bank-wide audits with specific topics; as a result, giving proposals and recommendations (based on audit results) to improve the effectiveness and efficiency of the internal control system.

Improving the quality of Internal Audit Department is one of the issues regularly focused by the Board of Supervisors. Accordingly, the Board of Supervisors directed and oriented the Internal Audit to renovate the method of risk identification, zoning the data to ensure the correct focus and focal point when performing the audit. At the same time, with the innovative application of the thinking approach to the components of the internal control system from 2019, the audit results not only assessed the compliance with legal documents, regulations, and processes but also identified and assessed throughout the issue according to 3 supervisory components of senior management, internal control, and risk management; therefore, analyze the nature of the cause of the problem and give appropriate, feasible and highly applicable proposals/ recommendations.

### **4. The coordination among the Board of Supervisors with the BoD, BoM and other management levels**

The Board of Supervisors regularly participated in regular meetings of the BoD, monthly briefings of the BoM, and participated as guests in a number of meetings of the Committees under BoD and Boards under BoM. The Board of Supervisors was also provided with documents and information on the Bank's management, administration and business operations for supervisory purpose. The Board of Supervisors closely coordinated with the BoD, BoM and other management levels in performing functions, duties, and exchanging information on the principle of compliance with the laws and internal regulations of VietinBank. Through supervision and internal audit, the Board of Supervisors made recommendations on measures to strengthen control, minimize risks, ensure compliance with legal regulations and internal regulations, contributing to improve the quality, efficiency and safety of banking operations. The BoD, BoM considered and directed relevant individuals and units to implement the recommendations made by the Board of Supervisors.

## 5. Other activities of the Board of Supervisors

Based on the changes of the Law on Enterprises and the Law on Securities, the Board of Supervisors directed the assistant team to the Board of Supervisors to study and amend the Regulation on organization and operation of the Board of Supervisors to ensure compliance with the law. At the AGM 2021, the GMS approved the revised contents and the full text of the Regulation. Pursuant to the Resolution of the AGM 2021, the Board of Supervisors signed and promulgated the Regulation on organization and operation of the Board of Supervisors, consolidating the amended and supplemented contents.

In the current period of strong banking digitalization, in addition to continuously maintaining and improving the quality and capacity of internal audit in traditional operations and activities, the Board of Supervisors directed the Internal Audit Department to focus and actively implement consulting projects to improve IT audit capacity to promptly adapt to new conditions, improve approaches, identify risks to prepare and implement IT audit plans.

## IV. Board of Management

No	Members of the BoM	Date of Birth	Qualification	Date of appointment/dismissal of the member of BoM
1	Mr. Tran Minh Binh	07/12/1974	Master in Business Administration	Appointed on 28/05/2014
2	Ms. Nguyen Hong Van	11/12/1969	Master in Banking & Finance	Appointed on 08/12/2018
3	Mr. Nguyen Hoang Dung	10/11/1962	Master in Economics	Appointed on 15/03/2011
4	Mr. Nguyen Duc Thanh	08/09/1970	Master in Economics	Appointed on 01/08/2012
5	Mr. Tran Cong Quynh Lan	16/01/1979	Master in Information Technology	Appointed on 05/03/2015
6	Mr. Nguyen Dinh Vinh	30/09/1980	Master in Business Administration	Appointed on 31/07/2015
7	Ms. Le Nhu Hoa	23/11/1969	Master in Finance, Banking and Insurance	Appointed on 01/08/2016
8	Mr. Masahiko Oki	02/08/1971	Bachelor of Arts in Business and Commerce	Appointed on 23/05/2020

## V. Chief Accountant

Full name	Date of birth	Qualification	Date of appointment/dismissal
Mr. Nguyen Hai Hung	13/12/1972	Bachelor in Economics, Chief	Appointed on

		Accountant Certificate	01/06/2011
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## **VI. Training on corporate governance**

VietinBank always considers the governance in business performance as well as the goal of safe and sustainable development to be important.

In the first 6 months of 2021, VietinBank's BoD, Board of Supervisors, BoM and Directors of Head Office departments/divisions attended online, virtual conferences and seminars organized by international consulting units, strategic partners to update, share knowledge and experience in banking management, deploy projects, activities to improve competence in risk management, HR management, financial management, payment activities development, application of digital technology to all activities of the bank, etc. Therefore, VietinBank's BoD, Board of Supervisors, BoM and other management levels kept updating new knowledge and corporate governance standards according to domestic and international practices to continuously improve, acquire, select and apply in practical situations of VietinBank's operation.

In the coming time, VietinBank will continue to study and deploy courses on corporate governance organized by the State Securities Commission and prestigious training institutions around the world for members of the BoD, BoM and all VietinBank's management levels to improve their knowledge of strategic management, aiming at building VietinBank as one of Vietnam's leading banks, promoting safe and sustainable development and proactive international integration.

## **VII. List of affiliated persons of VietinBank as specified in Clause 46, Article 4 of the Securities Law dated 26/11/2019 and transactions of affiliated persons of VietinBank with VietinBank**

### **1. List of affiliated persons of VietinBank**

*(Details are in Appendix 01 attached to this Report)*

### **2. Transactions between VietinBank and the affiliated persons or between VietinBank and major shareholders, internal persons and related person of internal person**

*(Details are in Appendix 02 attached to this Report)*

### **3. Transaction between internal person of VietinBank and VietinBank's subsidiaries, or the company in which VietinBank takes controlling power: *None***

### **4. Transactions between VietinBank and other parties**

4.1. Transactions between VietinBank and the company that members of BoD, the Board of Supervisors, CEO has been a founding member or members of BoD, CEO in three (03) years *(calculated at the time of reporting): None*

4.2. Transactions between VietinBank and the company that related person of members of BoD, the Board of Supervisors, CEO as a member of BoD, CEO: *None*

4.3. Other transactions of VietinBank *(if any)* may bring material or immaterial benefits for members of BoD, the Board of Supervisors, the CEO: *None*

## **VIII. Transactions of internal persons and their affiliated persons**

### **1. List of internal persons and their affiliated persons**

*(Details are in Appendix 03 attached to this Report)*

## 2. Transactions of internal persons and their affiliated persons on CTG:

No.	Person who performed transaction	Relationship with internal person	No. of shares owning at beginning of period (01/01/2021)		No. of shares owning at closing of period (30/06/2021)		Reason for increase/decrease
			No. of shares	Portion	No. of shares	Portion	
1	Tran Tien Duy	Brother of BoD Member Tran Thu Huyen	98	0.000003%	98	0.000003%	

### Notes:

- On 19/03/2021, Mr. Tran Tien Duy – an affiliated person of BoD Member, Ms. Tran Thu Huyen bought 12,000 shares of CTG on in the form of order-matching transactions on the market. The number and percentage of shares held after trading was 12,898 shares (0.00035%). On April 1, 2021, VietinBank reported the transaction results of CTG shares of the affiliated person of the internal person, Mr. Tran Tien Duy and publicly disclosed this report.
- After that, Mr. Tran Tien Duy performed transactions with CTG shares with a trading value below the level required to disclose information according to the provisions of Article 33, Circular 96/2020/TT-BTC dated November 16, 2020 regarding information disclosure on the stock market. At the end of the reporting period (June 30, 2021), the number of CTG shares Mr. Duy owned were 98 shares, equal to the number of shares Mr. Duy owned at the beginning of the reporting period (January 1, 2021) which were also 98 shares.

### **IX. Other significant issues:**

On 02/07/2021, VietinBank received Decision No.1156/QD-NHNN of the State Bank of Vietnam on the termination of 40% State ownership's representative at VietinBank of Mr. Le Duc Tho, Chairman of the BoD of VietinBank to implement new task as assigned by the Politburo in Decision No. 156-QDNS/TW dated 25/06/2021. This Decision took effect from 03/07/2021. Pursuant to Point d, Clause 1, Article 35 of the Law on Credit Institutions No. 47/2010/QH12 dated 16/6/2010 and Law No. 17/2017/QH14 dated 20/11/2017 amending and supplementing a number of articles of Law on Credit Institutions No. 47/2010/QH12 and Point d, Clause 1, Article 45, Charter of VietinBank, Mr. Le Duc Tho was no longer a member of VietinBank's Board of Directors from 03/07/2021. This information was announced by VietinBank in Official Dispatch No. 739/HĐQT-NHCT2.1 dated 03/07/2021 to the State Securities Commission, Ho Chi Minh City Stock Exchange and published on VietinBank's website.

On that basis, on 05/07/2021, VietinBank BoD promulgated Resolution No.222/NQ-HDQT-



NHCT1.2 on assigning Mr. Tran Van Tan, the BoD's member who representing 30% state ownership at VietinBank, to be in-charge of the operation of VietinBank's BoD since Mr. Le Duc Tho resigned from the position of Chairman of the BoD of VietinBank to take on a new task according to Decision No. 156/QDNS-TW dated 25/6/2021 of the Politburo. This information was announced by VietinBank in Official Dispatch No. 766/HĐQT-NHCT2.1 dated 05/07/2021 to the State Securities Commission, Ho Chi Minh City Stock Exchange and published on VietinBank's website.

**MEMBER OF THE BOARD OF DIRECTORS  
CUM GENERAL DIRECTOR**

**Recipients:**

- As mentioned above;
- BoD, BoM, Board of Supervisors  
(for reporting);
- Archive: Secretariat to the BoD,  
Archives office.

*(signed and sealed)*

**Tran Minh Binh**

**APPENDIX 01 (Disclosure)**  
**LIST OF AFFILIATED PERSONS OF VIETINBANK**

*From 01/01/2021 to 30/06/2021*

No.	Name of organization /individual	Securities trading account (if any)	Position	ID/Business registration No.	Date of issue	Place of issue	Address	Time of starting to be affiliated person	Time of ending to be affiliated person	Reasons	Relationship with the Company
<i>I- Affiliated persons - Members of the Board of Directors:</i>											
1	Le Duc Tho		Chairman of BoD Legal Representative					29/04/2014		- Appointed BoD member under 2014's AGM Resolution No.12/NQ-ĐHĐCĐ dated 29/04/2014; - Appointed Chairman of BoD (term 2014-2019) since 31/10/2018 under Resolution 568/NQ-HĐQT-NHCT1.2 dated 31/10/2018 of VietinBank's BoD. - Reappointed BoD member under 2019 and term 2019-2024's AGM Resolution No.20/NQ-ĐHĐCĐ dated 23/04/2019 and appointed Chairman of BoD under Resolution No.118/NQ-HĐQT-NHCT1.2 dated 23/04/2019 by VietinBank's BoDs.	Internal person
2	Tran Minh Binh		Board member CEO					08/12/2018		- Appointed BoD member under 2018's EGM Resolution No.19/NQ-ĐHĐCĐ dated 08/12/2018; - Reappointed BoD member under 2019 and term 2019-2024's AGM Resolution No.20/NQ-ĐHĐCĐ dated 23/04/2019.	Internal person
3	Tran Van Tan		Board member					23/04/2019		- Appointed BoD member under 2019 and term 2019-2024's AGM Resolution No.20/NQ-ĐHĐCĐ dated 23/04/2019.	Internal person
4	Tran Thu Huyen		Board member					24/07/2014		- Appointed BoD member under 2014's EGM Resolution No.999/NQ-ĐHĐCĐ on 24/07/2014; - Reappointed BoD member under 2019 and term 2019-2024's AGM Resolution No.20/NQ-ĐHĐCĐ dated 23/04/2019.	Internal person

No.	Name of organization /individual	Securities trading account (if any)	Position	ID/Business registration No.	Date of issue	Place of issue	Address	Time of starting to be affiliated person	Time of ending to be affiliated person	Reasons	Relationship with the Company
5	Nguyen The Huan		Board member					23/04/2019		- Appointed BoD member under 2019 and term 2019-2024's AGM Resolution No.20/NQ-ĐHĐCĐ dated 23/04/2019.	Internal person
6	Pham Thi Thanh Hoai		Board member					23/04/2019		- Appointed BoD member under 2019 and term 2019-2024's AGM Resolution No.20/NQ-ĐHĐCĐ dated 23/04/2019.	Internal person
7	Masahiko Oki		Board member Deputy CEO					23/05/2020		- Appointed BoD member under 2020 AGM Resolution No.21/NQ-ĐHĐCĐ dated 23/05/2020.	Internal person
8	Masashige Nakazono		Board member					16/04/2021		- Appointed BoD member under 2021 AGM Resolution No.23/NQ-ĐHĐCĐ dated 16/04/2021.	Internal person
9	Nguyen Thi Bac		Independent Board member					23/05/2020		- Appointed BoD member under 2020 AGM Resolution No.21/NQ-ĐHĐCĐ dated 23/05/2020.	Internal person
10	Shiro Honjo		Board member					23/05/2020	16/04/2021	- Appointed BoD member under 2020 AGM Resolution No.21/NQ-ĐHĐCĐ dated 23/05/2020. - Dismissed from BoD member under 2021 AGM Resolution No. 23/NQ-ĐHĐCĐ dated 16/04/2021	Internal person
<b>II- Affiliated persons - Members of the Board of Management</b>											
1	Tran Minh Binh		Board member CEO					28/05/2014		- Appointed Deputy CEO since 28/5/2014 under Decision No.6688/QĐ-HDQT-NHCT1 dated 28/05/2014 of VietinBank's BoD, - Appointed Acting CEO since 31/10/2018 under Decision No.1368/QĐ-HDQT-NHCT1.2 dated 31/10/2018 of VietinBank's BoD; - Appointed CEO since 08/12/2018 under Decision No.4468/QĐ-HDQT-NHCT1.2 dated 08/12/2018 of VietinBank's BoD. - Reappointed CEO since 23/04/2019 under Decision No 668/QĐ-HDQT-NHCT1.2 dated 23/04/2019 of VietinBank's BoD.	Internal person

No.	Name of organization /individual	Securities trading account (if any)	Position	ID/Business registration No.	Date of issue	Place of issue	Address	Time of starting to be affiliated person	Time of ending to be affiliated person	Reasons	Relationship with the Company
2	Nguyen Hong Van		Deputy CEO Head of Finance Division					08/12/2018		- Appointed Deputy CEO since 08/12/2018 under Decision No.4968/QĐ-HDQT-NHCT1.2 dated 08/12/2018 of VietinBank's BoD.	Internal person
3	Nguyen Hoang Dung		Deputy CEO					15/03/2011		- Appointed Deputy CEO under Decision No.188/QĐ-HDQT-NHCT1 dated 15/03/2011 of VietinBank's BoD. - Reappointed Deputy CEO under Decision No.1246/QĐ-HDQT-NHCT1.2 dated 10/10/2016 and Decision No. 686/QĐ-HDQT-NHCT1.2 dated 25/05/2021 of VietinBank's BoD.	Internal person
4	Nguyen Duc Thanh		Deputy CEO Head of Treasury Dealing and Capital Market Division					01/08/2012		- Appointed Deputy CEO under Decision No.1790/QĐ-HDQT-NHCT1 dated 01/08/2012 of VietinBank's BoD; - Reappointed Deputy CEO under Decision No.529/QĐ-HDQT-NHCT1.2 dated 11/09/2018 of VietinBank's BoD.	Internal person
5	Tran Cong Quynh Lan		Deputy CFO Head of IT Center					05/03/2015		- Appointed Deputy CEO under Decision No.159/QĐ-HDQT-NHCT1 dated 03/03/2015 of VietinBank's BoD. - Reappointed Deputy CEO under Decision No. 688/QĐ-HDQT-NHCT1.2 dated 27/04/2020.	Internal person
6	Nguyen Dinh Vinh		Deputy CEO Head of Risk Management Division					31/07/2015		- Appointed Deputy CEO under Decision No.1369/QĐ-HDQT-NHCT1.2 dated 30/07/2015 of VietinBank's BoD. - Reappointed Deputy CEO under Decision No. 1369/QĐ-HDQT-NHCT1.2 dated 07/08/2020 of VietinBank's BoD.	Internal person
7	Le Nhu Hoa		Deputy CEO					01/08/2016		- Appointed Deputy CEO under Decision No.369/QĐ-HDQT-NHCT1.2 dated 01/08/2016 of VietinBank's BoD.	Internal person
8	Masahiko Oki		Board member Deputy CEO					23/05/2020		- Appointed Deputy CEO under Decision No. 2568/QĐ-HDQT-NHCT1.2 dated 26/05/2020 of VietinBank's BoD	Internal person

No.	Name of organization /individual	Securities trading account (if any)	Position	ID/Business registration No.	Date of issue	Place of issue	Address	Time of starting to be affiliated person	Time of ending to be affiliated person	Reasons	Relationship with the Company
<b>III- Affiliated persons - Member of the Board of Supervisors:</b>											
1	Le Anh Ha		Head of the Board of Supervisors					23/04/2019		- Appointed Supervisory Board member under 2019 and term 2019-2024's AGM Resolution No.20/NQ-ĐHĐCĐ dated 23/04/2019 and appointed Head of Supervisory Board under Resolution No.01/NQ-BKS-2019 dated 23/04/2019 by VietinBank's Supervisory Board	Internal person
2	Nguyen Thi Anh Thu		Member of the Board of Supervisors					23/04/2019		- Appointed Supervisory Board member under 2019 and term 2019-2024's AGM Resolution No.20/NQ-ĐHĐCĐ dated 23/04/2019.	Internal person
3	Nguyen Manh Toan		Member of the Board of Supervisors					23/04/2019		- Appointed Supervisory Board member under 2019 and term 2019-2024's AGM Resolution No.20/NQ-ĐHĐCĐ dated 23/04/2019.	Internal person
4	Pham Thi Thom		Member of the Board of Supervisors					16/04/2021		- Appointed Supervisory Board member under 2021 AGM Resolution No.23/NQ-ĐHĐCĐ dated 16/04/2021.	Internal person
<b>IV- Affiliated persons - Chief Accountant</b>											
1	Nguyen Hai Hung		Chief Accountant					01/06/2011		Appointed Chief Accountant under Decision No.038/QĐ-HĐQT-NHCT1 dated 31/05/2011 of VietinBank's BoD. Reappointed Chief Accountant under Decision No.1245/QĐ-HĐQT-NHCT1 2 dated 10/10/2016 and Decision No. 586/QĐ-HĐQT-NHCT1.2 dated 25/05/2021 of VietinBank's BoD.	Internal person
<b>V- Affiliated persons - Person in charge of Corporate Governance cum Company Secretary</b>											
1	Do Trong Nghia		Chief of Office of the BoD cum Person in charge of Corporate Governance					31/10/2019		- Appointed Person in charge of Corporate Governance under Resolution No. 367/NQ-HĐQT-NHCT2.1 dated 31/10/2019 by VietinBank's BoD	Internal person

No.	Name of organization /individual	Securities trading account (if any)	Position	ID/Business registration No.	Date of issue	Place of issue	Address	Time of starting to be affiliated person	Time of ending to be affiliated person	Reasons	Relationship with the Company
<i>VI- Subsidiaries</i>											
1	VietinBank Insurance Joint Stock Company							12/12/2002			Subsidiary
2	VietinBank Gold and Jewellery Trading Company Limited							25/11/2010			Subsidiary
3	VietinBank Money Transfer Company Limited							06/10/2011			Subsidiary
4	VietinBank Asset Management Company Limited							20/07/2010			Subsidiary
5	VietinBank Fund Management Company Limited (VietinBank Capital)							26/10/2010			Subsidiary
6	VietinBank Leasing Company Limited							26/01/1998			Subsidiary
7	VietinBank Security Joint Stock Company							01/09/2000			Subsidiary
8	VietinBank Laos Ltd.							31/07/2015			Subsidiary
<i>VII - Associated company</i>											
1	Indovina Bank							29/10/1992			Associated company

APPENDIX 02 (Disclosure)

TRANSACTIONS BETWEEN VIETINBANK AND THE AFFILIATED PERSONS OR BETWEEN VIETINBANK AND MAJOR SHAREHOLDERS, INTERNAL PERSONS AND RELATED PERSON OF INTERNAL PERSON

From 01/01/2021 to 30/06/2021

No.	Name of organization/ individual	Relationship	ID/Business registration No., date of issue, place of issue	Address	Time of transactions	Resolutions No. approved by the AGM/BoD (if any, specify date of issue)	Content, quantity, total value of transaction	Note
1	VietinBank Insurance Joint Stock Company (VBI)	Subsidiary			26/03/2021	Resolution No. 028/NQ-HFQT-NHCT2.1 dated 03/02/2021	Approved the Insurance Agent contract on online application between VietinBank and VietinBank Insurance Joint Stock Corporation - VBI. The contract is non-monetary.	
2	Subsidiaries from No. 1-7 Part VI - Appendix 01	Subsidiary			Framework contract, no transaction time	Resolution No. 114/NQ-HĐQT-NHCT2.1 dated 26/04/2021	Approved the policy for the Head Office/Representative Offices/Branches to sign contracts with subsidiaries (including: VietinBank Gold & Jewellery; VietinBank Fund Management; VietinBank Securities; VietinBank Insurance; VietinBank Debt Management and Asset Exploitation; VietinBank Global Money Transfer; VietinBank Leasing) on the sublease of VietinBank's temporarily unused business office areas to serve as the headquarters, transaction offices for the business activities of the subsidiaries. The contract is non-monetary.	
3	VietinBank Insurance Joint Stock Company (VBI)	Subsidiary			01/07/2021	Resolution No. 209/NQ-HĐQT-NHCT2.1 dated 30/06/2021	Approved the Banker Blanket Bond and Electronic Computer Crime (BBB & ECC) Insurance Policy Contract within VietinBank system for the period of 2021 - 2022 between VietinBank and VietinBank Insurance Corporation - VBI (a subsidiary of VietinBank). Total contract value (including 10% VAT): 712.800 USD	
4	VietinBank Insurance Joint Stock Company (VBI)	Subsidiary			01/07/2021	Resolution No. 210/NQ-HĐQT-NHCT2.1 dated 30/06/2021	Approved the Fidelity Insurance Contract within VietinBank system for the period of 2021 - 2022 between VietinBank and VietinBank Insurance Corporation - VBI (a subsidiary of VietinBank). Total contract value (including 10% VAT): 11,132,000,000 VND	

APPENDIX 03 (Disclosure)  
LIST OF INTERNAL PERSONS AND THEIR AFFILIATED PERSONS  
From 01/01/2021 to 30/06/2021

No.	Name	Securities trading account (if any)	Position	ID No./ Passport No.	Date of issue	Place of issue	Address	Number of shares held (end of period)	Ownership percentage (end of period)	Note
<b>I- Affiliated persons of BoDs' members</b>										
1	Le Duc Tho		Chairman of BoD Legal Representative					31,527	0.001008%	
1.01	Le Hoc Thuc		Father					0	0%	
1.02	Ngo Thi Soi		Mother					0	0%	Passed away
1.03	Tran Van Nho		Father - in - law					0	0%	
1.04	Duong Thi Suu		Mother - in - law					0	0%	
1.05	Tran Thi Minh Vy		Wife					11,949	0.000321%	
1.06	Le Minh Duc		Son					0	0%	
1.07	Le Minh An		Daughter					0	0%	Childhood No ID
1.08	Le Trung Dung		Brother					0	0%	
1.09	Tran Thi Kim Thuy		Sister - in - law					0	0%	
1.10	Le Anh Tuan		Brother					0	0%	
1.11	Dang Thi Vinh Thanh		Sister - in - law					0	0%	
1.12	Le Kien Cuong		Brother					0	0%	
1.13	Nguyen Thi Thu Phuong		Sister - in - law					119,514	0.0032%	
1.14	State Bank of Vietnam		Representatives of 40% state ownership at VietinBank					960,081,982	25.79%	
2	Tran Minh Binh		Board member CEO					2,405	0.000065%	
2.01	Tran Minh Quyet		Father					0	0%	Passed away
2.02	La Thi Hien		Mother					0	0%	Passed away
2.03	Nguyen Quang Duc		Father - in - law					0	0%	
2.04	Nguyen Thi Ly		Mother - in - law					0	0%	
2.05	Nguyen Thi Le Hang		Wife					0	0%	
2.06	Tran Quang Phu		Son					0	0%	

No.	Name	Securities trading account (if any)	Position	ID No./ Passport No.	Date of issue	Place of issue	Address	Number of shares held (end of period)	Ownership percentage (end of period)	Note
2.07	Tran Khanh Uyen		Daughter					0	0%	Childhood No ID
2.08	Tran Thanh Tam		Sister					0	0%	
2.09	Phan Trong Tien		Brother - in - law					0	0%	
2.10	Tran Thien Ly		Sister					0	0%	
2.11	Le Thanh Liem		Brother - in - law					0	0%	
2.12	Tran Mai Huong		Sister					0	0%	
2.13	Duong Minh Hai		Brother - in - law					0	0%	
2.14	Tran Thanh Thuy		Sister					0	0%	
2.15	Tran Manh Tien		Brother					0	0%	
2.16	Mai Thi Quy		Sister - in - law					0	0%	
2.17	Tran Quoc Hiep		Brother					0	0%	
2.18	Duong Thi Do Quyen		Sister - in - law					0	0%	
2.19	State Bank of Vietnam		Representatives of 30% state ownership at VietinBank					720,061,487	19.34%	
<b>3</b>	<b>Tran Van Tan</b>		<b>Board member</b>					<b>0</b>	<b>0%</b>	
3.01	Truong Thi Y		Mother					0	0%	
3.02	Vu Xuan Lich		Father - in - law					0	0%	
3.03	Dinh Thi Thin		Mother - in - law					0	0%	
3.04	Vu Thi Thu Ha		Wife					0	0%	
3.05	Tran Truong Thao Van		Daughter					0	0%	
3.06	Tran Thi Phuong Anh		Daughter					0	0%	
3.07	State Bank of Vietnam		Representatives of 30% state ownership at VietinBank					720,061,487	19.34%	
<b>4</b>	<b>Tran Thu Huyen</b>		<b>Board member</b>					<b>1,429</b>	<b>0.00038%</b>	
4.01	Tran Dinh Mao		Father					0	0%	
4.02	Hoang Thi Ngan		Mother					0	0%	
4.03	Nguyen Huu Vuong		Father - in - law					0	0%	
4.04	Nguyen Thi Van Huong		Mother - in - law					0	0%	
4.05	Nguyen Huu Phuong		Husband					0	0%	
4.06	Nguyen Huu Duy Hoang		Son					0	0%	
4.07	Nguyen Lam Tam Anh		Daughter					0	0%	Childhood No ID

No.	Name	Securities trading account (if any)	Position	ID No./ Passport No.	Date of issue	Place of issue	Address	Number of shares held (end of period)	Ownership percentage (end of period)	Note
4.08	Nguyen Huu Tho		Son					0	0%	Childhood No ID
4.09	Tran Duc Minh		Brother					0	0%	
4.10	Luong Thanh Chuyen		Sister - in - law					0	0%	
4.11	Tran Tien Duy		Brother					98	0.000003%	
4.12	Tran Thi Hong Hanh		Sister - in - law					0	0%	
<b>5</b>	<b>Nguyen The Huan</b>		<b>Board member</b>					<b>0</b>	<b>0%</b>	
5.01	Nguyen The Hung		Father					0	0%	
5.02	Chu Thi Dao		Mother					0	0%	
5.03	Nguyen Ngoc Chuong		Father - in - law							Passed away
5.04	Daug Thi Lien		Mother in law					0	0%	
5.05	Nguyen Thi Phuong Chi		Wife					0	0%	
5.06	Nguyen Anh Phuong		Daughter					0	0%	
5.07	Nguyen Hoang Nam		Son					0	0%	Childhood No ID
5.08	Nguyen Thuy Nga		Sister					0	0%	
5.09	Hoang Van Lien		Brother - in - law					0	0%	
5.1	Nguyen The Huy		Brother					0	0%	
5.11	Pham Thi Minh Tu		Sister - in - law					0	0%	
<b>6</b>	<b>Pham Thi Thanh Hoai</b>		<b>Board member</b>					<b>92</b>	<b>0.000002%</b>	
6.01	Pham Tien Hung		Father					0	0%	
6.02	Nguyen Thi Nhuan		Mother					0	0%	
6.03	Pham Thi Thanh Huyen		Sister					0	0%	
6.04	Huynh Duc Thang		Brother - in - law					0	0%	
6.05	Pham Thi Thuy Hang		Sister					0	0%	
<b>7</b>	<b>Masahiko Oki</b>		<b>Board member Deputy CEO</b>					<b>0</b>	<b>0%</b>	
7.01	Keisuke Oki		Father							Passed away
7.02	Mutsuko Oki		Mother					0	0%	Medial Insurance Book
7.03	Katsutoshi Numata		Father - in - law					0	0%	Medial Insurance Book
7.04	Michiko Numata		Mother - in - law							Passed away
7.05	Emiko Oki		Wife					0	0%	

No.	Name	Securities trading account (if any)	Position	ID No./ Passport No.	Date of issue	Place of issue	Address	Number of shares held (end of period)	Ownership percentage (end of period)	Note
7.06	Yurina Oki		Daughter					0	0%	
7.07	Sakura Oki		Daughter					0	0%	
7.08	Ayaka Oki		Daughter					0	0%	
7.09	Mari Hasegawa		Sister					0	0%	
7.10	Toshiaki Hasegawa		Brother-in-law					0	0%	
8	<b>Masashige Nakazono</b>		<b>Board member</b>					0	0%	
8.01	Masamichi Nakazono		Father					0	0%	Driving license
8.02	Tomoko Nakazono		Mother					0	0%	Driving license
8.03	Masataka Tsuji		Father - in - law					0	0%	
8.04	Sumiko Tsuji		Mother - in - law					0	0%	
8.05	Tomomi Nakazono		Wife					0	0%	
8.06	Sakuroko Nakazono		Daughter					0	0%	
8.07	Masato Nakazono		Son					0	0%	
8.08	Yasuko Kabashima		Sister					0	0%	
8.09	Takehiro Kabashima		Brother-in-law					0	0%	
8.10	Hiroko Onozuka		Sister					0	0%	Driving license
8.11	Itaru Onozuka		Brother-in-law					0	0%	Driving license
9	<b>Nguyen Thi Bac</b>		<b>Independent Board member</b>					0	0%	
9.01	Nguyen Gia Han		Father					0	0%	War martyr
9.02	Do Thi Ban		Mother					0	0%	Passed away
9.03	Nguyen Van Van		Father - in - law					0	0%	Passed away
9.04	Bui Thi Nam		Mother - in - law					0	0%	
9.05	Nguyen Ngoc Hoa		Husband					0	0%	
9.06	Nguyen Ngoc Hai		Son					0	0%	
9.07	Nguyen Ngoc Dung		Son					0	0%	
<b>II- Affiliated persons of Board of Management's members</b>										
1	<b>Tran Minh Binh</b>		<b>Board member CEO</b>					<b>2,405</b>	<b>0.000065%</b>	
<i>(Please refer to Section I.2)</i>										
2	<b>Masahiko Oki</b>		<b>Board member Deputy CEO</b>					<b>0</b>	<b>0%</b>	
<i>(Please refer to Section I.7)</i>										
3	<b>Nguyen Hong Van</b>		<b>Deputy CEO Head of Finance Division</b>					<b>4,050</b>	<b>0.000109%</b>	

No.	Name	Securities trading account (if any)	Position	ID No./ Passport No.	Date of issue	Place of issue	Address	Number of shares held (end of period)	Ownership percentage (end of period)	Note
3.01	Nguyen Minh Khanh		Father							
3.02	Vo Hai Duong		Mother							
3.03	Nguyen Manh Lam		Father - in - law							Passed away
3.04	Tran Thi Thu		Mother - in - law							Passed away
3.05	Nguyen Manh Cuong		Husband					0	0%	
3.06	Nguyen Si Nguyen		Son					0	0%	
3.07	Nguyen Hong Lam		Brother					0	0%	
3.08	Pham Thuy Linh		Sister - in - law					0	0%	
3.09	VietinBank Insurance Joint Stock Company		Chairwoman of BoD							
<b>4</b>	<b>Nguyen Hoang Dung</b>		<b>Deputy CEO</b>					<b>1,024</b>	<b>0.000028%</b>	
4.01	Nguyen Van Dong		Father					0	0%	
4.02	Tran Thi Xua		Mother					0	0%	
4.03	Le Xuan Hieu		Father - in - law							Passed away
4.04	Tran Thi Nhan		Mother - in - law					0	0%	
4.05	Le Thi Nga		Wife					0	0%	
4.06	Nguyen Le Quynh		Daughter					0	0%	
4.07	Nguyen Le Huy Bao		Son					0	0%	
4.08	Nguyen Le Thuy		Sister					0	0%	
4.09	Nguyen Le Tuyen		Sister					0	0%	
4.10	Tran Thanh Liem		Brother - in - law					0	0%	
4.11	Nguyen Le Anh		Sister					0	0%	
4.12	Nguyen Hoang Vinh		Brother					0	0%	
4.13	Nguyen Hoang Vien		Brother					0	0%	
4.14	Vu Thi Au		Sister - in - law					0	0%	
4.15	Nguyen Le Hong		Sister					0	0%	
4.16	Nguyen Tran Hoa Binh		Brother					11	0.0000003%	
4.17	Mai Kim Loan		Sister in law					0	0%	
<b>5</b>	<b>Nguyen Duc Thanh</b>		<b>Deputy CEO Head of Treasury Dealing and Capital Market Division</b>					<b>0</b>	<b>0%</b>	
5.01	Nguyen Tuyen		Father					0	0%	Passed away
5.02	Tran Thi Nhung		Mother					0	0%	Passed away
5.03	Hoang Viet Thang		Father - in - law					0	0%	
5.04	Tran Thi Phuong Thao		Mother - in - law					0	0%	
5.05	Hoang Viet Phuong		Wife					6	0.0000002%	

No.	Name	Securities trading account (if any)	Position	ID No./ Passport No.	Date of issue	Place of issue	Address	Number of shares held (end of period)	Ownership percentage (end of period)	Note
5.06	Nguyen Minh Nga		Daughter					0	0%	Childhood No ID
5.07	Nguyen Hoang Quan		Son					0	0%	Childhood No ID
5.08	Nguyen Duc Huyen		Brother					0	0%	Passed away
5.09	Duong Thi Thai Ha		Sister - in - law					0	0%	
5.10	Nguyen Thi Khoa		Sister					0	0%	
5.11	Nguyen Duc Huy		Brother					0	0%	
5.12	Nguyen Thi Hien		Sister in law					0	0%	
5.13	Nguyen Duc Thanh		Brother					0	0%	
5.14	Do Thi Lan		Sister - in - law					0	0%	
5.15	Nguyen Thi Minh Thuy		Sister					0	0%	
5.16	Nguyen Viet Hoa		Brother - in - law					0	0%	
5.17	VietinBank Laos Limited		Chairman of BoD							
<b>6</b>	<b>Tran Cong Quynh Lan</b>		<b>Deputy CEO Head of IT Center</b>					<b>0</b>	<b>0.000000%</b>	
6.01	Tran Cong Minh		Father					0	0%	
6.02	Cao Thi Kim Dung		Mother					0	0%	
6.03	Huynh Van Cuong		Father - in - law							Passed away
6.04	Pham Thi Phi		Mother - in - law					0	0%	
6.05	Huynh Nu Tram Anh		Wife					0	0%	
6.06	Tran Cong Quoc Khai		Son					0	0%	Childhood No ID
6.07	Tran Cong Khai Ky		Son					0	0%	Childhood No ID
6.08	Tran Cong Duy Long		Brother					0	0%	
6.09	Tran Thu Trang		Sister - in - law					0	0%	
6.10	Tran Cong Thien Qui		Brother					0	0%	
6.11	Tran Nguyen Thuy Duong		Sister - in - law					0	0%	
6.12	Tran Cong Bao Phung		Brother					0	0%	
6.13	Tran Kanako		Sister - in - law					0	0%	
6.14	Tran Kim Quynh Tien		Sister					0	0%	
<b>7</b>	<b>Nguyen Dinh Vinh</b>		<b>Deputy CEO Head of Risk Management</b>					<b>0</b>	<b>0%</b>	
7.01	Nguyen Dinh Thao		Father					0	0%	
7.02	Vo Thi Hanh Thuc		Mother					0	0%	

No.	Name	Securities trading account (if any)	Position	ID No./ Passport No.	Date of issue	Place of issue	Address	Number of shares held (end of period)	Ownership percentage (end of period)	Note
7.03	Mai Trong Thang		Father - in - law					0	0%	
7.04	Nguyen Thi Kim Dung		Mother - in - law					0	0%	
7.05	Mai Thanh Loan		Wife					0	0%	
7.06	Nguyen Mai Chi		Daughter					0	0%	Childhood No ID
7.07	Nguyen Dinh Bach		Son					0	0%	Childhood No ID
7.08	Nguyen Dinh Son		Brother					0	0%	
7.09	Nguyen Vu Dieu Nga		Sister - in - law					0	0%	
7.10	VietinBank Money Transfer Company Limited		Chairman of BoD							
<b>8</b>	<b>Le Nhu Hoa</b>		<b>Deputy CEO</b>					<b>27,692</b>	<b>0.000744%</b>	
8.01	Le Xuan Son		Father					283	0.000008%	
8.02	Tran Thi Thuoc		Mother					0	0%	
8.03	Pham Van Cu		Father - in - law					0	0%	Passed away
8.04	Nguyen Thi Ham		Mother - in - law					0	0%	
8.05	Pham Duy Binh		Husband					0	0%	
8.06	Pham Thi Thuy Duong		Daughter					0	0%	
8.07	Pham Thi Bao Chau		Daughter					0	0%	
8.08	Pham Duc Luong		Son					0	0%	Childhood No ID
8.09	Le Thanh Mai		Sister					17,208	0.000462%	
8.10	Nguyen Huy Oanh		Brother - in - law					0	0%	
8.11	Le Hai Hiep		Brother					0	0%	
8.12	Do Thi Thu Hang		Sister - in - law					0	0%	
8.13	VietinBank Gold and Jewellery Trading Company Limited		Chairwoman							
<b>III- Affiliated persons of Members of the Board of Supervisors</b>										
<b>1</b>	<b>Le Anh Ha</b>		<b>Head of the Board of Supervisors</b>					<b>3,104</b>	<b>0.000083%</b>	
1.01	Le Huu Dien		Father					0	0%	Passed away
1.02	Dang Thi Luyen		Mother					0	0%	
1.03	Trinh Van Tan		Father - in - law					0	0%	
1.04	Nguyen Thi Oanh		Mother - in - law					0	0%	
1.05	Trinh Quoc Hung		Husband					0	0%	
1.06	Trinh Ha Anh		Child					0	0%	

No.	Name	Securities trading account (if any)	Position	ID No./ Passport No.	Date of issue	Place of issue	Address	Number of shares held (end of period)	Ownership percentage (end of period)	Note
1.07	Le Huu Tham		Brother					0	0%	
1.08	Le Thi Ha		Sister-in-law					0	0%	
1.09	Le Huu Thanh		Brother					0	0%	
1.10	Nguyen Thuy Ha		Sister-in-law					0	0%	
2	<b>Nguyen Thi Anh Thu</b>		<b>Member of the Board of Supervisors</b>					<b>36</b>	<b>0.000001%</b>	
2.01	Nguyen Van Thang		Father					0	0%	Passed away
2.02	Bui Thi My		Mother					0	0%	
2.03	Le Dinh Xuong		Father - in - law					0	0%	
2.04	Nguyen Thi Van Ha		Mother - in - law					0	0%	
2.05	Le Anh Tuan		Husband					0	0%	
2.06	Le Tuan Minh		Son					0	0%	
2.07	Le Tuan Dung		Son					0	0%	Childhood No ID
2.08	Nguyen Cong Thanh		Brother					0	0%	
2.09	Le Bich Thuy		Sister-in-law					0	0%	
2.10	Nguyen Quoc Trung		Brother					0	0%	
3	<b>Nguyen Manh Toan</b>		<b>Member of the Board of Supervisors</b>					<b>0</b>	<b>0%</b>	
3.1	Nguyen Van Luu		Father					0	0%	Passed away
3.2	Tran Thi Thanh		Mother					0	0%	
3.3	Truong Thinh		Father - in - law					0	0%	
3.4	Iran Thi Ihu		Mother - in - law					0	0%	
3.5	Truong Thi Thu Giang		Wife					0	0%	
3.6	Nguyen Thu An		Daughter					0	0%	
3.7	Tsen Hwan San		Son-in-law					0	0%	
3.8	Nguyen Thu Ha		Daughter					0	0%	
3.9	Nguyen Thi Lap		Sister					0	0%	Passed away
3.10	Cong Xuan Mui		Brother-in-law					0	0%	
3.11	Nguyen Huu Phuong		Brother					0	0%	
3.12	Nguyen Thi Ngoc Thuy		Sister-in-law					0	0%	
3.13	Nguyen Thi Thuy		Sister					0	0%	
3.14	Pham Trung Dung		Brother-in-law					0	0%	
4	<b>Pham Thi Thom</b>		<b>Member of the Board of Supervisors</b>					<b>0</b>	<b>0%</b>	

No.	Name	Securities trading account (if any)	Position	ID No./ Passport No.	Date of issue	Place of issue	Address	Number of shares held (end of period)	Ownership percentage (end of period)	Note
4.1	Pham Can		Father							Passed away
4.2	Pham Thi Khuya		Mother					0	0%	
4.3	Kim Ngoc		Father - in - law							Passed away
4.4	Nguyen Thi My		Mother - in - law							Passed away
4.5	Kim Duc Cuong		Husband					0	0%	
4.6	Kim Duc Minh		Son					0	0%	
4.7	Kim Huong Thao		Daughter					0	0%	
4.8	Pham Anh Tuan		Brother					0	0%	
4.9	Dao Thi Hien		Sister-in-law					0	0%	
4.10	Pham Thi Hoa		Sister					0	0%	Passed away
4.11	Dinh Dang Dinh		Brother-in-law					0	0%	
4.12	Pham Ngoc Chung		Brother					0	0%	
4.13	Nguyen Thi Hoa		Sister-in-law					0	0%	
4.14	Pham Tien Thuc		Brother					0	0%	
4.15	Nguyen Thuy Hai		Sister-in-law					0	0%	
4.16	Pham Van Tan		Brother					0	0%	
4.17	Vu Thi Nguyet		Sister-in-law					0	0%	
4.18	Pham Ngoc Thanh		Brother					0	0%	
4.19	Nguyen Thi Oanh		Sister-in-law							Passed away
4.20	Pham Thi Ngo		Sister					0	0%	
4.21	Ta Van Hien		Brother-in-law							Passed away
4.22	Pham Thu Tam		Brother					10	0.000003%	
4.23	Pham Thi Tra Ly		Sister-in-law					0	0%	
<b>IV- Affiliated persons of Chief Accountant</b>										
1	Nguyen Hai Hung		Chief Accountant					19,288	0.000518%	
1.01	Nguyen Minh Chau		Father					0	0%	
1.02	Nguyen Thi Lieu		Mother					0	0%	
1.03	Tran Van Bay		Father - in - law							Passed away
1.04	Pham Thi Lien		Mother - in - law					0	0%	
1.05	Tran Thanh Phuong		Wife					2,865	0.000077%	
1.06	Nguyen Phuong Ngan		Daughter					0	0%	
1.07	Nguyen Minh Nghia		Son					0	0%	Childhood No ID
1.08	Nguyen Manh Ha		Brother					0	0%	
<b>V- Affiliated persons of Person in charge of Corporate Governance cum Company Secretary</b>										

No.	Name	Securities trading account (if any)	Position	ID No./ Passport No.	Date of issue	Place of issue	Address	Number of shares held (end of period)	Ownership percentage (end of period)	Note
1	Do Trong Nghia		Chief of Office of the BoD cum Person in charge of Corporate Governance					0	0.000000%	
1.01	Do Van Ve		Father					0	0%	
1.02	Tran Thi Hoai		Mother					0	0%	
1.03	Le Sy Thanh		Father-in-law					0	0%	
1.04	Vu Bich Nga		Mother-in-law					0	0%	
1.05	Le Thanh Huong		Wife					0	0%	
1.06	Do Viet Anh		Son					0	0%	Childhood No ID
1.07	Do Gia Han		Daughter					0	0%	Childhood No ID
1.08	Do Thi Thoa		Sister					0	0%	
1.09	Nguyen Hoang		Brother-in-law					0	0%	
1.10	Do Tran Ngan Giang		Sister					0	0%	
1.11	Nguyen Thanh Tung		Brother-in-law					0	0%	