

# USER GUIDELINE FOR WTS PLATFORM



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#### **GUIDELINE FOR ONLINE TRADING**

(Online trading system on website is applicable for computer PC, Laptop)

#### I. LOGIN TO ACCOUNT

#### 1. LOGIN

Step 1: Access to the link <u>https://beta.kisvn.vn:8443/board</u> then choose "Log in" in the right corner of the screen:



Step 2: Import Information

- Account number
- Import password
- Choose the session timeout
- Import authentication code -> click "login".
- Change language by the guidelineon screen

| LOGIN                                | N.   |   |
|--------------------------------------|--|---|
| Username                             |  | language  |
| ≗ 057C                               |  | · ۲۲ · · · · ۲۲   |
| Password                             |  |   |
| A                                    | Login screen   |   |
| Session Timeout 8 hours              |  |   |
| Security Code                        | 1774   |   |
| 7812                                 | 2  |   |
| Forgot Password?                     |  |   |
| Don't have an Account? Open Account? |  |   |
| Login                                | - hand /   |   |
|                                      | Login<br>Usemarne<br>Session Timeout 8 hours<br>Security Code<br>Forgot Password?<br>Don't have an Account? Open Account | LOGIN<br>Username<br>o57C<br>Password<br>Session Timeout 8 hours •<br>Security Code<br>7 8 1 2 ©<br>Forgot Password?<br>Dort have an Account? |

After Login, the authentication box will display. If using Via SMS authentication method  $\rightarrow$  Enter the OTP code taken from the registered phone number message. If using the Via Notification authentication method  $\rightarrow$  Enter the OTP code taken from the APP (select "Save OTP" to not re-enter the authentication code every time you place an order, withdraw money, transfer money/stock internally between sub-accounts, cash advance) $\rightarrow$ Click "Confirm"





#### 2. FORGOT PASSWORD

Step 1: Click on the link "Forgot password?" on the login screen Step 2: Enter the required information and click "Confirm"

| LOGIN                                |                                |
|--------------------------------------|--------------------------------|
|                                      | Forgot Password<br>Account No. |
| Username                             | ▲ 057C                         |
| Password                             | ID/Passport No.                |
|                                      | ×                              |
| Session Timeout 8 hours              | ✓ New Password                 |
| Security Code                        |                                |
| 0213                                 | Confirm New Password           |
| Forgot Password?                     | میرد ( ا                       |
| Don't have an Account? Open Account? |                                |
| Login                                | Contirm                        |
|                                      |                                |

#### 3. CHANGE PASSWORD

To change "Password", Customers choose tab "Account info" (top left side of the screen) -> "Change Password".

| KIS Vi | et Nam<br>curities Corporation | Board | Account    | Information |
|--------|--------------------------------|-------|------------|-------------|
|        | Account Info                   |       | Authorized | Person Info |
|        | Customer Profile               | :     |            |             |
|        | Change Passwo                  | rd    |            |             |

## II. SEARCH FOR ACCOUNT INFORMATION AND CREATE WATCHLIST

#### 1. SEARCH FOR ACCOUNT INFORMATION

To quickly check the information of the sub-accounts, go to the tab Account/Account Information/Account Information

| <b>Fiet Nam Board</b><br>Recurities Corporation | Account Information                    |                                       |                                   |                       |
|---|--|---------------------------------------|-----------------------------------|-----------------------|
| Account Summary                                 | Portfolio                              | Asset Management                      | Order Book                        | Cash Transfer         |
| Account Summary                                 | Portfolio                              | <ul> <li>Asset Information</li> </ul> | <ul> <li>Order Book</li> </ul>    | Cash Transfer Request |
|   | Realized Portfolio                     | <ul> <li>Cash Statement</li> </ul>    | <ul> <li>Order History</li> </ul> |                       |
|   | <ul> <li>Position Statement</li> </ul> |                                       | Stop Order History                |                       |
|   |  |                                       | Order Confirmation                |                       |

The screen displays general information of sub-accounts: Normal account, margin account, derivative account.

| true friend KIS Viet Nam Board | Account   | Information        |                  |                |           |       |                 | Search Stock | Q        | C000001D1 | •        | <b>#</b> | C+ Logout |
|--------------------------------|-----------|--------------------|------------------|----------------|-----------|-------|-----------------|--------------|----------|-----------|----------|----------|-----------|
| Account Summary                | Portfolio |                    | Asset Management | Order Book     | Cash Tran | isfer |                 |              |          |           |          |          |           |
| Account Summary                |           |                    |                  |                |           |       |                 |              | Portfoli | Orders    | Asset Ma | nagement |           |
| Account                        |           | Total Stock Market | Value            | Unrealized P/L |           |       | Net Asset Value |              |          |           | PP       |          |           |
| C000001M1                      |           |                    |                  |                | 0         |       |                 | 0            |          |           |          |          |           |
| C000001M2                      |           |                    |                  |                |           |       |                 |              |          |           |          |          |           |
| C000001X1                      |           |                    |                  |                |           |       |                 |              |          |           |          |          |           |
| C000001D1                      |           |                    |                  |                |           |       |                 |              |          |           |          |          |           |
|                                |           |                    |                  |                |           |       |                 |              |          |           |          |          |           |

# 2. CREATE WATCHLIST

Way 1:

At the price board, Customers can create a list of stock symbol.

Step 1: Select the default field (on the right of the filed "add symbol")

Step 2: Name the Watchlist, for example: portfolio

Step 3: Enter the stock symbol Customers want to follow

Step 4: Move the mouse on the stock symbol to drag position or delete



|              | Viet Nam<br>Securities Corporation | Board | Account    | Information | n         |         |         |       |         |         |        |       |       |       |         | 1     | Search Stoc | k Q     | C00000 | 1D1    |          | ٥   | (+ Logout |
|--------------|------------------------------------|-------|------------|-------------|-----------|---------|---------|-------|---------|---------|--------|-------|-------|-------|---------|-------|-------------|---------|--------|--------|----------|-----|-----------|
|              |                                    |       |            |             |           |         |         |       |         |         |        |       |       |       | Main In | dex   |             |         |        |        |          |     |           |
|              |                                    |       |            |             |           |         |         |       |         |         |        |       |       |       | In      | dex   | Price       | 4 +/- 1 | v      | ol     | Val (mil | •)  |           |
|              |                                    |       |            |             |           |         |         |       |         |         |        |       |       |       | VNHNDE  | ĸ     |             |         |        |        |          |     |           |
|              |                                    |       |            |             |           |         |         |       |         |         |        |       |       |       | VN30    |       |             |         |        |        |          |     |           |
| 09n 10n 11h  |                                    |       | 5h 09h 1   |             |           |         |         |       |         |         |        |       |       |       | VN100   |       |             |         |        |        |          |     |           |
| VN-INDEX -   |                                    |       | 0 VN30     |             |           |         |         |       | VN100   |         |        |       |       |       |         |       |             |         |        |        |          |     |           |
| 0 Shares     | 0 Bi                               |       |            | 0 Shares    |           | 0       |         |       |         | 0 Share |        |       | O Bil |       |         |       |             |         |        |        |          |     |           |
| Add Symbol Q | portfolio 👻 VN30                   | + HNX | UPC        | OM Deriv    | vatives 👻 | Covered | Warrant | Put-T | hrough  | - Od    | dlot 👻 |       |       |       |         |       |             |         |        |        |          | •   |           |
| Sumbol Ceil  | portfolio                          |       |            | 8           | sid       |         |         |       | Matcheo |         |        |       | ٨     | sk    |         |       |             | Prices  | •      | Fore   | ign 🔸    | Ren | main      |
| Symbol Cell  | New Watchlist                      | + P   | rc 3 Vol 3 | Prc 2       | Vol 2     | Prc 1   | Vol 1   | Price | Vol     |         | Prc 1  | Vol 1 | Prc 2 | Vol 2 | Prc 3   | Vol 3 | High        | Avg     | Low    | Bought | Sold     | Buy | Sell      |



| true       | KIS   | Viet Nam<br>Securities | Corporatio              | Bo    | ard Ac | count    | nformatio  | n         |       |             |        |         |         |                  |       |       |       |         |       | Search Stoc | k Q     | C0000 | 01D1                    | •    | <b>i</b> |
|------------|-------|------------------------|-------------------------|-------|--------|----------|------------|-----------|-------|-------------|--------|---------|---------|------------------|-------|-------|-------|---------|-------|-------------|---------|-------|-------------------------|------|----------|
|            |       |                        |                         |       |        |          |            |           |       |             |        |         |         |                  |       |       |       | Main I  | ndex  |             |         |       |                         |      |          |
|            |       |                        |                         |       |        | Thursday | Mar 31, 20 | 22        |       |             |        |         |         |                  |       |       |       |         | ndex  | Price       | 4 +/- 1 |       | Vol                     | Val  | (mils)   |
|            |       |                        |                         |       |        | • no-na  | me: 0      |           |       |             |        |         |         |                  |       |       |       | VN-INDE |       |             |         |       |                         |      |          |
| 005 105    |       |                        |                         |       |        |          |            |           |       |             |        |         |         |                  |       |       |       | VN30    |       |             |         |       |                         |      |          |
| VN-INDEX - |       |                        |                         |       |        | VN30     |            |           |       |             |        | VN100   |         |                  |       |       |       | VN100   |       |             |         |       |                         |      |          |
| 0          |       |                        |                         | O BII |        |          |            |           |       | 0 Bil       |        |         |         |                  |       | O Bil |       |         |       |             |         |       |                         |      |          |
|            | -     |                        |                         |       |        |          |            |           |       |             |        |         |         |                  |       |       |       |         |       |             |         |       |                         |      |          |
| Add Symb   | ol Q  | portfolio              | <ul> <li>VN3</li> </ul> | 10 -  | HNX    | UPCO     | A Deri     | vatives • | Cove  | red Warrant | Put-Th | rough   | - Odd   | lot <del>-</del> |       |       |       |         |       |             |         |       |                         |      |          |
| Symbol     | Cell  | Floor                  | Ref                     | Total |        |          | E          | Bid       |       |             |        | Matched |         |                  |       | ٨     | sk    |         |       |             | Prices  |       | <ul> <li>For</li> </ul> | eign | e R      |
| oymbor     | UC.   | 11001                  | inc.                    | Vol   | Prc 3  | Vol 3    | Prc 2      | Vol 2     | Prc 1 | Vol 1       | Price  | Vol     | 4 +/- > | Prc 1            | Vol 1 | Prc 2 | Vol 2 | Prc 3   | Vol 3 | High        | Avg     | Low   | Bought                  | Sold | Buy      |
| AAT        |       |                        | 26.25                   |       |        |          |            |           |       |             | 26.25  |         |         |                  |       |       |       |         |       |             | 26.25   |       |                         |      |          |
| FLC        |       |                        | 13.50                   |       |        |          |            |           |       |             | 13.50  |         |         |                  |       |       |       |         |       |             | 13.50   |       |                         |      |          |
| FPT        |       |                        |                         |       |        |          |            |           |       |             |        |         |         |                  |       |       |       |         |       |             |         |       |                         |      |          |
| ABT        |       |                        | 150.00                  |       |        |          |            |           |       |             | 150.00 |         |         |                  |       |       |       |         |       |             | 150.00  |       |                         |      |          |
| PNJ        |       | 94.40                  | 101.40                  |       |        |          |            |           |       |             | 101.40 |         |         |                  |       |       |       |         |       |             | 101.40  |       |                         |      |          |
| BMP        | 79.60 | 69.20                  | 74.40                   |       |        |          |            |           |       |             | 74.40  |         |         |                  |       |       |       |         |       |             | 74.40   |       |                         |      |          |

Way 2:

Step 1: Select the item "Dashboard" on the right-side bar of the screen

Step 2: Name the Watchlist, for example: portfolio

Step 3: Enter the stock symbol Customers want to follow

Step 4: Move the mouse on the stock symbol to drag position or delete







#### III. APPLICATION OF STOCK ORDER

## 1. PLACE STOCK ORDER

In general, there are 3 methods to place order: (1) Place order horizontally, (2) Speed order, (3) Place order vertically.

| true Érier | <sup>nd</sup> KI | S Vie<br>Sec | t Nam<br>curities Co | orporation  | Boar  | d Ac  | count    | Inform   | nation  |        |         |          |           |          |       |       | Sea          | rch Stock | ٩     | C000  | 001M1   |          | NN     | Ø   | € Logo    | at |
|------------|------------------|--------------|----------------------|-------------|-------|-------|----------|----------|---------|--------|---------|----------|-----------|----------|-------|-------|--------------|-----------|-------|-------|---------|----------|--------|-----|-----------|----|
|            |                  |              | Account              | t Info      |       | A     | uthorize | d Person | Info    |        |         |          |           |          |       |       |              |           |       |       |         |          |        |     |           |    |
|            |                  |              | Cust                 | omer Profil | e     |       |          |          |         |        |         |          |           |          |       |       |              | Index     |       | Price | < +/- ▶ | V        | bl     | Va  | l (mils)  | •  |
|            |                  |              | Chan                 | ige Passwo  | rd    |       |          |          |         |        |         |          |           |          |       |       | VN-II<br>VN3 | NDEX      |       |       |         |          |        | (2) |           | П  |
| 09h 10h    |                  |              |                      |             |       | 10h   |          |          |         |        |         |          |           |          |       |       | VN1          | 00        |       |       |         |          |        |     |           | 9  |
| VN-INDE    | X -<br>Shares    |              | 0 6                  |             | ) VN  | 30 -  |          |          | 0 Bi    |        | 8) VN   | 100 -    |           |          | 0 Bil |       |              |           |       |       |         |          |        | (3) | ->        | 8  |
|            |                  |              |                      |             |       |       |          |          |         |        |         |          |           |          |       |       |              |           |       |       |         |          |        |     |           |    |
|            |                  | Watel        | hlist 👻              | VN30        |       | HNX   | • U      | PCOM     | Derivat | ives 👻 | Cov     | ered War | ant P     | ut-Throu | gh 👻  | Oddlo | t 🔻          |           |       |       |         |          |        |     |           |    |
| Ormhal     | 0.01             | Floor        | <b>D</b> =(          | . Total     |       |       | E        | Bid      |         |        |         | Matchee  | i         |          |       | A     | sk           |           |       |       | Prices  |          |        | F   | oreign    |    |
| Symbol     | Cell             | FIOOr        | Rei                  | Vol         | Prc 3 | Vol 3 | Prc 2    | Vol 2    | Prc 1   | Vol 1  | Price   | Vol      | 4 +/- )   | Prc 1    | Vol 1 | Prc 2 | Vol 2        | Prc 3     | Vol 3 | High  | Avg     | Low      | Bought | Sc  | bld       | R  |
| BID        |                  | 34.90        | 37.50                |             |       |       |          |          |         |        | 37.50   |          |           |          |       |       |              |           |       |       | 37.50   |          |        |     |           |    |
| BVH        |                  | 64.60        | 69.40                |             |       |       |          |          |         |        | 69.40   |          |           |          |       |       |              |           |       |       | 69.40   |          |        |     |           | 1  |
| CTG        |                  | 43.55        | 46.80                |             |       |       |          |          |         |        | 46.80   |          |           |          |       |       |              |           |       |       | 46.80   |          |        |     |           | 1  |
| FPT        |                  |              | 137.10               |             |       |       |          |          |         |        | 137.10  |          |           |          |       |       |              |           |       |       | 137.10  |          |        |     |           |    |
| GAS        |                  | 93.00        | 100.00               |             |       |       |          |          |         |        | 100.00  |          |           |          |       |       |              |           |       |       | 100.00  |          |        |     |           |    |
| HDB        |                  |              | 37.70                |             |       |       |          |          |         |        | 37.70   |          |           |          |       |       |              |           |       |       | 37.70   |          |        |     |           |    |
| HPG        |                  | 31.60        | 33.95                |             |       |       |          |          |         |        | 33.95   |          |           |          |       |       |              |           |       |       | 33.95   |          |        |     |           |    |
| KDH        | <b>(1)</b> 55.70 | 48.50        | 52.10                |             |       |       |          |          |         |        | 52.10   |          |           |          |       |       |              |           |       |       | 52.10   |          |        |     |           |    |
| MBB        | 44.90            |              | 42.00                |             |       |       |          |          |         |        | 42.00   |          |           |          |       |       |              |           |       |       | 42.00   |          |        |     |           |    |
| MSN 1      | 124.50           | 108.30       | 116.40               |             |       |       |          |          |         |        | 116.40  |          |           |          |       |       |              |           |       |       | 116.40  |          |        |     |           |    |
| 🏂 Plac     | e Order          | 页 08         | :49:01   2           | 8/03/2022   | HOSE  |       | HNX: C   |          | UPCOM:  |        | DR: ATO | Syster   | n: Connec | ted      |       |       |              |           |       |       | c       | order Bo | ok Ca  | sh  | Portfolio |    |

#### 1.1 Place Order horizontally

#### Place normal order: the following steps

- Step 1: Choose "Place Order" 2 Place Order on the bottom left side of the screen

- Step 2: Choose tab "Normal Order" (defaults to tab "Normal Order" after selecting "Place Order") => choose "Buy" / "Sell"

| Normal Order Stop Limit Order |  |  |                   |                         |
|-------------------------------|--|--|-------------------|-------------------------|
| BUY S                         | ELL Last: 25.20 (0%) Ref: 25.20 Ce         | il: 30.20 Floor: 20.20                 |                   | ?                       |
| Account No. C000001M1         | Symbol AAA (HOSE - AQ<br>Margin Ratio: 50% | Quantity 100 📜 ≡<br>Max Qty: 4,128,200 | Price 25.2        | Trading Value 2,520,000 |
|                               |  | 0                                      | Expiry Date       | Skip Confirm BUY        |
| A Place Order                 | 7 28/03/2022 HOSE: Closed HNX: (           | Closed UPCOM: Closed DR: ATO           | System: Connected |                         |



- Step 3:
- + Fundamental Trading => Choose sub-account X1 or M1
- + Derivative Trading => Choose sub-account D
- Step 4: Import stock code or Double click to choose stock code on Board.
- Step 5: Import Amount, Price

(Choose "Skip Confirm" if Customer wants to place order immediately and without checking details of placing order)

- Step 6: Choose Buy/Sell.

**Note:** If Customer wants to place order for other day or validity for many days => Choose "Expiry Date" and choose date (The selected date is the last effective date of the order, the order will be cancelled at the end of the day if it does not match, the order is valid up to 7

days from the current date)

After choosing Buy/Sell, the system will display placing order notification (Import Matrix card/OTP code if Customer does not save the authentication when logging in).

| Place Order Buy |           |        |
|-----------------|-----------|--------|
| Symbol          | AAA       |        |
| Order Type      |           |        |
| Quantity        |           |        |
| Price           |           |        |
| Trading Value   | 2,300,000 |        |
|                 | Confirm   | Cancel |

|                 | 6                |
|-----------------|------------------|
| Place Order Buy |                  |
| Symbol          | AAA              |
| Order Type      | LO               |
| Quantity        | 100              |
| Price           | 23,000           |
| Trading Value   | 2,300,000        |
| OTP 11          |                  |
| Remember OTP    | 8h 🔹             |
| 🔵 Via SMS       | Via notification |
| Sen             | d OTP            |
| Confirm         | Cancel           |

- Step 7: Choose "Confirm" to place order. Select "Cancel" to cancel the transaction. If the information matches the order placement conditions, the system displays the message "Order successfully" in the lower right corner of the screen. Customers can see the order status right after placing the order at the "Order Book" screen.

| Normal Order Stop Limit Order                               |  |                          |              |                  |                           |
|---|--|--------------------------|--------------|------------------|---------------------------|
| BUY SELL Last: 25   | 25.20 (0%) Ref: 25.20 Ceil: 30.20 Floo                   | or: 20.20                |              | ?                |                           |
| Account No. C000001M1       PP: 208,378,126,988      Margin | DI AAA (HOSE - AQ Quantity<br>in Ratio: 50% Max Qty: 4,1 | 100 📜 🚍 Price            | 25.2 Trading | Value 2,520,000  |                           |
|   |  | C Expiry Date            | ÷            | Skip Confirm BUY | Ŷ                         |
| 2 Place Order   | 22 HOSE: ATO HNX: LO UPCOM: LO                           | DR: LO System: Connected |              |                  | Order Book Cash Portfolio |

Hotline for customer support (84-28) 3914-8585 or Email cskh@kisvn.vn

| 5.80 |       |      |    | Mar | ch 2         | 022  | 2   | ).  |
|------|-------|------|----|-----|--------------|------|-----|-----|
|      |       | Su   | Мо | Tu  | We           | Th   | Fr  | Sa  |
|      |       | 27   | 28 | 1   | 2            | 3    | 4   | 5   |
|      |       | 6    | 7  | 8   | 9            | 10   | 11  | 12  |
|      |       | 13   | 14 | 15  | 16           | 17   | 18  | 19  |
|      |       | 20   | 21 | 22  | 23           | 24   | 25  | 26  |
|      |       | 27   | 28 | 29  | 30           | 31   | 1   | 2   |
|      |       |      |    |     | $\mathbf{M}$ |      |     |     |
|      | Expir | y Da | te |     | 29/          | 03/: | 202 | 2 🛗 |

**Note**: Customers can place SELL orders in another way as follows:

In the "Portfolio" select "Sell" the stock codes that you need to make a transaction. After selecting the "Sell" button, the "Place Order" screen will be displayed. Same steps as above starting from Step 2.

#### Stop limit order: Application for fundamental trading (Sub account X1 and M1)

- A stop-limit order is an order to wait for buying or selling a stock, the buy/sell order will be activated as soon as the market price hits the pre-set price, called the stop price. When the market price reaches the point, the buy/sell order will be triggered, and the order will be sent automatically with the set price as Limit Price.

- Stop price: the conditional price to trigger the order, when the market price reaches the stop price, the customer's order will be sent.

- Limit price: when the order is triggered and sent, the order will be sent with the set price of the limit price chosen by the customer.

- Note:

+ After placing conditional orders, to manage conditional orders, the Customer will go to Accounts\Order Book\Stop Order History to view the list of placed conditional orders or cancel/modify orders.

+ After triggering conditional order, it will generate a sub-order, and sends a normal order, the normal order will be managed on the "Order book" screen. At this time, the conditional order has completed the task (cannot be canceled or modified anymore), the Customer can check the information, cancel/ modify the sub-order (if the sub-order has not been matched)

+ For buy order: Stop price > Market price.

+ For sell order: Stop price < Marketprice.

- For example:

The price of HPG is 50,000 VND, investors expect that if the HPG price rises to 60,000 VND, it will overcome the resistance level and investors will place a buy order (with a buying price of 61,000 VND). Thus, investors can place a stop limit order to trigger a buy order when the HPG price is above 60,000 VND. Investors can place orders as follows:

+ Choose order type: Stop limit order

+ Choose: Buy

- + Amount: Investors enter the buying amount (for example: 1,000 stocks).
- + Stop price: 60,000 VND (When the market reaches this price, the investor's buy order will

be activated)

+ Limit price: 61,000 VND (When a buy order is activated, the order will be sent with a set price of 61,000 VND)

<u>Case 1</u>: The market price is from 50,000 VND to 60,000 VND, because the market price has touched the stop price => the investor's buy order is triggered, the system will send a sub-order (normal order) to the Stock Exchange with the following information:

- o Order: Buy
- o Amount: Investors enter the chosen amount (in the example above, it is 1,000 stocks)
- o Price: 61,000 VND

<u>Case 2</u>: When the validity time of the order is over and the market price does not reach 60,000 VND, the conditional order will expire without any orders being sent to the Stock Exchange.

| Normal Order Stop Limit Order   |  |   |                 |                  |            |                |
|---|--|---|-----------------|------------------|------------|----------------|
| BUY SELL  | Last: 25.20 (0%) Ref: 25.20 Cei  | I: 30.20 Floor: 20.20   |                 |                  | ?          |                |
| Account No. C000001M1 -<br>PP: 208,378,126,988<br>Trading Value 2,520,000 | Symbol         AAA (HOSE - A_Q)           Margin Ratio: 50%           From Date         28/03/2022 fm) | Quantity         100         Image: Constraint of the second secon | Stop Price 25.3 | Limit Price 25.2 |            |                |
| 2 Place Order 👳 09:11:04   28   | /03/2022 HOSE: ATO HNX: LO   | UPCOM: LO DR: LO System: Conn   | nected          |                  | Order Book | Cash Portfolio |

Place order by the following steps:

- Step 1: Choose "Place order" <sup>2</sup> Place Order on the bottom left side of the screen.
- Step 2: Choose account (Sub-account X1 or M1)
- Step 3: Choose tab "Stop limit Order" => Choose Buy/Sell
- Step 4: Import stock code or Double click to choose stock code on Price board.
- Step 5: Choose Amount

Step 6: Choose Stop Price and Limit Price => Choose date (From date and End date)
 (Choose "Skip Confirm" if Customer wants to place order immediately and without checking details of placing order)

Symbol Quantity

Stop Price Limit Price

From Date

- Step 7: Choose Buy/Sell

After choosing Buy/Sell, the system will display placing order notification (Import Matrix card/OTP code if Customer does not save the authentication when logging in)

- Step 8: Choose "Confirm" to place order.

Cancel

**Note:** Conditional order is only activated once, so after the order is activated, if the order is not filled that day, the remaining amount will be canceled. Orders will not continue to be sent to the Exchange the next day, even if the end date has not been come.

#### **Conditional order: Application for Derivative trading (Sub-account D)**

- Step 1: Choose "Place order" <sup>2</sup> Place Order on the bottom left side of the screen.
- Step 2: Choose account (Sub-account D)
- Step 3: Choose tab "Conditional Order".
- Step 4: Choose Buy/Sell
- Step 5: Choose Stock Index Future Contract in Symbol Box
- Step 6: Choose "Conditional Type"
- Step 7: Import Amount => Import "Stop Price" => Import "Limit Price"
- Step 8: Choose date ("From date" and "End date")

(Choose "Skip Confirm" if Customer wants to place order immediately without checking details of placing order)

- Step 9: Choose Buy/Sell

After choosing Buy/Sell, the system will display placing order notification (Import Matrix card/ OTP code if Customer does not save the authentication when log in).

- Step 10: Choose "Confirm" to place order.



#### 1.2 <u>Speed order</u>

- Step 1: Choose "Speed Order" in the vertical bar on the right side of the screen

- Step 2:

+ Fundamental Trading => Choose sub-account X1 or M1

+ Derivative Trading => Choose sub-account D

- Step 3: Import stock code or One click choose stock code on Price board

- Step 4: Import Amount of Buy/Sell

- Step 5: Choose Price with different price range on the trading box

**Note**: Choose "One Click" to place order by one click; If Customer does not choose "One Click", then double click to place order

+ Buy/Stop buy order => Click on green box

+ Sell/Stop sell order => Click on red box

+ When stop order is triggered, it will send a sub-order at the market price (MP for securities stocks of HOSE, MTL for derivatives and securities stock of HNX, and floor price for

securities stocks of UPCOM)

(Choose "Skip Confirm" if Customer wants to place order immediately without checking details of placing order) After Click, the system will display placing order notification.

- Step 6: Choose "Confirm" to place order

## 1.3 <u>Place order vertically</u>

#### **\*** Normal order:

- Step 1: Choose "Place order"

in the vertical bar on the right side of the

screen.

Place Order





The following steps are similar to "Place Normal Order" in Section 1.1: Place order horizontally

#### $\dot{\mathbf{v}}$ Stop limit order: Application for Fundamental trading (Sub-account X1 and M1)

Place Order in the vertical bar on the right side of the Step 1: Choose "Place order" \_ screen.

Step 2: Choose account (Sub-account X1 or M1) \_

Step 3: Choose tab "Stop Limit Order". \_

The following steps are similar to "Stop Limit Order" in Section 1.1: Place order horizontally

#### \* **Conditional order: Application for Derivative trading (Sub-account D)**

Place Order in the vertical bar on the right side of the Step 1: Choose "Place order" screen

- Step 2: Choose account (Sub-account D) -
- Step 3: Choose tag "Conditional Order" \_
- The following steps are similar to "Conditional Order" in Section 1.1: Place order

20.20

25.2

#### horizontally



#### 2. CANCEL/MODIFY STOCK ORDER

There are 3 ways to Cancel/Modify order:

- In "Order Book" ("Order Book" display in tab "Account")
- In "Order Book" (bottom right corner of the screen)
- On the Speed order screen
- 2.1 <u>Cancel/Modify order in "Order Book" displays in tab "Account"</u>

Choose "Order Book" in tab "Account" (on the left-hand side of the screen)

To Conditional order which has not been triggered, Customer go to tab of Stop Order History to modify/cancel order. When stop order is triggered, the sub-order is sent automatically as normal order that is managed in "Order Book". Customer can modify orders in there. Display "Order Book"

| true Friend KIS Vi     | et Nam Board<br>curities Corporation | Account Information                      |                                       |  | Search Sto                         | ck Q C000001M1                          | - 🕌 💿 🔂 Logout      |
|------------------------|--------------------------------------|--|---------------------------------------|--|------------------------------------|---|---------------------|
|                        | Account Summary                      | Portfolio                                | Asset Management                      |  | Withdraw Money                     | Right Exercise                          |                     |
|                        | <ul> <li>Account Summary</li> </ul>  | Portfolio                                | <ul> <li>Asset Information</li> </ul> | Order Book                             | <ul> <li>Withdraw Money</li> </ul> | <ul> <li>Right Information</li> </ul>   |                     |
| Order Book             |                                      | <ul> <li>Securities Statement</li> </ul> | Cash In Advanced                      | Order History                          |                                    | <ul> <li>Right Subscriptions</li> </ul> | Management (?) Help |
| Order Book Order Histe |                                      | <ul> <li>Stock Transfer</li> </ul>       | <ul> <li>Cash Statement</li> </ul>    | Stop Order History                     |                                    |   |                     |
|                        |                                      |  | Loan Detail                           | <ul> <li>Order Confirmation</li> </ul> |                                    |   |                     |

Following steps:

| Or | der I | Book   |       |                |                |                |             |                     |               |                       |            |               |               | Portfo    | olio Orders Asset   | Management | (?) Help |
|----|-------|--------|-------|----------------|----------------|----------------|-------------|---------------------|---------------|-----------------------|------------|---------------|---------------|-----------|---------------------|------------|----------|
|    | Orde  | Book   |       |                |                |                |             |                     |               |                       |            |               |               |           |                     |            |          |
|    | ccou  | int No | . C00 | 0001X1         | • Syn          | nbol           | ×           | Buy/Sell A          | I -           | Status All            | •          | Query         |               |           |                     |            |          |
| C  | Cli   | ck to  | box   | Symbol<br>Code | Buy/Sell Order | Order Quantity | Order Price | Matched<br>Quantity | Matched Price | Unmatched<br>Quantity | Order Type | Order Status  | Matched Value | Order No. | Order Time          | Validity   |          |
| C  | ו     | / )    |       | N              |                | 5,001          | 27,000      |                     |               | 5,001                 | LO         | Ready to send |               | 20612140  | 09:27:00 28/03/2022 |            |          |
|    |       | / >    | AA    | Modify         | /Cancely       | 300            | 29,200      |                     |               | 300                   |            | Ready to send |               | 20612127  | 09:24:19 28/03/2022 |            |          |
|    |       | / 1    | AA    |                | BUY            | 300            | 29,150      |                     |               | 300                   | LO         | Ready to send |               | 20612126  | 09:24:16 28/03/2022 |            |          |
|    |       | / >    | AA    | A              | BUY            | 300            | 29,950      |                     |               | 300                   | LO         | Ready to send |               | 20612125  | 09:24:01 28/03/2022 |            |          |
|    |       | / )    |       | A              | BUY            | 300            | 25,300      |                     |               | 300                   | LO         | Ready to send |               | 20612124  | 09:23:50 28/03/2022 |            |          |
|    |       | / 2    | AA    | A              | BUY            | 300            | 25,700      | 1                   | 0             | 300                   | LO         | Ready to send | 0             | 20612123  | 09:23:48 28/03/2022 | -          | View     |

- Step 1: Choose sub-account (X1, M1 or D)
- Step 2: Choose stock code, Buy/Sell order, Status, Validity => Choose "Query".
- Step 3: Choose stock box to Cancel/Modify.

- Step 4: Choose **1** to modify order:

| Modify Normal Orde | r              |
|--------------------|----------------|
| Symbol             | AAV            |
| Order Side         | SELL           |
| Order Type         | LO y           |
| Order Quantity     | 200 🗘          |
|                    | Max Qty: 0     |
| Order Price        | 18.8           |
| Trading Value      | 3,760,000      |
|                    | Confirm Cancel |

Modify Order

- The system will display the notification of Modify normal order => Modify price, quantity
- Import Matrix card/OTP code (if Customer does not save the authentication when logging

in) and choose "**Confirm**" to modify order or "**Cancel**" to skip modify order. The notification will display when modify order is successful

+ Choose to cancel order

• The system will display the notification of Cancel normal order.

o Import Matrix card/OTP code (if Customer does not save

the authentication when log in) and choose "**Confirm**" to Modify order or "**Cancel**" to skip modify order. The notification will display when modify order is successful

Cancel Order
 Order successfully canceled

Note: To Cancel some waiting orders or all waiting orders

The following steps:

- Step 1: Choose the stock needs to cancel or Choose all => Choose "Cancel" (the bottom left corner of the screen)

| Ord | er Bool  | ¢.             |                |                |             |                     |               |                       |            |               |               | Portfo    | olio Orders Asset M | fanagement | Help |
|-----|--|----------------|----------------|----------------|-------------|---------------------|---------------|-----------------------|------------|---------------|---------------|-----------|---------------------|------------|------|
| Q   | Order Book Order History Stop Order History Order Confirmation |                |                |                |             |                     |               |                       |            |               |               |           |                     |            |      |
| Ac  | count N  | c. C000001X1   | - − Syr        | mbol           |             | Buy/Sell A          | II -          | Status All            |            | Query         |               |           |                     |            |      |
|     |  | Symbol<br>Code | Buy/Sell Order | Order Quantity | Order Price | Matched<br>Quantity | Matched Price | Unmatched<br>Quantity | Order Type | Order Status  | Matched Value | Order No. | Order Time          | Validity   |      |
|     | 1  | VAA 🔀          |                | 5,001          | 27,000      |                     |               | 5,001                 | LO         | Ready to send |               | 20612140  | 09:27:00 28/03/2022 |            |      |
|     |  | AAA 📕          |                | 300            | 29,200      |                     |               | 300                   |            | Ready to send |               | 20612127  | 09:24:19 28/03/2022 |            |      |
|     |  |                | BUY            | 300            | 29,150      |                     |               | 300                   | LO         | Ready to send |               | 20612126  | 09:24:16 28/03/2022 |            |      |
|     |  | 84A            | BUY            | 300            | 29,950      | 1                   |               | 300                   | LO         | Ready to send |               | 20612125  | 09:24:01 28/03/2022 |            |      |
|     |  | AAA 📕          | BUY            | 300            | 25,300      | 1                   |               | 300                   | LO         | Ready to send |               | 20612124  | 09:23:50 28/03/2022 |            |      |
|     |  |                | BUY            | 300            | 25,700      |                     |               | 300                   | LO         | Ready to send |               | 20612123  | 09:23:48 28/03/2022 |            |      |

- Step 2: The system displays the notification box => Choose "Confirm"

| Multiple Order Can | cel Confirmation |        |          |                    |               |          |
|--------------------|------------------|--------|----------|--------------------|---------------|----------|
| Symbol Code        | Buy/ Sell Order  | Price  | Quantity | Unmatched Quantity | Status        | Time     |
| AAV                | SELL             | 27,000 | 5,001    | 5,001              | READY_TO_SEND | 16:27:00 |
| AAA                | BUY              | 29,200 | 300      | 300                | READY_TO_SEND | 16:24:19 |
| AAA                | BUY              | 29,150 | 300      | 300                | READY_TO_SEND | 16:24:16 |
| AAA                | BUY              | 29,950 | 300      | 300                | READY_TO_SEND | 16:24:01 |
| AAA                | BUY              | 25,300 | 300      | 300                | READY_TO_SEND | 16:23:50 |
| AAA                | BUY              | 25,700 | 300      | 300                | READY_TO_SEND | 16:23:48 |
|                    |                  |        |          |                    | Confirm       | Cancel   |

| Hotline for customer support | (84-28) | 3914-8585 | or Email | cskh@kisvn   | vn     |
|------------------------------|---------|-----------|----------|--------------|--------|
| for customer support         | (07-20) | 5717-0505 | or Eman  | CSKIIWKISVII | • • 11 |

| Moc | lify Order Success |         |             |
|-----|--------------------|---------|-------------|
|     | Cancel normal or   | der     | e           |
|     | Symbol             |         | AAV         |
|     | Order Side         |         | SELL        |
| .1  | Order Type         |         | LO          |
| 11  | Order Quantity     |         | 5,001       |
|     | Order Price        |         | 27,000      |
|     | Trading Value      |         | 135,027,000 |
| e   |                    | Confirm | Cancel      |

×

#### 2.2 <u>Cancel/Modify order in "Order Book" in the bottom right corner of the screen</u>

- Choose "Order Book" in the bottom right corner of the screen to check in-day order
- Display "Order Book" Order Book Cash Portfolio
- Choose stock code needs to Cancel/Modify

- Choose to Modify order or Cancel order similar to the guideline from Step 4 in Section 2.1

| Order Bo | ook    |     |           |                  | ⊕ C ∨          |
|----------|--------|-----|-----------|------------------|----------------|
|          | Symbol | B/S | M.Qty/Qty | Ordered<br>Price | Status         |
| 1 🗙      | AAV    |     | 1/5,001   | 27,000           | Ready to send  |
| / 🗙      | AAA    |     | 1/300     | 29,200           | Ready to send  |
| / 🗙      | AAA    |     | 1/300     | 29,150           | Ready to send  |
| / 🗙      | AAA    |     | 1/300     | 29,950           | Ready to send  |
| / ×      | AAA    |     | 1/300     | 25,300           | Ready to send  |
| / 🗙      | AAA    |     | 1/300     | 25,700           | Ready to send  |
|          |        |     |           |                  |                |
|          |        |     | Orde      | er Book          | Cash Portfolio |
|          |        |     |           |                  |                |

#### 2.3 <u>Cancel/Modify order on Speed order screen</u>

#### Modify order on Speed order screen

- Step 1: Choose "Speed Order" in the vertical bar on the right side of the screen.

- Step 2: On the "Speed Order" box, click on the price box and the amount needs to modify.

- Step 3: Drag and drop the mouse to move the amount to the new price box that needs to be changed.

- Step 4: The system will display modify order notification

| 1 | Move Buy Order |         |        |
|---|----------------|---------|--------|
| 1 | Symbol         | AAA     |        |
| 1 | Quantity       |         |        |
| 1 | Sell/Buy       |         |        |
| 1 | Old Price      | 25,300  |        |
| 1 | Price          | 25,200  |        |
|   |                | Confirm | Cancel |



- Step 5: Import Matrix card/OTP code (if customer does not save the authentication when logging in) and choose **"Confirm"** to Modify order or **"Cancel"** to skip modify order.

#### Cancel order on Speed order screen

- Step 1: Click on the box and stock price needs to cancel and drag and drop the mouse out of placing order screen to cancel.

- Step 2: The system displays the confirmation form to cancel Speed order

- Step 3: Import Matrix card/OTP code (if Customer does not save the authentication when log in) and choose **"Confirm"** to cancel order or **"Cancel"** to skip cancel order.

|                       |      |                 |               |               |               |           | Quantity      |       |          |
|-----------------------|------|-----------------|---------------|---------------|---------------|-----------|---------------|-------|----------|
|                       |      |                 |               |               | F             | Cancel Bu | ıy Order      |       |          |
|                       |      |                 |               |               |               | Symbol    | AAA           |       |          |
| Status A              | AII  | -               | Query         |               |               | Quantity  | 300           |       |          |
| Unmatche              | ed   | Order Type      | Order Status  | Matched Value | Order No      | Sell/Buy  | BUY           |       |          |
| Quantity<br>5,0       | 001  | LO              | Ready to send | 0             | 20612         | Price     | 25,300        |       |          |
| :                     | 300  | LO              | Ready to send | 0             | 20612         |           | Confirm       |       | Cancel   |
| :                     | 300  | LO              | Ready to send | 0             | 20612         |           | 25,350        |       |          |
| 4                     | 300  | LO              | Ready to send | 0             | 20612         |           | 23,300        | 300   |          |
| :                     | 300  | LO              | Ready to send | 0             | 20612         |           | 25,250        |       |          |
| :                     | 300  | LO              | Ready to send | 0             | 20612         |           | 25,200        |       |          |
|                       |      |                 |               |               |               |           | 25,150        |       |          |
|                       |      |                 |               |               |               |           | 25,100        |       |          |
|                       |      |                 |               |               |               |           | 25,050        |       |          |
|                       |      |                 |               |               |               |           | 25,000        |       |          |
|                       |      |                 |               |               |               |           | 24,950        |       |          |
|                       |      |                 |               |               |               |           | 24,900        |       |          |
|                       | 501  |                 |               | 0             |               |           | 24,850        |       |          |
| 0,;                   | 501  |                 |               | Ų             |               |           | 20,200        |       |          |
|                       |      |                 |               | (If the       | request is re | 0 0       | Summary       | 1,500 | 0        |
| <b>DR: Intermissi</b> | on S | system: Connect | ted           |               |               |           | Order Book Ca | sh P  | ortfolio |

## IV. GUIDELINE TO SEARCH FOR ORDER HISTORY

There are 2 ways to search for order history: Quick search and Search in details

## 1. QUICK SEARCH FOR ORDER HISTORY

(The section is for searching status of in-day orders)

- Choose "Order book" in the bottom right corner of the screen

- Display "Order book"

| Orc | Order Book |        |     |           |                  |               |     |  |  |  |  |  |
|-----|------------|--------|-----|-----------|------------------|---------------|-----|--|--|--|--|--|
|     |            | Symbol | B/S | M.Qty/Qty | Ordered<br>Price | Status        | (i) |  |  |  |  |  |
| 1   |            | AAV    |     | 1/5,001   | 27,000           | Ready to send |     |  |  |  |  |  |
| 1   |            | AAA    | В   | 1/300     | 29,200           | Ready to send | 4   |  |  |  |  |  |
| 1   |            | AAA    |     | 1/300     | 29,150           | Ready to send | R   |  |  |  |  |  |
| 1   |            | AAA    | В   | 1/300     | 29,950           | Ready to send |     |  |  |  |  |  |
| 1   |            | AAA    |     | 1/300     | 25,300           | Ready to send |     |  |  |  |  |  |
| 1   |            | AAA    | В   | 1/300     | 25,700           | Ready to send |     |  |  |  |  |  |
|     |            |        |     |           |                  |               |     |  |  |  |  |  |

Order Book

Cash

Portfolio

## 2. SEARCH FOR ORDER HISTORY IN DETAILS

The following steps:

- Step 1: Choose a sub-account that need to be searched.
- Step 2: Choose tab Account.
- Step 3: Choose "Order book"

| true friend KIS s     | iet Nam Board<br>ecurities Corporation | Account Information (2)                  |                                       |                    | Search Sto     | ock Q                       | C000001X1 - | <b>#</b> © |
|-----------------------|--|--|---------------------------------------|--------------------|----------------|-----------------------------|-------------|------------|
|                       | Account Summary                        | Portfolio                                | Asset Management                      | Order Book         | Withdraw Money | Right Exe                   | C000001M1   |            |
|                       | <ul> <li>Account Summary</li> </ul>    | Portfolio                                | <ul> <li>Asset Information</li> </ul> | Order Book (3)     | Withdraw Money | <ul> <li>Right I</li> </ul> | C000001M2   |            |
| Order Book            |  | <ul> <li>Securities Statement</li> </ul> | Cash In Advanced                      | Order History      |                | <ul> <li>Right S</li> </ul> | C000001X1   | anagement  |
| Order Book Order Hist |  | Stock Transfer                           | Cash Statement                        | Stop Order History |                |                             | C000001D1   |            |
|                       |  |  | Loan Detail                           | Order Confirmation |                |                             | (1)         |            |

## 2.1 Search for in-day order

Choose Account/ Order book / Order book

Click on "View" to check the details process of issued order and matching order.

| Order Book  |                |                |                |             |                     |               |                       |            |               |               | Portfol   | io Orders Asset N   | lanagement   ( | ?) Help |
|-------------|----------------|----------------|----------------|-------------|---------------------|---------------|-----------------------|------------|---------------|---------------|-----------|---------------------|----------------|---------|
| Order Book  |                |                |                |             |                     |               |                       |            |               |               |           |                     |                |         |
| Account No. | C000001X1      | ≁ Sy           | mbol           |             | Buy/Sell A          | II -          | Status All            |            | Query         |               |           |                     |                |         |
|             | Symbol<br>Code | Buy/Sell Order | Order Quantity | Order Price | Matched<br>Quantity | Matched Price | Unmatched<br>Quantity | Order Type | Order Status  | Matched Value | Order No. | Order Time          | Validity       |         |
| - / ×       | AAV            |                | 5,001          | 27,000      |                     |               | 5,001                 | LO         | Ready to send |               | 20612140  | 09:27:00 28/03/2022 |                |         |
| 🗆 / 🗙       | AAA            |                | 300            | 29,200      |                     |               | 300                   | LO         | Ready to send |               | 20612127  | 09:24:19 28/03/2022 |                |         |
| 🗌 / 🗙       | AAA            | BUY            | 300            | 29,150      |                     | 0             | 300                   | LO         | Ready to send |               | 20612126  | 09:24:16 28/03/2022 |                |         |
| 🗆 / 🗙       | AAA            | BUY            | 300            | 29,950      |                     | 0             | 300                   | LO         | Ready to send |               | 20612125  | 09:24:01 28/03/2022 |                |         |
| 🗆 / 🗙       | AAA            | BUY            | 300            | 25,300      |                     | 0             | 300                   | LO         | Ready to send |               | 20612124  | 09:23:50 28/03/2022 |                | View    |
| 🗆 / X       | AAA            | BUY            | 300            | 25,700      |                     | 0             | 300                   | LO         | Ready to send |               | 20612123  | 09:23:48 28/03/2022 |                | View    |

# Display order details

| Order Info   |           |              |                   |                |                 |                    |                 |
|--------------|-----------|--------------|-------------------|----------------|-----------------|--------------------|-----------------|
| Account No:  | C000001X1 | Order Price: | 27,000            | Order Status:  | Ready to send 0 | rder ID: 162900    | )8              |
| Symbol:      | AAV       | Order Quant  | ity: <b>5,001</b> | Unmatched Qty: | <b>5,001</b> Oi | rder Time: 09:27:0 | 0 28/03/2022    |
| Order Side:  |           | Matched Pri  | ce: 0             | Canceled Qty:  | 1 Ci            | nannel: INR        |                 |
| Order Type:  | LO        | Matched Qt   | y: 1              | Validity:      |                 |                    |                 |
| Order Log    |           |              |                   |                |                 |                    |                 |
| Time         |           | Order ID     | Action            | Price          | Quantity        | Status             | Remark          |
| 09:27:00 28/ | 03/2022   | 1629008      | Input Active Or   | der 27,00      | 0 5,001         | READY_TO_SEND      | BestBid:0,BestA |
|              |           |              |                   |                |                 |                    |                 |
|              |           |              |                   |                |                 |                    |                 |
|              |           |              |                   |                |                 |                    |                 |
|              |           |              |                   |                |                 |                    |                 |

## 2.2 <u>Search for order history</u>

Search for order history by time (Time for searching within one month until now): Choose

Account/ Order book / Order history

| Order Histor   | У.,             |                |             |                     |               |                       |      |            |          |      |               | Portfolio | Orders Asset Manag  | gement   (?) Help |
|----------------|-----------------|----------------|-------------|---------------------|---------------|-----------------------|------|------------|----------|------|---------------|-----------|---------------------|-------------------|
|                | Order History S |                |             |                     |               |                       |      |            |          |      |               |           |                     |                   |
| Account No.    | C000001X1       | - Symbol       |             | × Buy/S             | ell All 👻     | Status /              | All  |            | Date     |      | 27/02/2022 🛗  | 28,       | (03/2022 🛗 Query    |                   |
| Symbol<br>Code | Buy/Sell        | Order Quantity | Order Price | Matched<br>Quantity | Matched Price | Unmatched<br>Quantity |      | Order Type | Order St | atus | Matched Value | Order No. | Order Time          | Validity          |
| AC4            | BUY             | 100            | 3,000       |                     | 0             | 99                    | e lo |            | Reject   | 0    | 0             | 1626054   | 12:20:46 24/03/2022 | Day               |
| AC4            | BUY             | 100            | 3,000       |                     |               | 99                    | e Lo |            | Reject   | 0    |               | 1626053   | 12:20:46 24/03/2022 | Day               |
| AC4            | BUY             | 100            | 3,000       |                     | 0             | 99                    | e LO |            | Reject   | 0    |               | 1626052   | 12:20:46 24/03/2022 | Day               |
| AC4            | BUY             | 100            | 3,000       |                     | 0             | 99                    | E LO |            | Reject   | 0    | 0             | 1626051   | 12:20:46 24/03/2022 | Day               |

2.3 <u>Search for conditional order history</u>

Search for conditional order history and activated order status (Time for searching within one month until now)

Choose Account/ Order book/ Stop order history

|  | Orders Asset M  | lanagement 🛛 🕐 Help |
|--|-----------------|---------------------|
| Order Book Order History Stop Order History Order Confirmation   |                 |                     |
| Account No. C000001X1 🔹 Symbol Select 🗙 Buy/Sell All 👻 Status All 👻 Date 28/02/2022 🛅 28                                   | 3/03/2022 🛗 🛛 🚺 | Juery               |
| Symbol Code Buy/Sell Order Type of Order Quantity Stop Price Limit Price Order Status Order Time                           | From Date       | To Date             |
| AAT         BUY         STOP_LIMIT         100         26,300         26,250         Cancelled         16:05:15 23/03/2022 | 24/03/2022      | 24/03/2022          |
| A32 BUY STOP_LIMIT 100 100,200 100,000 Cancelled 16:04:38 23/03/2022   | 24/03/2022      | 24/03/2022          |
| A32 BUY STOP 100 36,300 0 Cancelled 10:57:17 04/03/2022  | 04/03/2022      | 04/03/2022          |

## 2.4 <u>Confirmation of online order</u>

To confirm online order status (Time for searching within one month until now)

- Choose Account/Order Book /Order confirmation
- Order confirmation by 2 following steps:
- + Step 1: On Order confirmation screen

| Orde | rder Confirmation Portfolio   Orders   Asset Management   🕜 Help.  |          |            |               |        |                  |                          |                       |                              |  |
|------|--|----------|------------|---------------|--------|------------------|--------------------------|-----------------------|------------------------------|--|
| On   | Order Book Order History Stop Order History Order Confirmation (1) |          |            |               |        |                  |                          |                       |                              |  |
| Acc  | ount No. C000001X1   | + Symbol | x          | Date 28/02/20 | 28     | (03/2022 📾 Query |                          |                       |                              |  |
| -    | Date   | Time     | Account No | Order Type    | Symbol | Volume           | Price                    | Status                | Order No.                    |  |
|      | (2) 21/03/2022   | 07:00:00 | C000001X1  | BUY           | BTG    | 100              | 5,900                    | Filled All            | 1598546                      |  |
|      | 21/03/2022   | 07:00:00 | C000001X1  | BUY           | BTG    | 100              | 5,900                    | Filled All            | 1598546                      |  |
|      | 21/03/2022   | 07:00:00 | C000001X1  | BUY           | BTG    | 100              | 5,900                    | Filled All            | 1598546                      |  |
|      | 21/03/2022   | 07:00:00 | C000001X1  | BUY           | ALV    |                  | 1,700                    | Filled All            | 1598515                      |  |
|      | 21/03/2022   | 07:00:00 | C000001X1  | BUY           | ALV    |                  | 1,700                    | Filled All            | 1598515                      |  |
|      | 21/03/2022   | 07:00:00 | C000001X1  | BUY           | ALV    |                  | 1,700                    | Filled All            | 1598515                      |  |
|      | 21/03/2022   | 07:00:00 | C000001X1  |               | ALV    |                  | 1,700                    | Filled All            | 1598515                      |  |
|      | 21/03/2022   | 07:00:00 | C000001X1  |               | ALV    | 100              | 1,700                    | Filled All            | 1598515                      |  |
|      | 21/03/2022   | 07:00:00 | C000001X1  |               | ALV    | 100              | 1,700                    | Filled All            | 1598515                      |  |
|      | 21/03/2022   | 07:00:00 | C000001X1  |               | ALV    | 100              | 1,700                    | Filled All            | 1598515                      |  |
|      | 21/03/2022   | 07:00:00 | C000001X1  |               | ALV    | 100              | 1,700                    | Filled All            | 1598515                      |  |
|      | 21/03/2022   | 07:00:00 | C000001X1  |               | CEO    |                  | 20,000                   | Cancelled             | 1598497                      |  |
|      | 21/03/2022   | 07:00:00 | C000001X1  |               | CEO    | 100              | 20,000                   | Cancelled             | 1598497                      |  |
| -    |  | ~~ ~~ ~~ | 000000404  |               | 050    | 400              |                          |                       | 1 PAG 107                    |  |
| 0    | onfirm (3)   |          |            |               |        |                  | (If the request is rejec | ted, please move on 🧃 | to see the rejected reason.) |  |



- (1) Choose the time of issued order
- (2) Choose every order box or Choose all
- (3) Choose "Confirm"

+ Step 2: On Order Confirmation Request screen, choose "Confirm" to complete the process.

| Order Confirmation Red | quest    |             |            |        |         |        |
|------------------------|----------|-------------|------------|--------|---------|--------|
| Date                   | Time     | Account No. | Order Type | Symbol | Volume  | Price  |
| 21/03/2022             | 07:00:00 | C000001X1   | BUY        | BTG    | 100     | 5,900  |
| 21/03/2022             | 07:00:00 | C000001X1   | BUY        | BTG    | 100     | 5,900  |
|                        |          |             |            |        | Confirm | Cancel |

#### V. SEARCH FOR STOCK LIST AND STOCK TRANSFER

#### 1. SEARCH FOR STOCK LIST

There are 2 ways to search for stock list: Quick search and search in details

#### 1.1 <u>Ouick search</u>

- Choose "**Portfolio**" in the bottom right corner of the Order Book screen

- Display **Portfolio** box:
- Choose a sub-account that needs to be searched

- Customer can quickly search for the following information:

- + Fundamental trading (Sub-account X1 and M1)
- Net asset value (NAV)
- o Market value of holding stocks
- Profit/Loss
- The total number of stocks and number of usable stocks
- The average price of different stock,...
- + Derivative trading (Sub-account D)
- o Net asset value (NAV)
- Amount of opening position



Cash

Portfolio



- o Current price
- Profit/Loss

Additionally, based on this platform, Customer can perform:

- Place sell order for useable stock (Sub-account X1 or M1): Choose "Sell"
- Close position (Sub-account D): Choose "Close"

#### 1.2 Search in details

Choose sub-account on the top right side of screen



Sub-account X1 (CxxxxxX1 -> Normal account) và Sub-account M1 (CxxxxxM1 -> Margin account)

Search for stock balance

- Choose "Account" on the left-hand side of screen -> Choose Portfolio/ Portfolio

| Board | Account Information                      |                                       |  |  |  |  |
|-------|--|---------------------------------------|--|--|--|--|
|       | Portfolio                                | Asset Management                      |  |  |  |  |
|       | Portfolio                                | <ul> <li>Asset Information</li> </ul> |  |  |  |  |
|       | <ul> <li>Securities Statement</li> </ul> | Cash In Advanced                      |  |  |  |  |
|       | <ul> <li>Stock Transfer</li> </ul>       | Cash Statement                        |  |  |  |  |
|       |  | Loan Detail                           |  |  |  |  |

- Overview of the portfolio section, Customer can see details about the securities portfolio that you are holding:

| Portfolio |                |       |          |         |         |             |        |                |                     |         |              |              |              | Portfolio | Orders | Asset Ma | inagement | (?) Help  |
|-----------|----------------|-------|----------|---------|---------|-------------|--------|----------------|---------------------|---------|--------------|--------------|--------------|-----------|--------|----------|-----------|-----------|
| Portfoli  | o Securities S |       |          |         |         |             |        |                |                     |         |              |              |              |           |        |          |           |           |
| Account   | No.            |       |          | NAV     | PP      | Market Valu | ue     | Profit/Loss Ac | count Ratio (%)     |         |              |              |              |           |        |          | 0.1117    |           |
| C0000     | D1X1           |       |          |         |         |             |        |                |                     |         |              |              |              |           |        |          | + Add Id  | Watchlist |
|           |                |       |          |         |         |             |        |                |                     |         |              |              |              |           |        |          |           |           |
|           | Sy             | Total | Sellable | Average | Buy Val | Cu          | urrent | Market Value   | Inrealized P/L (%)  | Hold to | Pendir       | ng Stock Pa  | yment        |           | Oth    | ers      |           | Lending   |
|           | Code '         | Fotal | Genable  | Price   | buy va  | P           | Price  | mannet value   | on canced if it (%) | sell    | Bought<br>T0 | Bought<br>T1 | Bought<br>T2 | A.trading | Mortga | Hold     | Right     | Rate      |

- + Net asset value
- + Buying power
- + Usable stocks: display total stocks that can be traded.
- + Information of waiting stock
- + Information of cost price, market price at the present of all stocks
- + Profit/Loss information of stock including cash value and percentage
- + Stock balance
- + Margin value (sub-account M1) ...



- Search for securities statement
- Choose Tab Account/Portfolio/Securities Statement
- The section to search for stock history: Choose date -> click "Query"

| Securities Sta | atement            |        |              |            |       |  |
|----------------|--------------------|--------|--------------|------------|-------|--|
| Portfolio Se   | curities Statement |        |              |            |       |  |
| Account No.    | C000001X1          | ▼ Date | 28/02/2022 🛗 | 28/03/2022 | Query |  |

Sub account D (CxxxxxD -> Derivative trading account)

 $\succ$  Search for position balance Choose tab "Account" on the top left corner of screen  $\rightarrow$ 

#### Choose

"Portfolio"/ Portfolio

| Board | Account                      | Information |   |                   |
|-------|------------------------------|-------------|---|-------------------|
|       | Portfolio                    |             | A | sset Management   |
|       | Portfolio                    | 0           | • | Asset Information |
|       | <ul> <li>Realized</li> </ul> | d Portfolio | • | Cash Statement    |
|       | <ul> <li>Position</li> </ul> | Statement   |   |                   |

The section to check for opening position on customer account, including:

| Portfolio               | Realized Portfolio                     | Cash Statement | Order History      |             | Portfolio Orders | Asset Management   🧿 Help |
|-------------------------|--|----------------|--------------------|-------------|------------------|---------------------------|
| Portfolio Realized Port | <ul> <li>Position Statement</li> </ul> | • 5            | Stop Order History |             |                  |                           |
| Torriono Heanzear on    |  |                | Order Confirmation |             |                  |                           |
| Account No.             | rr rivii                               |                |                    |             |                  | Add To Watchlint          |
| C000001D1 - 59;         | 905,532,454 2,250 0                    |                |                    |             |                  | Add To watchilst          |
|                         |  |                |                    |             |                  |                           |
| Series ID ↑ Expire      | d Date Long                            | Short          | Average Bid        | Average Ask | Current Price    | Floating P/L              |

- + Number of the opening positions
- + Average price of Buy/Sell position
- + Market price of position at present
- + The position's contract expiration date
- + Unconfirmed Profit/Loss information ...
- + Margin value of the account



Search for in-day closing position

#### Account/Portfolio /Realized Portfolio

| Realized Portfolio               |       |          |    |             |                   |             | Portfolio Order | s Asset Management 🕐 Help |
|----------------------------------|-------|----------|----|-------------|-------------------|-------------|-----------------|---------------------------|
| Portfolio Realized Portfolio Pos |       |          |    |             |                   |             |                 |                           |
| Account No.                      |       | NAV      | PP | Profit/Loss | Account Ratio (%) |             |                 |                           |
| C000001D1                        |       |          |    |             |                   |             |                 |                           |
|                                  |       |          |    |             |                   |             |                 |                           |
| Series ID                        | Expir | red Date |    | Long        | Short             | Average Bid | Average Ask     | Trading P/L               |
|                                  |       |          |    |             |                   |             |                 |                           |

The section to check for closing position on customer account, including:

- + Expiration date
- + Number of positions Buy/Sell.
- + Confirmed Profit/Loss (in day).
- Search for position statement

- The section to search for position history, total Confirmed Profit/Loss: Choose date -> click "Query".

| Position Statement   |                      |         |          |        |             |         |      | Portfo  | lio Orders Ass | et Management   🧿 | Help |
|----------------------|----------------------|---------|----------|--------|-------------|---------|------|---------|----------------|-------------------|------|
| Portfolio Realized F | ortfolio Position St | atement |          |        |             |         |      |         |                |                   |      |
| Account No. C00000   | 01D1 -               | Date    | 21/03/20 | 22 📾 2 | B/03/2022 📾 | Query   |      |         |                |                   |      |
| Series ID            | Data                 |         | Net      | off    |             | Expired |      | Balance |                | Total D/I         |      |
| Series ID            | Date                 |         | Long     | Short  | Long        | Short   | Long | Short   | Closing Price  | Total P/L         |      |

## 2. STOCK TRANSFER (Fundamental Account)

| Stoc | (Trans   | fer                                 |                            |                  | Portfolio   Orders   Asset Management   🕜 Help |
|------|----------|-------------------------------------|----------------------------|------------------|--|
| Po   |          | Securities Statement Stock Transfer | (1)                        |                  |  |
| Tra  | sfer Sec | to E                                | leneficiary acc. C000001X1 |                  |  |
| - (  | 2) No.   | Symbol                              | Stock Type                 | Available Volume | Transfer volume                                |
|      |          | SHB                                 | Sellable stock             | 5,520            |  |
|      |          | AAV                                 | Sellable stock             | 2,740            |  |
|      |          | MBS                                 | Sellable stock             | 2,000            |  |
|      |          | AMV                                 | Sellable stock             | 100              |  |
|      |          | SSI                                 | Sellable stock             | 1,051            |  |
|      |          | PLX                                 | Sellable stock             | 9,979,000        | (4)  |
| _    |          |                                     |                            |                  |  |
|      |          |                                     |                            |                  | Apply  |

To internally transfer stock between X1 & M1 and reverse. The following steps:

- (1)Choose sub-account
- (2)Choose the stock box that needs to be transferred
- (3)Import amount
- (4)Choose "Apply"
- (5)Check the info at the confirmation screen, select "Confirm" to complete process

Hotline for customer support (84-28) 3914-8585 or Email cskh@kisvn.vn

| mbol | Stock Type     | Tran | isfer vo | lume |
|------|----------------|------|----------|------|
| SHB  | Sellable stock | (5)  | 500      |      |



#### Search for transfer stock history:

Choose date -> click "Query" to search for transfer stock history of all stocks.

| Stock 1 | Transfer History  |                 |                     |        |         |
|---------|-------------------|-----------------|---------------------|--------|---------|
| Date    | 28/02/2022 🛗 28/0 | 03/2022 📾 Query |                     |        |         |
| No.     | Symbol Code       | Stock Type      | Request Time        | Volume | Status  |
| 1       | PLX               | Sellable Stock  | 13:36:32 15/03/2022 | 100    | Success |

## VI. ASSET MANAGEMENT AND CASH ADVANCE OF SELLING STOCK

Overview of the Asset Management section, Search Stock Q C000001M1 - Search Stock Q C000001M1 - Search Stock value, outstanding balance and buying power.

Choose a sub-account on the top right of screen

#### 1. ASSET MANAGEMENT

#### 1.1 <u>Sub-account X1 and Sub-account M1</u>

Sub-account X1 (CxxxxxX1 -> Normal account)

Sub-account M1 (CxxxxxM1 -> Margin account)

Choose tab "Account" on the left- hand side of screen-> Choose "Asset Management".

| Board | Account Information                      |                   |
|-------|--|-------------------|
|       | Portfolio                                | Asset Management  |
|       | Portfolio                                | Asset Information |
|       | <ul> <li>Securities Statement</li> </ul> | Cash In Advanced  |
|       | Stock Transfer                           | Cash Statement    |
|       |  | Loan Detail       |

#### **\*** Search for Asset information:

There are 2 ways to check: Quick check and check in details.

Way 1: Quick check

- Choose "Cash" Order Book Cash Portfolio the bottom right of the screen

- Display information box of asset, including:



+ Net Asset Value: is the value of all the Customer's assets in possession after subtracting all debts and payable fees

on

+ Total Stock Market Value: the total value of the stocks that the customer is holding at the market price

+ Purchasing Power: buying power of account

+ Cash Withdrawal: Maximum amount that the customer can withdraw (including advance cash of selling stock).

+ Available Advanced Cash: The maximum amount that customers can advance from selling stock transactions (unpaid money due to T2 payment).

+ Margin Call: The value customers need to add when violating margin ratio

#### > Way 2: Search in details

Choose "Account" => Choose "Asset Management" => Choose "Asset Information"

Including 4 main contents:

| Asset Information                  |                                 | Portfolio 0                   | Orders Asset Management | (?) Help |  |  |  |
|------------------------------------|---------------------------------|-------------------------------|-------------------------|----------|--|--|--|
| Asset Information Cash In Advanced |                                 |                               |                         |          |  |  |  |
| Account No C000001M1               |                                 |                               |                         |          |  |  |  |
| Account Summary                    | Cash Information                | Margin                        |                         |          |  |  |  |
| Total Asset                        | Cash Withdrawal                 | Outstanding Loan              |                         |          |  |  |  |
| Total Stock Market Value           | Pending approval for withdrawal | Day Loan                      |                         |          |  |  |  |
| Net Asset Value                    | Hold for pending purchase T0    | Accrued Debit Interest        |                         |          |  |  |  |
| Buying Power                       | Hold for executed purchase T0   | Stock main                    |                         |          |  |  |  |
| Purchasing Power                   | Available advanced cash         | Equity                        |                         |          |  |  |  |
|                                    | Sold T0                         | Margin ratio (%)              |                         | -%       |  |  |  |
|                                    | Sold T1                         | Maintenance ratio (%)         |                         |          |  |  |  |
|                                    |                                 | Margin call by stock main amt |                         |          |  |  |  |
|                                    |                                 | Margin call by cash           |                         |          |  |  |  |

## (1) Account Summary

Including:

+ Total Asset: Includes Total stock value and Cash balance.

+ Total Stock Market Value: The total value of the stock securities that the customer is holding at the market price.

+ Net Asset Value: is the value of all the Customer's assets in possession of after subtracting all debts and payable fees.

(2) Buying Power: Amount of money to buy.

+ Purchasing Power: buying power of account.

(3) Cash Information:

+ Cash Withdrawal: Maximum amount that the customer can withdraw (including advance

cash of selling stock).

+ Pending approval for withdrawal: The amount that the customer can withdraw to the bank / internal transfer is waiting for approval.

+ Hold for pending purchase T0: The total value of money to buy stocks during the day waiting for matching.

+ Hold for executed purchase T0: The total value of the money to buy the stock for the day was successful.

+ Available advanced cash: The maximum amount that customers can advance from stock selling transactions (unpaid money due to T2 payment).

+ Sold T0: The total value of the selling stock in day is successful.

+ Sold T1: Total value of money sold minus transaction fee, pay on T + 1 date (current date + 1 transaction date).

(4) Margin (Margin account M1):

+ Outstanding Loan: Outstanding balance of account.

+ Day Loan: The value of outstanding loans increased due to buying orders (matched and not matched) during the day.

+ Accrued Debit Interest: uncollected interest from the beginning of each month to T-1 (current date -1)

+ Stock main: The total value of stock is calculated as collateral when implementing margin loans.

+ Equity

+ Margin ratio (%): Margin debt usage rate on account and calculated by real assets used for margin purpose / Value of collateral securities.

+ Maintenance ratio (%): Is the minimum margin rate regulated by the Securities Company that a customer account needs to maintain. When the margin ratio < this ratio, the customer must add assets.

+ Margin call by stock main amt: The value of stock that customers need to sell to bring their account back to the maintenance margin ratio.

+ Margin call by cash: the amount of cash that the customer needs to add (or the value of stock out of the portfolio (with loan ratio = 0) that the customer needs to sell) to ensure the maintenance margin ratio of the account.

#### Search for cash statement

Account/Asset Management/Cash statement Choose date -> click "Query"

| Cash Stateme | 2ash Statement Portfolio   Orders   Asset Management   ① He |        |           |            |         |              |       |               |                 |         |       |  |  |           |           |
|--------------|---|--------|-----------|------------|---------|--------------|-------|---------------|-----------------|---------|-------|--|--|-----------|-----------|
| Asset Inform |   |        | Cash Stat | ement Loan |         |              |       |               |                 |         |       |  |  |           |           |
| Account No.  | C000001M1   |        | Date      | 28/02/     | /2022 🛗 | 28/03/2022 🛗 | Query |               |                 |         |       |  |  |           |           |
| No.          |   | Date 1 |           |            |         | Details      |       | Credit Amount |                 | Debit A | mount |  |  | Balance   |           |
|              |   |        |           |            |         |              |       | Beg           | jinning Balance |         |       |  |  | 101,014,5 | 89,676.44 |

#### Search for debit details (Margin account M1)

Account/Asset Management /Loan Detail/Loan Statement

Choose date -> Click "Query"

| Loan Detail   |             |      |                |              |                        |             | Portfolio   | Orders Asset Management | (?) Help |
|---------------|-------------|------|----------------|--------------|------------------------|-------------|-------------|-------------------------|----------|
| Asset Informa |             |      | nt Loan Detail |              |                        |             |             |                         |          |
| Loan Stateme  |             |      |                |              |                        |             |             |                         |          |
| Account No.   | C000001M1 - | Date | 28/02/2022 🛗   | 28/03/2022 🛗 | Query                  |             |             |                         |          |
| No.           | Date        |      | New Debt (Ir   | ncrease)     | Paid Amount (Decrease) | Total Debt  | Margin Call | Force Sell              |          |
| 1             | 28/02/202   | 2    |                | 390,820,456  | 0                      | 390,820,456 |             | 0                       | 0        |
| 2             | 01/03/202   | 2    |                |              | 390,820,456            |             |             | 0                       | 0        |

## Search for debt confirmation (Margin account M1)

Account/Asset Management /Loan Detail/Confirm Debt

Check Debt Margin Info -> Click "Confirm"

View Debt Confirmation History -> Click "Date" field and choose

| true Érien | d KIS Viet Nam Box<br>Securities Corporation | ard Account       | Information           |                  |              |            |              |                | Search Stock Q | C000001M1 | 🔹 👬 🍥            | €♦ Logo |     |
|------------|--|-------------------|-----------------------|------------------|--------------|------------|--------------|----------------|----------------|-----------|------------------|---------|-----|
|            | Account Summary                              | Portfolio         |                       | Asset Management | Order Book   | w          | thdraw Money | Right Exercise |                |           |                  |         |     |
| Loan De    |  |                   |                       |                  |              |            |              |                | Portfolio      | Orders    | Asset Management |         | •   |
|            |  | nent Loan Detail  |                       |                  |              |            |              |                |                |           |                  |         |     |
|            |  |                   |                       |                  |              |            |              |                |                |           |                  |         |     |
| Debt       | Margin Information                           |                   |                       |                  |              | Customer   | Information  |                |                |           |                  |         |     |
| NO.        |  | Content           |                       |                  | Amount (VND) | Full name  |              | Hà Minh Trung  |                |           |                  |         |     |
|            | Beginning Balance                            |                   |                       |                  |              |            |              | 057000001      |                |           |                  |         |     |
|            | Additional Disbursement                      |                   |                       |                  |              |            |              |                |                |           |                  |         |     |
|            | Repayment Amount                             |                   |                       |                  |              |            |              | 012062990      |                |           |                  |         |     |
|            | Ending Balance                               |                   |                       |                  |              |            |              | 123456         |                |           |                  |         |     |
|            | Outstanding Interest (including interest and | overdue interest) |                       |                  |              |            |              |                |                |           |                  |         |     |
|            | Outstanding Debt (principle + interest)      |                   |                       |                  |              |            |              |                |                |           |                  |         |     |
| I have a   | Iready read, checked and confirmed that info | mation above are  | complete and accurate | Confirm          |              |            |              |                |                |           |                  |         |     |
|            |  |                   |                       |                  |              |            |              |                |                |           |                  |         |     |
| Debt C     | onfirmation History                          |                   |                       |                  |              |            |              |                |                |           |                  |         |     |
| Date       | 04/2022 🖽                                    |                   |                       |                  |              |            |              |                |                |           |                  |         |     |
| No.        | or   | ginal Outstanding |                       |                  |              | Outstandin | g interest   |                | Status         | Dat       | te Confirm       |         |     |
|            |  |                   |                       |                  |              |            |              |                |                |           |                  |         |     |
|            |  |                   |                       |                  |              |            |              |                |                |           |                  |         | - H |



#### 1.2 <u>Sub-account D</u>

Sub-account D (CxxxxxD -> Derivative account)

Choose tab "Account" on the top left of screen

-> Choose "Asset management"

Including 2 main contents: Asset information and Cash statement

#### Search for asset information:

There are 2 way to check: quick check and check in detail

#### ➢ Way 1: Quick search

- Choose "Cash" in the bottom right corner of the screen
- Display information box of asset overview, including:
- + Net Asset Value
- + EE
- + VSD Cash Withdrawable VSD/ KIS
- + Cash at VSD
- + Initial margin
- + Unrealized realized Gain/Loss
- + Commission + Tax & VSD fee
- + Margin requirement
- + Account ratio
- +Margin call

#### Way 2: Search in details

Choose "Account" => Choose "Asset management" => Choose "Asset Information"

Including 3 main contents

| Account summary |                |                      |                    |  |  |                                       |
|-----------------|----------------|----------------------|--------------------|--|--|---------------------------------------|
| Net Asset Value | 59,905,532,454 | Floating/Trading P/L | 0/0                |  | Internal   | Exchange                              |
| Account Balance | 59,904,055,365 | Total P/L            |                    | Initial Margin                           |  |                                       |
| Commision/Tax   | 0/0            | Min Reserv           |                    | Spread Margin                            |  | a                                     |
| Interest        | 1,477,089      | Marginable           | 59,903,115,127     | Delivery Margin                          |  |                                       |
| Total Loans     |                | RC Call              |                    | Margin Req                               |  | o                                     |
| Delivery Amount |                | Cash/Non-Cash        | 59,903,123,365 / 0 | Account Ratio                            |  | 0 %                                   |
|                 |                |                      |                    | Warning 1/2/3                            | 75/85/95   | 75/85/95                              |
|                 |                |                      |                    | Margin Call                              |  | o                                     |
|                 |                |                      |                    | Cash Information                         |  |                                       |
|                 |                |                      |                    |  |  |                                       |
|                 |                |                      |                    |  | Internal   | Exchange                              |
|                 |                |                      |                    | Cash                                     | Internal<br>59,904,041,365                                     | Exchange<br>14,000                    |
|                 |                |                      |                    | Cash<br>Total Value                      | Internal<br>59,904,041,365<br>59,904,055,365                   | Exchange<br>14,000<br>14,000          |
|                 |                |                      |                    | Cash<br>Total Value<br>Cash Withdrawable | Internal<br>59,904,041,365<br>59,904,055,365<br>59,903,120,365 | Exchange<br>14,000<br>14,000<br>3,000 |

(1)Account Summary: Check the overview of Account Balance, Transaction Fee / Tax, New position Profit / Loss, Total Profit / Loss, Withdrawable margin....

+ Net Asset Value: the value of all assets owned by the Customer (including assets at KIS





and VSD) after subtracting all liabilities, fees payable, interest and loss payments.

+ Account Balances: the total amount of cash the customer has, including cash at KIS and cash deposited on VSD

+ Commission/Tax: The Total pending transaction fees of the account

+ Interest: Transaction tax + transaction fee paid to the Department

+ Loan: Loan (If any)

+ Delivery Amount: Total value of physical transfer if the account holds a buying position in government bond futures through the last transaction date

+ Floating P/L: Profit or loss according to market price of open positions of the account

+ Trading P/L: Profit or loss according to market price of closing positions of the account

+ Total P/L: Total profit or loss of the account = Open position profit or loss + Closed position profit or loss

+ Min Reserve: Minimum cash balances must be maintained at KIS

+ Marginable: The amount customers can deposit money into VSD

+ RC Call: The maximum amount that can be withdrawn from KIS and VSD = Maximumamount that can be withdrawn from the VSD + Maximum amount that can be withdrawn from KIS

+ Cash/Non-Cash: Total value of margin value stock that can be withdrawn

(2) Portfolio Assessment: Information about Initial Margin, Margin Required, Warning ratio, Account ratio ...

+ Initial Margin: The initial margin value according to the prescribed rate for open positions of the account

+Spread Margin

+ Delivery Margin: The value of the material transfer margin of the future contract is according to the prescribed rate for the open positions of the account

+ Margin Req at KIS: Initial margin value (for both open and pending positions) + Transfer margin value+ Hanging Fee + Provisional Loss + Hanging Interest (negative part) + Total required margin value at VSD = Initial margin value (for both open and pending positions) + Transfer margin value + Provisional loss

+ Account Ratio (%): Ratio of valid collateral use (Total required margin value at KIS or VSD / Total value of valid margin assets at KIS or VSD)

+ Margin Call: The amount of money to be paid to maintain the account

(3) Cash Information: Withdrawable Amounts and Purchasing Power Information

+ Cash: the total amount of cash at KIS or VSD

+ Total Value: Total valid margin value at KIS or VSD

+ Cash Withdrawable (KIS): The maximum amount that can be withdrawn from KIS

+ Cash Withdrawable (VSD): Maximum amount that can be withdrawn from VSD to KIS

+ EE: The available margin (purchasing power) for opening the position

Search for money statement: Search for the details of withdrawals Account/Asset

Management/Cash statement

Choose date -> click "Query"

| Cash Statem  | ent                   |                |                    |        |       | Portfolio Orders | Asset Management (?) Help |
|--------------|-----------------------|----------------|--------------------|--------|-------|------------------|---------------------------|
| Asset Inform | nation Cash Statement |                |                    |        |       |                  |                           |
| Account No.  | C000001D1 - Dat       | e 28/02/2022 📾 | 28/03/2022 📾 Query |        |       |                  |                           |
| No           | Data                  | Dataile        | Cash               | at KIS | Cash  | at VSD           | Total Balance             |
| 110.         | Date                  | Detaila        | Debit              | Credit | Debit | Credit           |                           |
|              |                       |                | Beginning Balance  |        |       |                  |                           |

# 2. CASH ADVANCE (Fundamental account)

Select Account / Asset Management / Cash In Advanced

| Cash In Advanced             | 4                              |                    |                      |              |        |         | Portfoli | o Orders Asse | t Management   🕐 Help |
|------------------------------|--------------------------------|--------------------|----------------------|--------------|--------|---------|----------|---------------|-----------------------|
| Asset Information            | Cash In Advanced Cash Statemer |                    |                      |              |        |         |          |               |                       |
|                              | (1)                            | Transaction detail | of awaiting receivat | ble          |        |         |          |               |                       |
| Account No                   | C000001M1 -                    | ID                 | Sold Date            | Payment Date | Stock  | Volume  | Value    | Fee + Tax     | Net Sold Amount       |
| Available Cash In<br>Advance | (2)                            |                    |                      |              |        |         |          |               |                       |
| Required Advano<br>Amount    | ±0                             |                    |                      |              | No Row | To Show |          |               |                       |
| Fee                          | (3) 0                          |                    |                      |              |        |         |          |               |                       |
|                              | Apply Cancel                   |                    |                      |              |        |         |          |               |                       |

- Step 1: At the Cash In Advanced screen:



(1) Choose the sub-account to have cash advance

(2) Enter the amount to be advanced in the box "Required Advance Amount"

(3) Click "Apply"

- Step 2: At the confirmation screen, check the information. Select "Confirm" to complete the process

Search for cash advance history:

- Select Account / Asset Management / Cash In Advanced / Cash In Advanced History

#### VII. GUIDELINE FOR MONEY TRANSFER

#### 1. INTERNAL MONEY TRANSFER

#### The screen to transfer money between sub-account (X1, M1 and D)

Choose Account/Withdraw Cash/ Transfer Cash To Internal Sub Account

- Step 1: Screen of Internal money transfer:

| Withdraw Mon  | ey   |                   |  |                               |                |                 |     | Portfolio     | Orders Asset Manag                   | gement | (?) Help  |
|---------------|--|-------------------|--|-------------------------------|----------------|-----------------|-----|---------------|--------------------------------------|--------|-----------|
| Transfer Cash | To Internal Sub Account                              |                   |  |                               |                |                 |     |               |                                      |        |           |
| Sending Acc   | ount   |                   |  |                               | Beneficiary    |                 |     |               |                                      |        |           |
| Transfer Type | <ul> <li>Transfer Cash To Int<br/>Account</li> </ul> |                   | ? Full name                            |                               | Account Number | C000001D1       | •   | Transfer Amou | nt                                   |        | 0         |
| Account Nun   | nber C000001M1                                       | -                 | Transferable Amount                    |                               | Full name      | Hà Minh Trung   | (2) | Transfer fee  |                                      | (3)    |           |
|               | (1)  |                   |  |                               |                |                 |     | Content       | Internal tranfer C00000<br>C000001D1 |        |           |
|               |  |                   |  |                               |                |                 |     |               | Confi                                | rm Re  | eset      |
|               |  |                   |  |                               |                |                 |     |               | (4)                                  |        |           |
| Note: Availa  | ble time for cash transfer requ                      | ests is from 08:0 | ) to 16:00 every trading day.          |                               |                |                 |     |               |                                      |        |           |
|               |  |                   | ······································ |                               |                |                 |     |               |                                      |        |           |
| Cash Transfer | History  |                   |  |                               |                |                 |     |               |                                      |        |           |
| Transfer Type | To Sub   | - Date            | 28/02/2022 🛗                           | 28/03/2022 🛗                  | Query          |                 |     |               |                                      |        |           |
| No.           | D  | ate               |  | Transfer Type                 |                | Transfer Amount |     |               | Status                               |        |           |
|               |  |                   |  |                               |                |                 |     |               |                                      |        |           |
|               |  |                   |  | No Roy                        | w To Show      |                 |     |               |                                      |        |           |
| 🤌 Place Order | 页 14:54:51   28/03/202                               | 22 HOSE: Put The  | ough HNX: PLO UPCON                    | I: LO DR: Closed System: Conr | nected         |                 |     |               | Order Book                           | Cash   | Portfolio |

(1) Sending account: Choose sub-account

Check for cash balance

- (2) Beneficiary screen, Choose sub-account
- (3) Import amount of money
- (4) Click "Confirm".

|                       | nternal Sub Account                     |  |  |  |  |  |  |
|-----------------------|---|--|--|--|--|--|--|
| Sender Acc.No         | 057C000001                              |  |  |  |  |  |  |
| Full name:            | Hà Minh Trung                           |  |  |  |  |  |  |
| Beneficiary<br>Acc.No | C000001X1                               |  |  |  |  |  |  |
| Transfer amount:      | 1,000                                   |  |  |  |  |  |  |
| Transfer fee:         | 0                                       |  |  |  |  |  |  |
| Content In<br>C(      | ternal tranfer C000001M1 to<br>000001X1 |  |  |  |  |  |  |
|                       | Confirm Cancel                          |  |  |  |  |  |  |

Hotline for customer support (84-28) 3914-8585 or Email cskh@kisvn.vn



- Step 2: The system will display the notification for checking. Choose "Confirm" to complete the process

#### 2. MONEY TRANSFER TO BAKING ACCOUNT

Choose Account/Withdraw Cash/ Transfer Cash To Bank Account

#### 2.1 Transfer money to registered banking account

- Step 1: Information screen

| w | ithdraw Money        |   |                            |                |               |   | Portfolio              | Orders                       | Asset Management                                 |       |
|---|----------------------|---|----------------------------|----------------|---------------|---|------------------------|------------------------------|--|-------|
|   |                      | rnal Sub Account Transfer Cash To Bank      | Account                    |                |               |   |                        |                              |  |       |
|   | Sending Account      |   |                            | Beneficiary    |               |   |                        |                              | (2)  |       |
|   | Transfer Type        |   | Full name                  | Account Number | 12345678      | - | Bank ACB 👻             | Branch                       | ACB Tất cả chi nhán                              | h •   |
|   | Account Number       | C000001M1 +                                 | Transferable Amount        | Full name      | Hà Minh Trung |   | Transfer Amoun         | $\sim$                       |  | 0     |
|   |                      | (1)   |                            |                |               |   | Transfer fee           |                              |  | 3)    |
|   |                      |   |                            |                |               |   | Note: Fee paid to to t | y transferer<br>he Bank's pr | and the remittance fee<br>revailing fee schedule | which |
|   |                      |   |                            |                |               |   | Content                |                              |  |       |
|   | Note: Available time | for cash transfer requests is from 08:00 tr | o 16:00 every trading day. |                |               |   |                        |                              | Confirm<br>(4)                                   | Reset |

(1)In the Sending Account section, choose sub-account to transfer securities

Check for cash balance

(2)Choose banking account and check Beneficiary information

(3)Import amount of money

(4)Click "Confirm"

- Step 2: The system will display the notification. Enter OTP and choose "Confirm" to complete the process

| Transfer cash to I    | bank account                          |  |  |  |  |  |  |
|-----------------------|---------------------------------------|--|--|--|--|--|--|
| Sender 2Acc.No        | C000001M1                             |  |  |  |  |  |  |
| Full name:            | Hà Minh Trung                         |  |  |  |  |  |  |
| Beneficiary<br>Acc.No | 12345678                              |  |  |  |  |  |  |
| Bank:                 | ACB                                   |  |  |  |  |  |  |
| Branch:               | ACB Tất cả chi nhánh                  |  |  |  |  |  |  |
| Transfer amount:      | 10,000,000                            |  |  |  |  |  |  |
| Transfer fee:         | 0                                     |  |  |  |  |  |  |
| Content V             | Vithdrawal C000001M1 Hà Minh<br>Frung |  |  |  |  |  |  |
| OTP 10                |                                       |  |  |  |  |  |  |
|                       | Send OTP                              |  |  |  |  |  |  |
|                       |                                       |  |  |  |  |  |  |
| Confirm               | Cancel                                |  |  |  |  |  |  |

#### 2.2 Transfer money to a bank account with the same name as the beneficiary

( or customers who have not registered a bank account)

- Step 1: Information screen
- (1) In the Sending Account section: Choose a sub-account

Check for cash balance

(2) Account number: Import banking account number



- (3) Banking information: Choose name of banking => Branch: Choose valid branch
- (4) Amount money information: Import amount of money
- (5) Click "Confirm"
  - Step 2: The system will display the notification.

Enter OTP and choose "Confirm" to complete the process

#### 2.3 <u>Deposit and Withdraw from VSD</u> (Sub-account D)

Deposit to VSD

Choose Account/ Cash Transfer/ Deposit to VSD - Step 1: Information screen

- (1) Account number: Choose sub-account D
- (2) Transfer Amount: Import amount of money
- (3) Click "Confirm"

| true Triend KIS Viet Nam Boar                          | d Account Information               |                          |            |               |            |                                 | Search Stock                             | ۹         | C000001D1       |                   | ٥        | (+ Logout |
|--|-------------------------------------|--------------------------|------------|---------------|------------|---------------------------------|--|-----------|-----------------|-------------------|----------|-----------|
| Account Summary  | Portfolio                           | Asset Management         | Order Book | Cash Transfer |            |                                 |  |           |                 |                   |          |           |
| Cash Transfer Request                                  |                                     |                          |            |               |            |                                 |  | Portfolic | Orders          | Asset Managen     | ent      |           |
| Transfer Cash To Internal Sub Account Transfer Cas     | h To Bank Account Deposit to VSD    |                          |            |               |            |                                 |  |           |                 |                   |          |           |
| Sending Account  |                                     |                          | Be         | eneficiary    |            |                                 |  |           | (2)             |                   |          |           |
| Transfer Type VSD (?)                                  | Full name                           |                          |            | ccount Number | 057C000001 | Transfer Amo                    | unt                                      |           |                 | 1                 | 0,000,00 | 00 :      |
| Account Number C000001D1                               | Transferable A                      | mount 59,904,256,940 VND | R          | ull name      |            | g Transfer fee                  | 5,500 \                                  | /ND       |                 |                   |          |           |
| (1)  |                                     |                          |            |               |            | Note: The rem<br>fee schedule v | ittance fee (5,500<br>will be deducted o | VND) w    | hich is subject | ted to the Bank's | prevaili | ing       |
|  |                                     |                          |            |               |            | Content                         |  |           |                 |                   |          |           |
|  |                                     |                          |            |               |            |                                 |  |           |                 | Confirm           | Re       | set       |
| Note: Available time for cash transfer requests is fro | m 08:00 to 15:55 every trading day. |                          |            |               |            |                                 |  |           |                 | (3)               |          |           |

- Step 2: The system will display the notification. Enter OTP and choose "Confirm" to complete the process



✤ Withdraw from VSD

Choose Account/ Cash Transfer/ Withdraw from VSD



- Step 1: Information screen
- (1) Transfer Amount: Import amount of money
- (2) Click "Confirm"

| true frier | "KIS             | Viet Nam Board<br>Securities Corporation | Account        | Information        |                   |            |                |           |                               | Search Stock                           | ۹                 | C000001D1                   | •             | <b>i i</b> | e Logou |
|------------|------------------|--|----------------|--------------------|-------------------|------------|----------------|-----------|-------------------------------|--|-------------------|-----------------------------|---------------|------------|---------|
|            |                  | Account Summary                          | Portfolio      |                    | Asset Management  | Order Book | Cash Transl    | er        |                               |  |                   |                             |               |            |         |
| Cash Tr    | ansfer Reque     | əst                                      |                |                    |                   |            |                |           |                               |  | Portfoli          | o Orders                    | Asset Mana    | gement     |         |
| Transf     |                  |  |                | t Deposit to VSD   | Withdraw from VSD |            |                |           |                               |  |                   |                             |               |            |         |
| Send       | ing Account      |  |                |                    |                   |            | Beneficiary    |           |                               |  |                   | (1)                         |               |            |         |
| Trans      | afer Type        |  |                | Full name          |                   |            | Account Number | C000001D1 | Transfer Amo                  | sunt                                   |                   |                             |               |            | 0 :     |
| Acco       | unt Number       | 057C000001                               |                | Transferable Arr   | ount 3,000 VND    |            | Full name      |           | ng Transfer fee               | 5,500                                  | VND               |                             |               |            |         |
|            |                  |  |                |                    |                   |            |                |           | Note: The ren<br>fee schedule | nittance fee (5,50<br>will be deducted | 0 VND)<br>on your | which is subject<br>account | ted to the Ba | nk's prev  | ailing  |
|            |                  |  |                |                    |                   |            |                |           | Content                       |  |                   |                             |               |            |         |
|            |                  |  |                |                    |                   |            |                |           |                               |  |                   |                             | Conf          | rm         | Reset   |
| Note       | : Available time | e for cash transfer requests is from 0   | 18:00 to 15:55 | every trading day. |                   |            |                |           |                               |  |                   |                             | (             | 2)         |         |

- Step 2: The system will display the notification. Enter OTP and choose "Confirm" to complete the process

#### 3. SEARCH FOR MONEY TRANSFER HISTORY

Sub-account X1 and Sub-account M1

Choose Account/Withdraw money

At the cash transfer history:

| true Eriend KIS         | liet Nam Board<br>ecurities Corporation | Account Information               |                              |            |                      |            |             | Search Sto                             | ck Q CO                               | 00001M1      | - 1                | 🛞 🕞 Logol    |
|-------------------------|---|-----------------------------------|------------------------------|------------|----------------------|------------|-------------|--|---------------------------------------|--------------|--------------------|--------------|
|                         | Account Summary                         | Portfolio                         | Asset Management             | Order Book | With                 | draw Money | Right Exerc | ise                                    |                                       |              |                    |              |
| Withdraw Money          |   |                                   |                              |            |                      |            |             |  | Portfolio                             | Orders A     | sset Managemen     |              |
| Transfer Cash To Intern | al Sub Account Transfer Cash To         | Bank Account                      |                              |            |                      |            |             |  |                                       |              |                    |              |
| Sending Account         |   |                                   |                              |            | Beneficiary          |            |             |  |                                       |              |                    |              |
| Transfer Type           |   | ⑦ Full name                       |                              |            | Account Number       | 12345678   |             | Bank ACB                               |                                       | Branch       | CB Tất cả chi nhá  |              |
| Account Number          | C000001M1                               |                                   | t 101,232,138,572 VND        |            | Full name            |            |             | Transfer Amount                        |                                       |              | 10,0               | 00,000       |
|                         |   |                                   |                              |            |                      |            |             | Transfer fee                           |                                       |              |                    |              |
|                         |   |                                   |                              |            |                      |            |             | Note: Fee paid by<br>the Bank's prevai | transferer and t<br>ling fee schedule | he remittand | ce fee which is su | bjected to   |
|                         |   |                                   |                              |            |                      |            |             | Content                                |                                       |              |                    |              |
| Note: Available time f  | or cash transfer requests is from 0     | 08:00 to 16:00 every trading day. |                              |            |                      |            |             |  |                                       |              | Confirm            | Reset        |
|                         |   |                                   |                              |            |                      |            |             |  |                                       |              |                    |              |
| Cash Transfer History   | (1)                                     | (                                 | 2)                           | (3)        |                      |            |             |  |                                       |              |                    |              |
| Transfer Type To Ban    | Date                                    | 28/02/2022 🗄                      | 28/03/2022 📾                 | Query      | Danafisiani Assount  |            | lank        | Transfer                               | mount                                 |              | Clabus             |              |
| NU.                     | Unic                                    | Hansiel Type                      | Denenciary                   |            | Beneficially Account | L. L. L.   | Jarin       | Transier 7                             | anount                                |              | Status             |              |
|                         |   |                                   |                              | No Row     | To Show              |            |             |  |                                       |              |                    |              |
|                         |   |                                   |                              |            |                      |            |             |  |                                       |              |                    |              |
| 🟃 Place Order 🛛         | 15:22:26   28/03/2022 HOSE: Clo         | sed HNX: Closed UPCOM: C          | losed DR: Closed System: Con | inected    |                      |            |             |  |                                       |              | Order Book Ca      | sh Portfolio |



- (1) Choose type of transaction
- (2) Choose date and time
- (3) Click "Query"

#### ✤ Sub-account D

Choose Account/Cash Transfer

At the cash transfer history:

| Note: Availab | le time for cash transfer request | s is from 08:00 to 15:55 every tra | iding day.    |                 |                     |      |                 |              |        |  |  |
|---------------|-----------------------------------|------------------------------------|---------------|-----------------|---------------------|------|-----------------|--------------|--------|--|--|
| Cash Transfer | History (1)                       |                                    | (2)           | (3)             |                     |      |                 |              |        |  |  |
| Transfer Type | vsd_deposit 👻                     | Date 14/0:                         | 3/2022 🗎 14/0 | 04/2022 @ Query |                     |      |                 |              |        |  |  |
| No.           | FROM_TO_VSD                       | Transfer Account                   | Transfer Type | Beneficiary     | Beneficiary Account | Bank | Transfer Amount | Transfer fee | Status |  |  |
|               | VSD_WITHDRAW                      |                                    |               |                 |                     |      |                 |              |        |  |  |
|               | VSD_DEPOSIT                       |                                    |               |                 |                     |      |                 |              |        |  |  |
|               | Không Có Dữ Liệu Hiến Thị         |                                    |               |                 |                     |      |                 |              |        |  |  |

- (1) Choose type of transaction
- (2) Choose date and time
- (3) Click "Query"

#### Note:

- Time to process internal transfer request and transfer money to the bank is from 8:00 am to 4:00 pm on transaction days.

- The time to process the request to transfer money from the Derivative account, which includes deposit/withdraw VSD is from 8:00 am to 15:55 on trading days.

- Issued Orders after the above time will be rejected, please make your request on the next trading day.

## VIII. GUIDELINE FOR PURCHASE RIGHT

#### 1. PURCHASE RIGHT

Choose "Account" => choose "Right Exercise"

| Board | Account Information Search S             |                                       |                                   |                |   |  |  |  |  |  |  |
|-------|--|---------------------------------------|-----------------------------------|----------------|---|--|--|--|--|--|--|
|       | Portfolio                                | Asset Management                      | Order Book                        | Withdraw Money | Right Exercise                          |  |  |  |  |  |  |
| /     | Portfolio                                | <ul> <li>Asset Information</li> </ul> | Order Book                        | Withdraw Money | <ul> <li>Right Information</li> </ul>   |  |  |  |  |  |  |
|       | <ul> <li>Securities Statement</li> </ul> | Cash In Advanced                      | <ul> <li>Order History</li> </ul> |                | <ul> <li>Right Subscriptions</li> </ul> |  |  |  |  |  |  |
|       | Stock Transfer                           | <ul> <li>Cash Statement</li> </ul>    | Stop Order History                |                |   |  |  |  |  |  |  |
|       |  | Loan Detail                           | Order Confirmation                |                |   |  |  |  |  |  |  |



Display 2 platforms "Right Information" and "Right Subscription History" (below)

| Right Information Portfolio   Orders   Asset Management   ) Help |                |                   |                                   |                     |                            |                            |                   |                        |                       |                |                     |        |          |
|--|----------------|-------------------|-----------------------------------|---------------------|----------------------------|----------------------------|-------------------|------------------------|-----------------------|----------------|---------------------|--------|----------|
| Account No   | C000001M1      |                   | Available power to exercis        | e right: VND 101,23 | 2,138,573                  |                            |                   |                        |                       |                |                     |        |          |
| Symbol<br>Code   | Ratio          | Offering<br>Price | Time Period for Right<br>Transfer | Closed Date         | Time Period<br>Subscriptio | for Qty at close<br>n Date | Initial Right Qty | Available Right<br>Qty | Transaction<br>Amount | Registered Qty | Purchased<br>Amount | Status | Register |
|  |                |                   |                                   |                     |                            |                            |                   |                        |                       |                |                     |        |          |
|  |                |                   |                                   |                     |                            | N                          |                   |                        |                       |                |                     |        |          |
|  |                |                   |                                   |                     |                            | NO ROW TO ST               | w                 |                        |                       |                |                     |        |          |
|  |                |                   |                                   |                     |                            |                            |                   |                        |                       |                |                     |        |          |
|  |                |                   |                                   |                     |                            |                            |                   |                        |                       |                |                     |        |          |
| Right Subscr   | iption History |                   |                                   |                     |                            |                            |                   |                        |                       |                |                     |        |          |
| Symbol   | All            |                   | Status All 👻                      | Date                | 28/02/2022 🟥               | 28/03/2022 🛗               | Query             |                        |                       |                |                     |        |          |
| Re   | egistered Time |                   | Symbol Code                       | Offe                | ring Price                 | Registered C               |                   | Purchased Amour        | ıt                    | Execute Date   |                     | Status |          |
|  |                |                   |                                   |                     |                            |                            |                   |                        |                       |                |                     |        |          |
|  |                |                   |                                   |                     |                            | No Row To Sh               | wc                |                        |                       |                |                     |        |          |
|  |                |                   |                                   |                     |                            |                            |                   |                        |                       |                |                     |        |          |
|  |                |                   |                                   |                     |                            |                            |                   |                        |                       |                |                     |        |          |

#### 1.1 <u>Register Purchase right</u>

Customer registers for Purchase right, please following steps:

On "Right Information" will display stock information

- Step 1: Choose stock code => Click "Register"

After Click "Register", the system will display the information box of "Register buying right"

- Step 2: Check information and import amount on "Registered Amount" box
- Step 3: Click "Register" to complete

#### 1.2 <u>Search for Right Subscription history</u>

The following steps:

On "Right Subscription History" => Choose date and time => click "Query"

| - Right Subscription History |  |             |  |      |                |              |       |                  |              |        |
|------------------------------|--|-------------|--|------|----------------|--------------|-------|------------------|--------------|--------|
| Symbol                       |  | Status All  |  | Date | 28/02/2022 🛗   | 28/03/2022 🛗 | Query |                  |              |        |
| Registered Time              |  | Symbol Code |  |      | Offering Price | Registered   | Qty   | Purchased Amount | Execute Date | Status |

#### 2. STATUS OF RECEIVED RIGHT

To search for all information off account's right, for example: dividends in cash, stocks, bonus shares, right to buy.

Step 1: Choose "Account" => Choose "Right Subscriptions"



| Board | Account                                  | ccount Information |                                       |                                   |                |                                       |  |  |  |  |  |  |
|-------|--|--------------------|---------------------------------------|-----------------------------------|----------------|---------------------------------------|--|--|--|--|--|--|
|       | Portfolio                                |                    | Asset Management                      | Order Book                        | Withdraw Money | Right Exercise                        |  |  |  |  |  |  |
| 2     | <ul> <li>Portfolio</li> </ul>            |                    | <ul> <li>Asset Information</li> </ul> | <ul> <li>Order Book</li> </ul>    | Withdraw Money | <ul> <li>Right Information</li> </ul> |  |  |  |  |  |  |
|       | <ul> <li>Securities Statement</li> </ul> |                    | Cash In Advanced                      | <ul> <li>Order History</li> </ul> |                | Right Subscriptions                   |  |  |  |  |  |  |
|       | <ul> <li>Stock Transfer</li> </ul>       |                    | <ul> <li>Cash Statement</li> </ul>    | Stop Order History                |                |                                       |  |  |  |  |  |  |
|       |  |                    | Loan Detail                           | Order Confirmation                |                |                                       |  |  |  |  |  |  |

- Step 2: Choose "Date" to search for all information about buying right.
- Step 3: Click "Query"