
USER GUIDELINE FOR WTS PLATFORM

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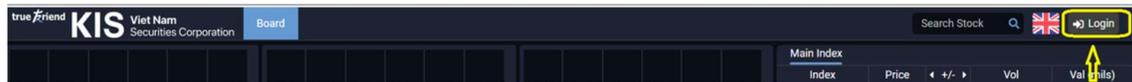
GUIDELINE FOR ONLINE TRADING

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

I. LOGIN TO ACCOUNT

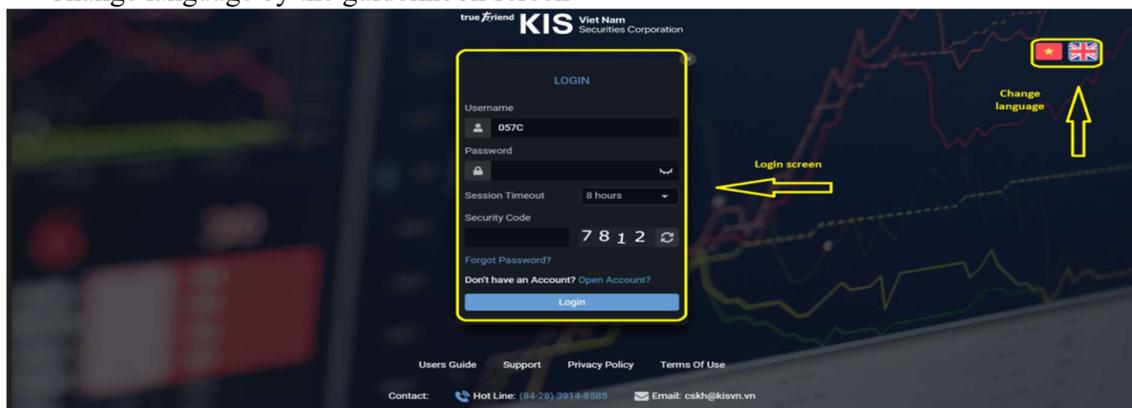
1. LOGIN

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

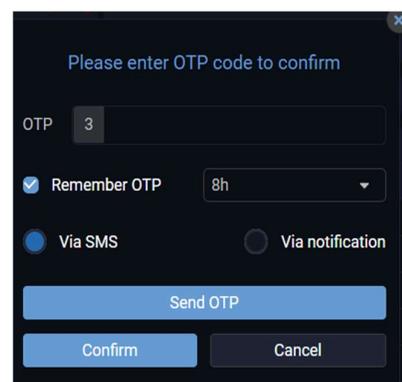


Step 2: Import Information

- Account number
- Import password
- Choose the session timeout
- Import authentication code -> click “login”.
- Change language by the guideline on screen



After Login, the authentication box will display. If using Via SMS authentication method → Enter the OTP code taken from the registered phone number message. If using the Via Notification authentication method → 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) → 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”

The screenshot shows the LOGIN screen with the following fields and options:

- Username: 057C
- Password: [Redacted]
- Session Timeout: 8 hours
- Security Code: 0 2 1 3
- Forgot Password? (highlighted)
- Don't have an Account? Open Account?
- Login button

The screenshot shows the Forgot Password screen with the following fields and options:

- Account No.: 057C
- ID/Passport No.: [Redacted]
- New Password: [Redacted]
- Confirm New Password: [Redacted]
- Confirm button (highlighted)

3. CHANGE PASSWORD

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

The screenshot shows the Account Info menu with the following options:

- Account Info
- Authorized Person Info
- Customer Profile
- Change Password (highlighted)

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

Account Summary	Portfolio	Asset Management	Order Book	Cash Transfer
Account Summary	Portfolio	Asset Information	Order Book	Cash Transfer Request
	Realized Portfolio	Cash Statement	Order History	
	Position Statement		Stop Order History	
			Order Confirmation	

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

Account	Total Stock Market Value	Unrealized P/L	Net Asset Value	PP
C000001M1	0	0	0	-
C000001M2	0	0	0	-
C000001X1	0	0	0	-
C000001D1	0	0	0	-

2. CREATE WATCHLIST

Way 1:

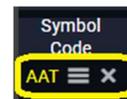
At the price board, Customers can create a list of stock symbol.

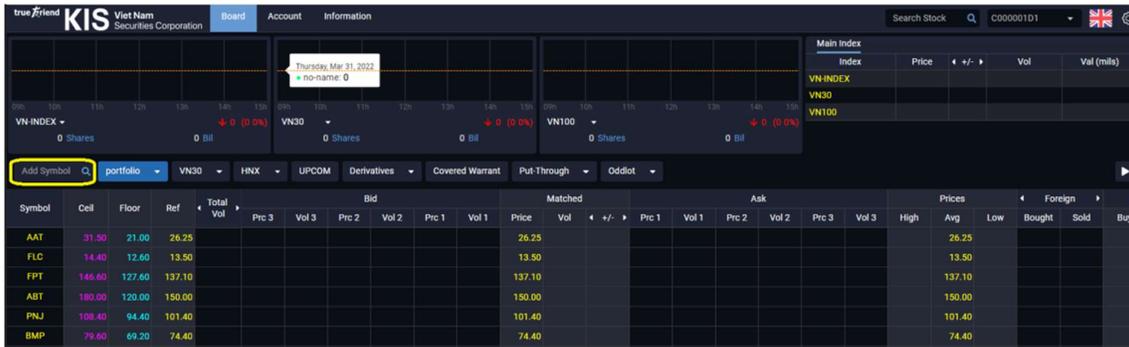
Step 1: Select the default field (on the right of the filed “add symbol”)

Step 2: Name the Watchlist, for example: portfolio

Step 3: Enter the stock symbol Customers want to follow

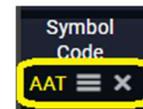
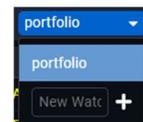
Step 4: Move the mouse on the stock symbol to drag position or delete





Way 2:

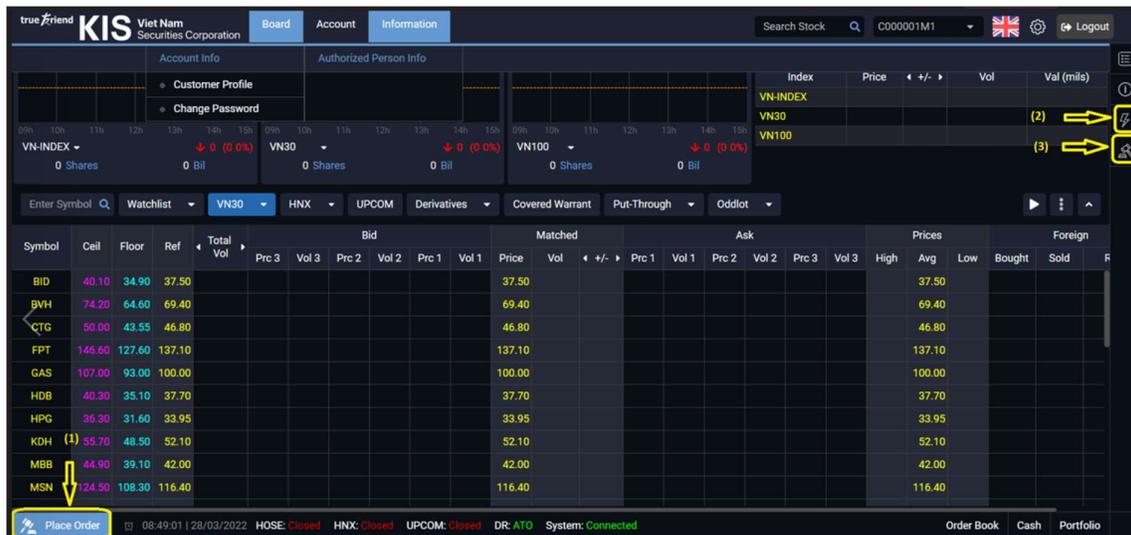
- Step 1: Select the item “Dashboard” on the right-side bar of the screen
- Step 2: Name the Watchlist, for example: portfolio
- Step 3: Enter the stock symbol Customers want to follow
- Step 4: Move the mouse on the stock symbol to drag position or delete



III. APPLICATION OF STOCK ORDER

1. PLACE STOCK ORDER

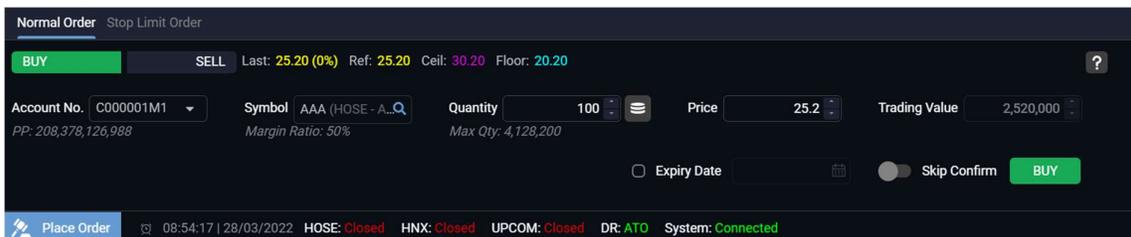
In general, there are 3 methods to place order: (1) Place order horizontally, (2) Speed order, (3) Place order vertically.



1.1 Place Order horizontally

❖ Place normal order: the following steps

- Step 1: Choose “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”



- Step 3:

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

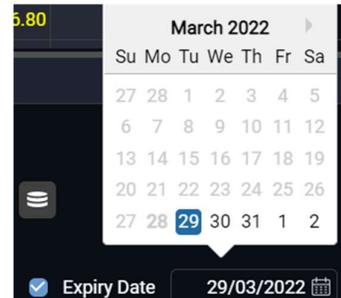
+ Derivative Trading => Choose sub-account D

- Step 4: Import stock code or Double click to choose stock code on Board.

- Step 5: Import Amount, Price

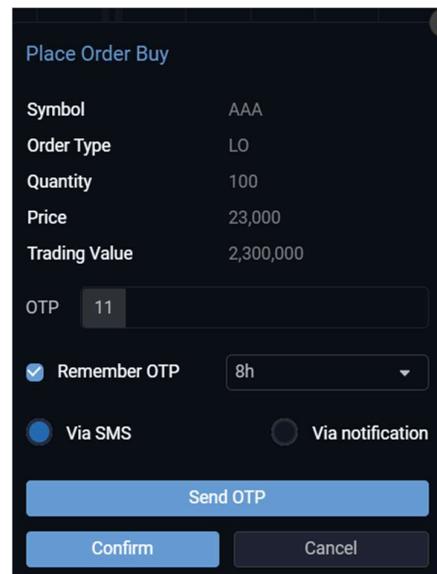
(Choose "Skip Confirm" if Customer wants to place order immediately and without checking details of placing order)

- Step 6: Choose Buy/Sell.

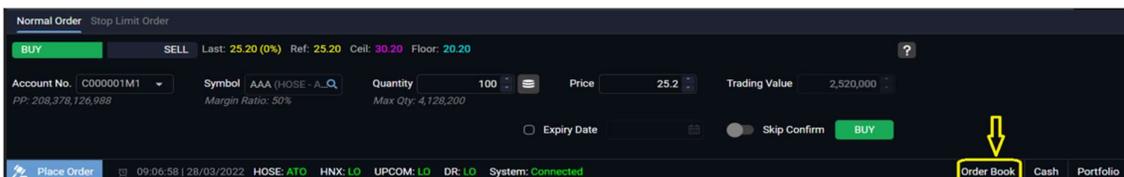


Note: If Customer wants to place order for other day or validity for many days => Choose "Expiry Date" and choose date (The selected date is the last effective date of the order, the order will be cancelled at the end of the day if it does not match, the order is valid up to 7 days from the current date)

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).



- 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.



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 < Market price.

- 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

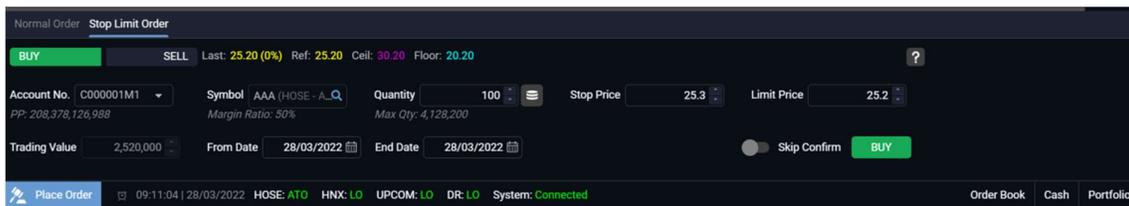
be activated)

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

Case 1: 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

Case 2: 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.



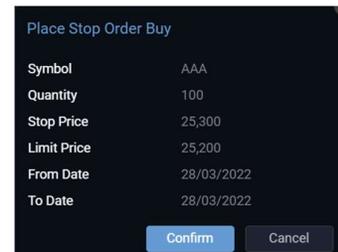
Place order by the following steps:

- Step 1: Choose “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)

- 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.



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”  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 Speed order

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

- Step 2:

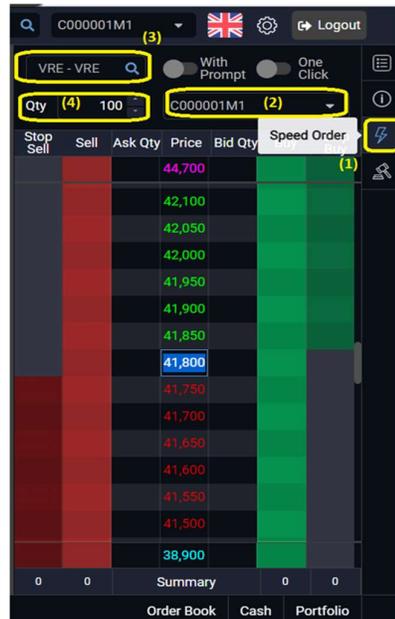
+ Fundamental Trading => Choose sub-account X1 or M1

+ 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

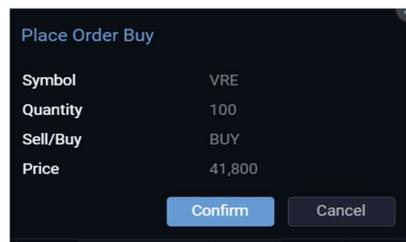
+ Buy/Stop buy order => Click on green box

+ 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)

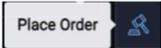
After Click, the system will display placing order notification.



- Step 6: Choose “Confirm” to place order

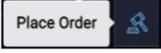
1.3 Place order vertically

❖ **Normal order:**

- Step 1: Choose “Place order”  in the vertical bar on the right side of the screen.

- The following steps are similar to “Place Normal Order” in **Section 1.1: Place order horizontally**

❖ **Stop limit order: Application for Fundamental trading (Sub-account X1 and M1)**

- Step 1: Choose “Place order”  in the vertical bar on the right side of the 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**

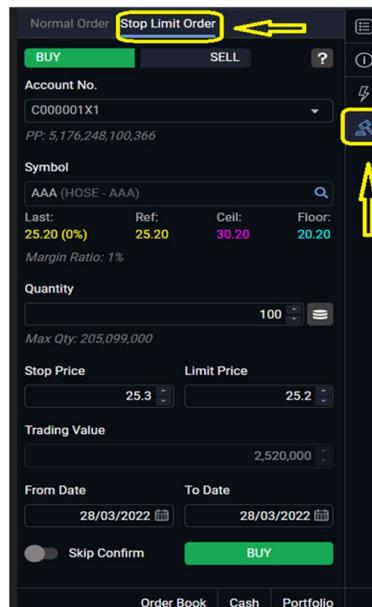
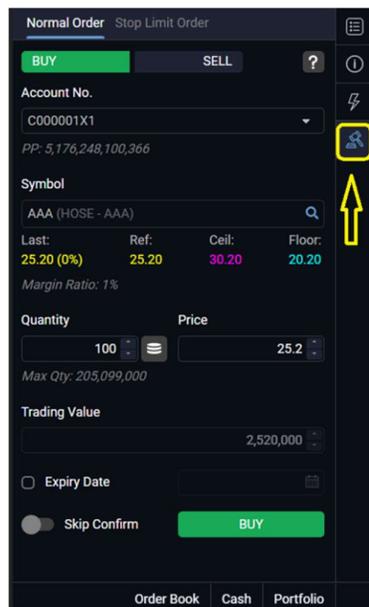
❖ **Conditional order: Application for Derivative trading (Sub-account D)**

- Step 1: Choose “Place order”  in the vertical bar on the right side of the 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 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

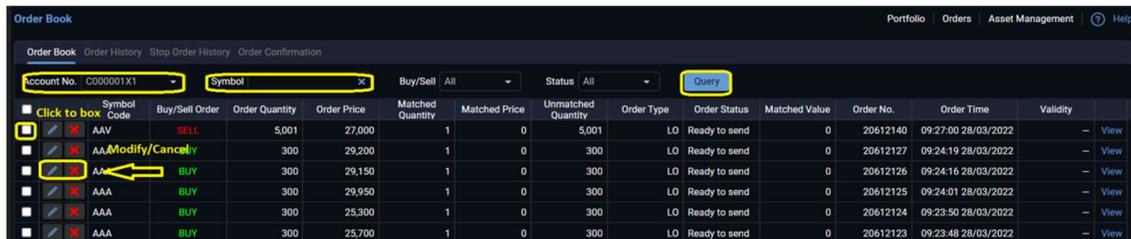
2.1 Cancel/Modify order in “Order Book” displays in tab “Account”

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

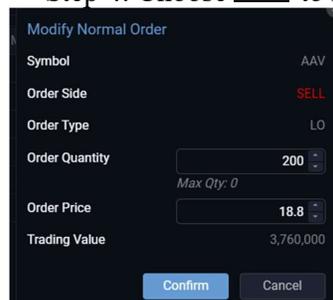
To Conditional order which has not been triggered, Customer go to tab of Stop Order History to modify/cancel order. When stop order is triggered, the sub-order is sent automatically as normal order that is managed in “Order Book”. Customer can modify orders in there. Display “Order Book”



Following steps:



- 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  to modify order:



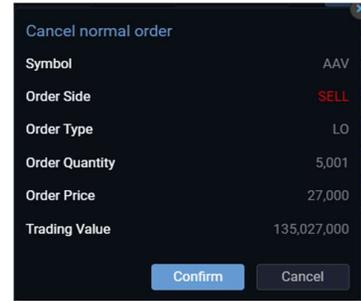
- The system will display the notification of Modify normal order => Modify price, quantity
- Import Matrix card/OTP code (if Customer does not save the authentication when logging in) and choose “**Confirm**” to modify order or “**Cancel**” to skip modify order. The notification will display when modify order is successful



+ Choose  to cancel order

- o 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)

The screenshot shows the "Order Book" interface with a table of orders. A yellow arrow points to the "Click all" checkbox in the top left corner of the table.

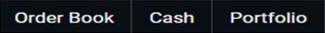
Account No.	Symbol	Buy/Sell	Order Quantity	Order Price	Matched Quantity	Matched Price	Unmatched Quantity	Order Type	Order Status	Matched Value	Order No.	Order Time	Validity
000001X1	AAV	SELL	5,001	27,000	1	0	5,001	LO	Ready to send	0	20612140	09:27:00 28/03/2022	-- View
	AAA	BUY	300	29,200	1	0	300	LO	Ready to send	0	20612127	09:24:19 28/03/2022	-- View
	AAA	BUY	300	29,150	1	0	300	LO	Ready to send	0	20612126	09:24:16 28/03/2022	-- View
	AAA	BUY	300	29,950	1	0	300	LO	Ready to send	0	20612125	09:24:01 28/03/2022	-- View
	AAA	BUY	300	25,300	1	0	300	LO	Ready to send	0	20612124	09:23:50 28/03/2022	-- View
	AAA	BUY	300	25,700	1	0	300	LO	Ready to send	0	20612123	09:23:48 28/03/2022	-- View

- Step 2: The system displays the notification box => Choose “**Confirm**”

A dialog box titled "Multiple Order Cancel Confirmation" containing a table with columns: Symbol Code, Buy/ Sell Order, Price, Quantity, Unmatched Quantity, Status, and Time. It has "Confirm" and "Cancel" buttons at the bottom.

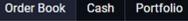
Symbol Code	Buy/ Sell Order	Price	Quantity	Unmatched Quantity	Status	Time
AAV	SELL	27,000	5,001	5,001	READY_TO_SEND	16:27:00
AAA	BUY	29,200	300	300	READY_TO_SEND	16:24:19
AAA	BUY	29,150	300	300	READY_TO_SEND	16:24:16
AAA	BUY	29,950	300	300	READY_TO_SEND	16:24:01
AAA	BUY	25,300	300	300	READY_TO_SEND	16:23:50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

2.2 Cancel/Modify order in “Order Book” in the bottom right corner of the screen

- Choose “Order Book” in the bottom right corner of the screen to check in-day order
- Display “Order Book” 
- 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



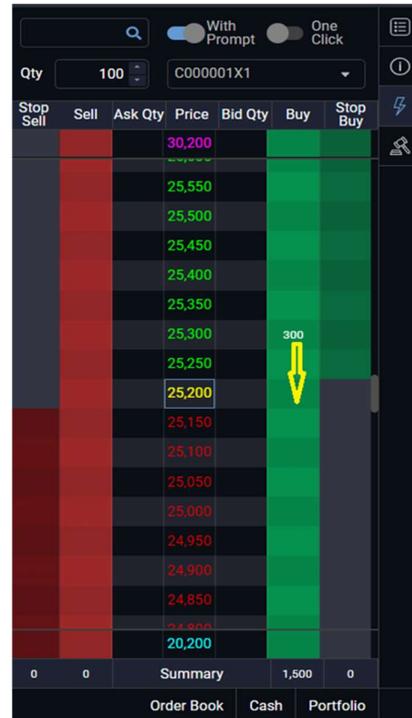
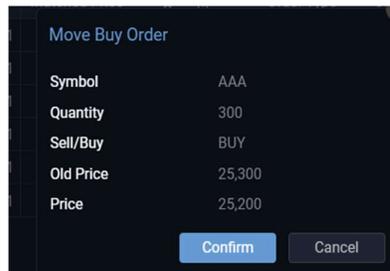
Order Book					
	Symbol	B/S	M.Qty/Qty	Ordered Price	Status
	AAV	S	1/5,001	27,000	Ready to send
	AAA	B	1/300	29,200	Ready to send
	AAA	B	1/300	29,150	Ready to send
	AAA	B	1/300	29,950	Ready to send
	AAA	B	1/300	25,300	Ready to send
	AAA	B	1/300	25,700	Ready to send



2.3 Cancel/Modify order on Speed order screen

❖ **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



- 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.

The screenshot shows the KIS trading interface. On the left, there is a table with columns: Unmatched Quantity, Order Type, Order Status, Matched Value, and Order No. The table contains several rows of order data. On the right, a 'Cancel Buy Order' dialog box is open, displaying details for a buy order: Symbol: AAA, Quantity: 300, Sell/Buy: BUY, Price: 25,300. Below the dialog box, there is a summary table with columns: Order Book, Cash, and Portfolio. The summary table shows values: Order Book (0), Cash (0), and Portfolio (1,500). A yellow arrow points to the 'Confirm' button in the dialog box.

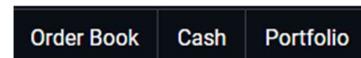
IV. GUIDELINE TO SEARCH FOR ORDER HISTORY

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”

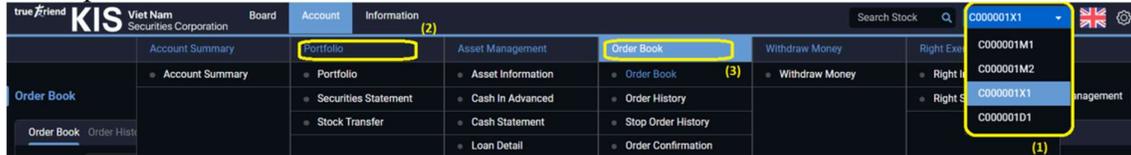
The screenshot shows the 'Order Book' window. It contains a table with the following columns: Symbol, B/S, M.Qty/Qty, Ordered Price, and Status. The table lists several orders for the symbol 'AAA'.

Symbol	B/S	M.Qty/Qty	Ordered Price	Status
AAV	S	1/5,001	27,000	Ready to send
AAA	B	1/300	29,200	Ready to send
AAA	B	1/300	29,150	Ready to send
AAA	B	1/300	29,950	Ready to send
AAA	B	1/300	25,300	Ready to send
AAA	B	1/300	25,700	Ready to send

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”



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.

Symbol Code	Buy/Sell Order	Order Quantity	Order Price	Matched Quantity	Matched Price	Unmatched Quantity	Order Type	Order Status	Matched Value	Order No.	Order Time	Validity
AAV	SELL	5,001	27,000	1	0	5,001	LO	Ready to send	0	20612140	09:27:00 28/03/2022	View
AAA	BUY	300	29,200	1	0	300	LO	Ready to send	0	20612127	09:24:19 28/03/2022	View
AAA	BUY	300	29,150	1	0	300	LO	Ready to send	0	20612126	09:24:16 28/03/2022	View
AAA	BUY	300	29,950	1	0	300	LO	Ready to send	0	20612125	09:24:01 28/03/2022	View
AAA	BUY	300	25,300	1	0	300	LO	Ready to send	0	20612124	09:23:50 28/03/2022	View
AAA	BUY	300	25,700	1	0	300	LO	Ready to send	0	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** Order ID: **1629008**
 Symbol: **AAV** Order Quantity: **5,001** Unmatched Qty: **5,001** Order Time: **09:27:00 28/03/2022**
 Order Side: **SELL** Matched Price: **0** Canceled Qty: **1** Channel: **INR**
 Order Type: **LO** Matched Qty: **1** Validity: **-**

Order Log

Time	Order ID	Action	Price	Quantity	Status	Remark
09:27:00 28/03/2022	1629008	Input Active Order	27,000	5,001	READY_TO_SEND	BestBid:0,BestA...

2.2 Search for order history

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

Note: If the Order status is denied, please click on  to check for a specific reason.

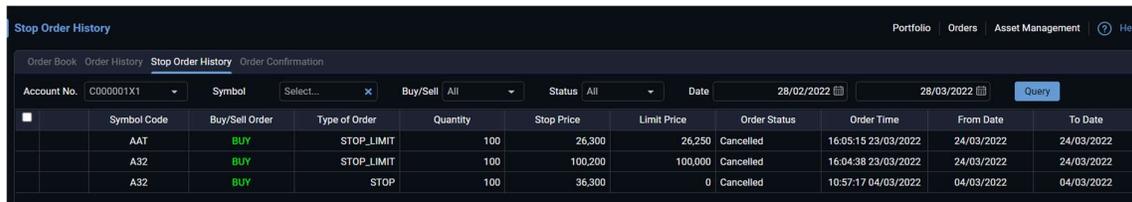


Symbol Code	Buy/Sell	Order Quantity	Order Price	Matched Quantity	Matched Price	Unmatched Quantity	Order Type	Order Status	Matched Value	Order No.	Order Time	Validity
AC4	BUY	100	3,000	1	0	99	LO	Reject 	0	1626054	12:20:46 24/03/2022	Day
AC4	BUY	100	3,000	1	0	99	LO	Reject 	0	1626053	12:20:46 24/03/2022	Day
AC4	BUY	100	3,000	1	0	99	LO	Reject 	0	1626052	12:20:46 24/03/2022	Day
AC4	BUY	100	3,000	1	0	99	LO	Reject 	0	1626051	12:20:46 24/03/2022	Day

2.3 Search for conditional order history

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

Choose Account/ Order book/ Stop order history

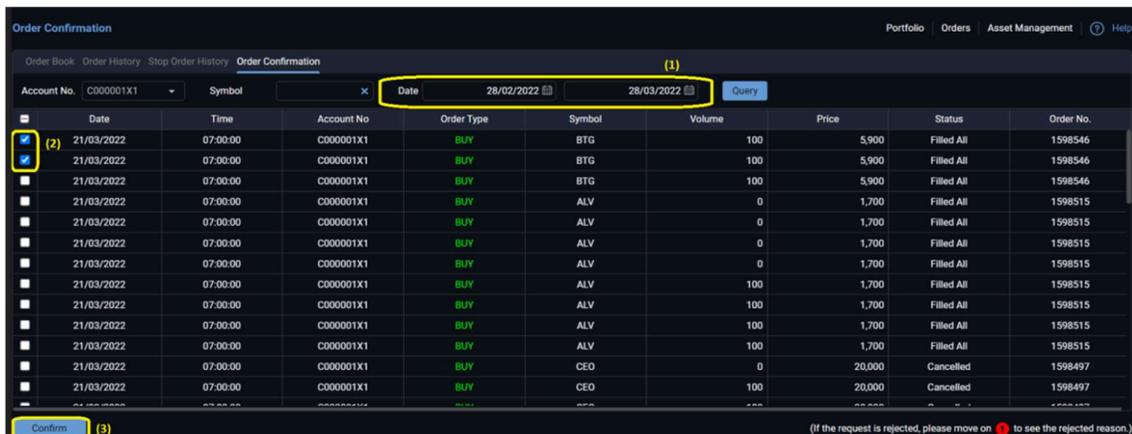


Symbol Code	Buy/Sell Order	Type of Order	Quantity	Stop Price	Limit Price	Order Status	Order Time	From Date	To Date
AAT	BUY	STOP_LIMIT	100	26,300	26,250	Cancelled	16:05:15 23/03/2022	24/03/2022	24/03/2022
A32	BUY	STOP_LIMIT	100	100,200	100,000	Cancelled	16:04:38 23/03/2022	24/03/2022	24/03/2022
A32	BUY	STOP	100	36,300	0	Cancelled	10:57:17 04/03/2022	04/03/2022	04/03/2022

2.4 Confirmation of online order

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



Date	Time	Account No	Order Type	Symbol	Volume	Price	Status	Order No.
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	0	1,700	Filled All	1598515
21/03/2022	07:00:00	C000001X1	BUY	ALV	0	1,700	Filled All	1598515
21/03/2022	07:00:00	C000001X1	BUY	ALV	0	1,700	Filled All	1598515
21/03/2022	07:00:00	C000001X1	BUY	ALV	100	1,700	Filled All	1598515
21/03/2022	07:00:00	C000001X1	BUY	ALV	100	1,700	Filled All	1598515
21/03/2022	07:00:00	C000001X1	BUY	ALV	100	1,700	Filled All	1598515
21/03/2022	07:00:00	C000001X1	BUY	ALV	100	1,700	Filled All	1598515
21/03/2022	07:00:00	C000001X1	BUY	CEO	0	20,000	Cancelled	1598497
21/03/2022	07:00:00	C000001X1	BUY	CEO	100	20,000	Cancelled	1598497

- (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 Request						
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

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 Quick search

- Choose “**Portfolio**” in the bottom right corner of the 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)
- 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)

- Net asset value (NAV)
- Amount of opening position

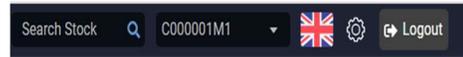
- Current price
- Profit/Loss

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 (CxxxxxxX1 -> Normal account) và Sub-account M1 (CxxxxxxM1 -> Margin account)

➤ Search for stock balance

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

Board	Account	Information
	Portfolio	Asset Management
	<ul style="list-style-type: none"> ● Portfolio ● Securities Statement ● Stock Transfer 	<ul style="list-style-type: none"> ● Asset Information ● Cash In Advanced ● Cash Statement ● Loan Detail

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

- + 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”

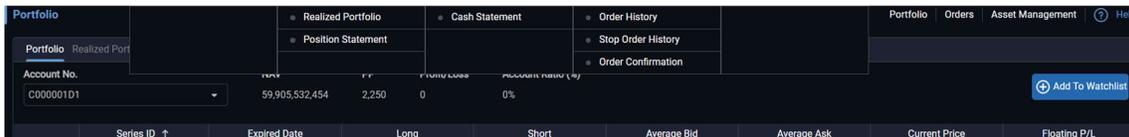


❖ Sub account D (CxxxxxxD -> Derivative trading account)

- Search for position balance Choose tab “Account” on the top left corner of screen -> Choose “Portfolio”/ Portfolio

Board	Account	Information
	Portfolio	Asset Management
	● Portfolio	● Asset Information
	● Realized Portfolio	● Cash Statement
	● Position Statement	

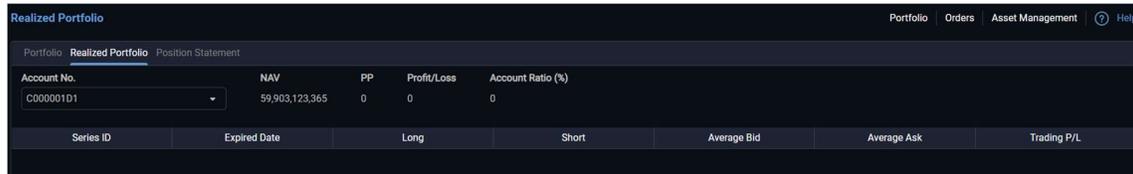
The section to check for opening position on customer account, including:



- + 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

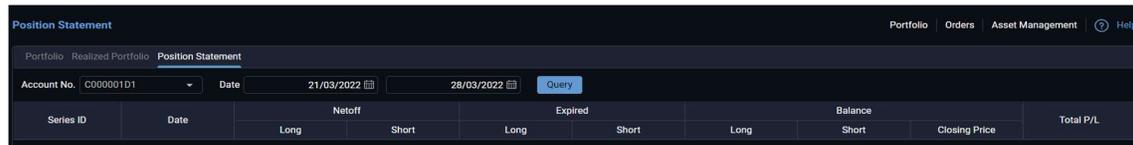


The section to check for closing position on customer account, including:

- + 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”.

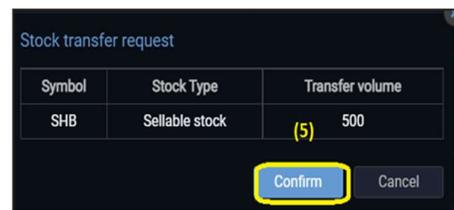


2. STOCK TRANSFER (Fundamental Account)



❖ 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



❖ Search for transfer stock history:

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

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,



Customer can check information about cash balance, stock value, outstanding balance and buying power.

Choose a sub-account on the top right of screen

1. ASSET MANAGEMENT

1.1 Sub-account X1 and Sub-account M1

Sub-account X1 (CxxxxxxX1 -> Normal account)

Sub-account M1 (CxxxxxxM1 -> Margin account)

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

Board	Account	Information
	Portfolio	Asset Management
	● Portfolio	● Asset Information
	● Securities Statement	● 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” on the bottom right of the screen

Cash	
Net Asset Value	-
Total Stock Market Value	-
Purchasing Power	-
Cash Withdrawal	-
Available advanced cash	-
Margin Call	-

- 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

+ 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:

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”

No.	Date	Details	Credit Amount	Debit Amount	Balance
		Beginning Balance			101,014,589,676.44

❖ **Search for debit details (Margin account M1)**

Account/Asset Management /Loan Detail/Loan Statement

Choose date -> Click “Query”

No.	Date	New Debt (Increase)	Paid Amount (Decrease)	Total Debt	Margin Call	Force Sell
1	28/02/2022	390,820,456	0	390,820,456	0	0
2	01/03/2022	0	390,820,456	0	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

No.	Content	Amount (VND)
1	Beginning Balance	-
2	Additional Disbursement	-
3	Repayment Amount	-
4	Ending Balance	-
5	Outstanding Interest (including interest and overdue interest)	-
6	Outstanding Debt (principle + interest)	-

I have already read, checked and confirmed that information above are complete and accurate

No.	Original Outstanding	Outstanding Interest	Status	Date Confirm

1.2 Sub-account D

Sub-account D (CxxxxxxD -> Derivative account)

Choose tab “Account” on the top left of screen

-> Choose “Asset management”

Account		Information	
Portfolio		Asset Management	
• Portfolio		• Asset Information	
• Realized Portfolio		• Cash Statement	
• Position Statement			

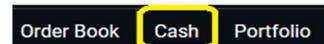
Including 2 main contents: Asset information and Cash statement

❖ 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				Portfolio Assessment		
Net Asset Value	59,905,832,454	Floating/Trading P/L	0 / 0	Initial Margin	Internal	Exchange
Account Balance	59,904,055,365	Total P/L	0	Spread Margin	0	0
Commission/Tax	0 / 0	Mkt Reserv	0	Delivery Margin	0	0
Interest	1,477,089	Marginable	59,903,115,127	Margin Req	0	0
Total Loans	0	IRC Call	0	Account Ratio	0 %	0 %
Delivery Amount	0	Cash/Non-Cash	59,903,123,365 / 0	Warning 1/2/3	75/85/95	75/85/95
				Margin Call	0	0
Cash Information				Cash Information		
				Cash	Internal	Exchange
				Total Value	59,904,041,365	14,000
				Cash Withdrawable	59,904,055,365	14,000
				EE	59,903,120,365	3,000
					44,927,342,524	2,250

(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 = Maximum amount 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”

2. CASH ADVANCE (Fundamental account)

Select Account / Asset Management / Cash In Advanced

- 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

No.	Request Time	Required Advance Amount	Advance Fee	Tax	Sold Amount In Advance	Transaction detail

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:

- (1) Sending account: Choose sub-account
Check for cash balance
- (2) Beneficiary screen, Choose sub-account
- (3) Import amount of money
- (4) Click "Confirm".

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

2. MONEY TRANSFER TO BANKING ACCOUNT

Choose Account/Withdraw Cash/ Transfer Cash To Bank Account

2.1 Transfer money to registered banking account

- Step 1: Information screen

- (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

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

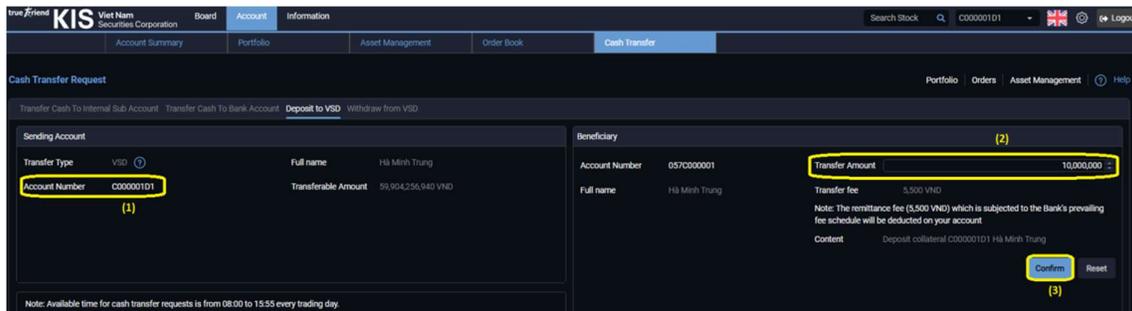
- (3) Banking information: Choose name of banking => Branch: Choose valid branch
 - (4) Amount money information: Import amount of money
 - (5) Click “Confirm”
- Step 2: The system will display the notification.
Enter OTP and choose “Confirm” to complete the process

2.3 Deposit and Withdraw from VSD (Sub-account D)

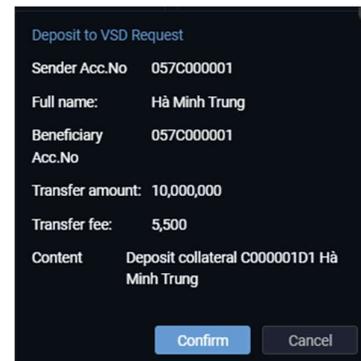
❖ Deposit to VSD

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”



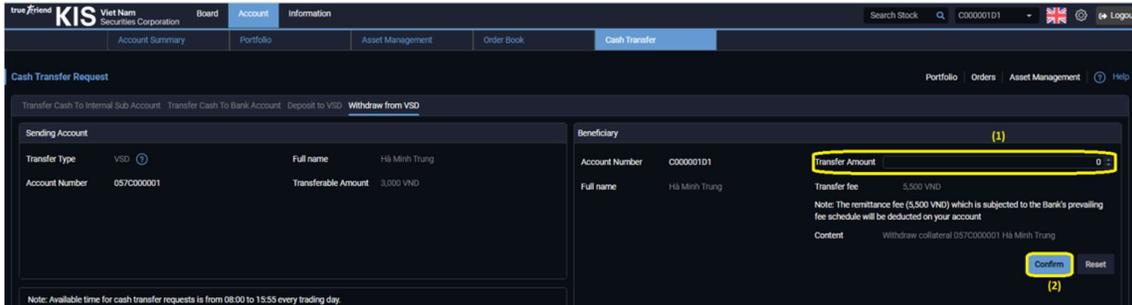
- Step 2: The system will display the notification.
Enter OTP and choose “Confirm” to complete the process



❖ Withdraw from VSD

Choose Account/ Cash Transfer/ Withdraw from VSD

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

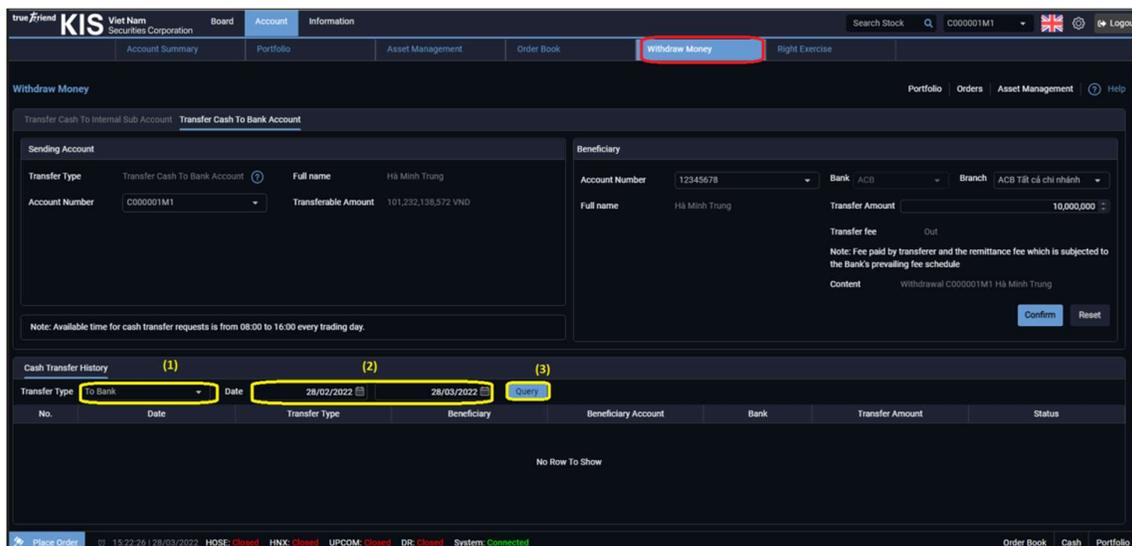


- Step 2: The system will display the notification.
- Enter OTP and choose “Confirm” to complete the process

3. SEARCH FOR MONEY TRANSFER HISTORY

- ❖ Sub-account X1 and Sub-account M1

Choose Account/Withdraw money
At the cash transfer history:



- (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:



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

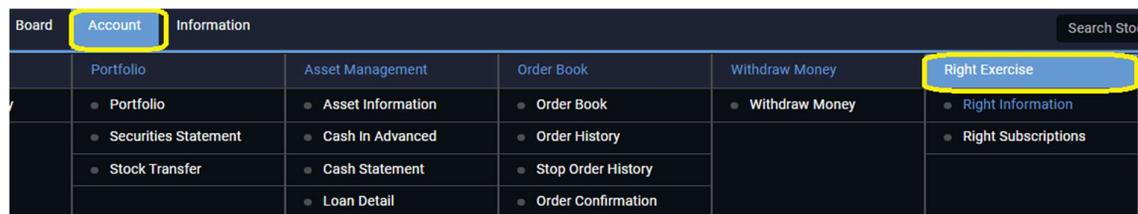
Note:

- 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.

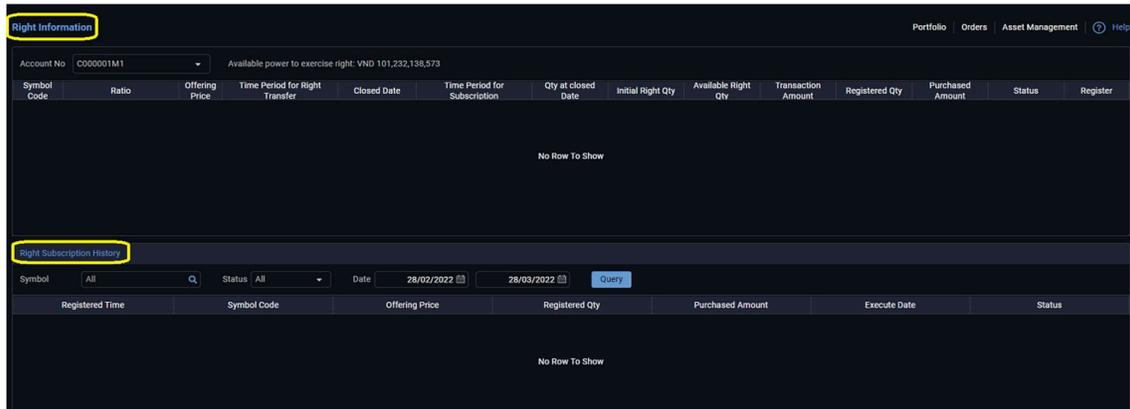
VIII. GUIDELINE FOR PURCHASE RIGHT

1. PURCHASE RIGHT

Choose “Account” => choose “Right Exercise”



Display 2 platforms “Right Information” and “Right Subscription History” (below)



1.1 Register Purchase right

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 Search for Right Subscription history

The following steps:

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



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	Information				Search Stock
	Portfolio	Asset Management	Order Book	Withdraw Money	Right Exercise	
	• Portfolio	• Asset Information	• Order Book	• Withdraw Money	• Right Information	
	• Securities Statement	• Cash In Advanced	• Order History		• Right Subscriptions	
	• Stock Transfer	• Cash Statement	• Stop Order History			
		• Loan Detail	• Order Confirmation			

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