GUIDELINES FOR OPENING A SECURITIES TRADING ACCOUNT FOR FOREIGN INVESTORS

Dear Valued Investors,

SmartInvest Securities Corporation (AAS) would like to express our warmest greetings and sincere appreciation to you for choosing AAS to open your securities trading account.

Regarding the procedure for opening a securities trading account for foreign investors in Vietnam, we would like to provide you with the following information:

A. GENERAL INFORMATION

Foreign institutional or individual investors must complete the required documentation before securities transaction in Vietnam, as outlined below:

- ✓ **Application for a Securities Trading Code (STC):** This unique code is issued by the Vietnam Securities Depository and Clearing Corporation (VSDC) for each foreign investor.
- ✓ **Opening a securities trading account** with a depository member Securities Company
- ✓ **Opening an Indirect Investment Capital Account (IICA)** in Vietnamese Dong at only one commercial bank or a branch of a foreign bank authorized to conduct foreign exchange business in Vietnam.

B. DOCUMENTATION FOR OPENING A SECURITIES TRADING ACCOUNT FOR FOREIGN INVESTORS

No.	Document	Requirement	Q'ty	Remark
I. FOR INDIVIDUAL INVESTORS				
1.	Securities Trading Code Registration Form – Form of SmartInvest (for individuals)	Original Copy	02 copies	Applied for foreign investors without a Securities Trading Code (STC)
2.	Power of attorney	Original Copy	01 copy	Applied for Foreign Investors with an Existing Securities Trading Code (STC)

3.	Securities Trading Code (STC) Certificate issued by VSDC	Notarized Copy	01 copy	Applied for Foreign Investors with an Existing Securities Trading Code (STC)
4.	Confirmation Letter or Contract for Opening an Indirect Investment Capital Account (IICA) or a Linked Bank Account	Copy	01 copy	The bank account opening procedure is subject to the specific regulations of each bank.
5.	Contract for Opening Securities Trading Account and Related Services (for Foreign Investors)	Original Copy	02 copies	Provided by AAS Signature must match the signature on the passport
6.	Valid Passport	Notarized Copy (*)	03 copies	02 copies for Securities Trading Code registration, 01 copy for record-keeping
7.	Trading Authorization	Original Copy	01 copy	Applied for Investors with an Authorized Representative
8.	Passport or Citizen Identification Card (of the Authorized Person)	Notarized Copy		
9.	FATCA W-8BEN Form (for individuals)	Original Copy	02 copies	For foreign investors with U.S. indicia
10.	FATCA W-9	Original Copy	02 copies	For Foreign Investors with U.S. Citizenship
II. FOR INSTITUTIONAL INVESTORS				
1.	Securities Trading Code Registration Form – Form of SmartInvest (for Institutional Investors)	Original Copy	02 copies	Applied for foreign investors without a Securities Trading Code (STC)
2.	Power of attorney	Original Copy	01 copy	Applied for Foreign Investors with an Existing Securities Trading Code (STC)

3.	Securities Trading Code (STC) Certificate issued by VSDC	Notarized Copy	01 copy	Applied for Foreign Investors with an Existing Securities Trading Code (STC)
4.	Establishment and Operation License, Business Registration Certificate, or an Equivalent Document Issued by a Competent Foreign Authority, or Branch Establishment License for a Foreign Organization in Vietnam	Notarized Copy (*)	02 copies	01 copies for Securities Trading Code registration, 01 copy for record-keeping
5.	Documents Related to the Authority of the Legal Representative: • *Organization's Charter (Copy)* • *Power of Attorney or Official Appointment Letter for the Organization's Trading Representative (1 Original Copy)* • *Notification of the Company's Specimen Seal and Specimen Signature of the Legal Representative*	Copy	01 copy	
6.	Contract for Opening Securities Trading Account and Related Services (for Foreign Investors)	Original Copy	02 copies	Provided by AAS
7.	Valid Passport of the Legal Representative	Notarized Copy (*)	02 copies	01 copies for Securities Trading Code registration, 01 copy for record-keeping
8.	Confirmation Letter or Contract for Opening an Indirect Investment Capital Account (IICA) or a Linked Bank Account	Copy	01 copy	The bank account opening procedure is subject to the specific regulations of each bank.

9.	FATCA W-8BEN Form (for institutional)	Original Copy	02 copies	For foreign investors with U.S. indicia
10.	FATCA W-9	Original Copy	02 copies	For Foreign Investors with U.S. Citizenship

Note:

- ***Notarized Copy (*):*** Must be notarized in the investor's home country according to local laws/ Notarized at a notary office in Vietnam/ notarized and legalized by the Vietnamese consulate. The notarization/legalization must have been completed within the preceding six (06) months.
- **Foreign investors must comply with regulations on foreign ownership** when trading stocks on the Vietnamese securities market.

Thank for your cooperation and support

Sincerely,

Center for Customer Service

SmartInvest Securities Corporation (AAS)