

# SERVICE REGISTRATION FORM



(Attached hereby with Account opening application and securities trading account opening agreement, Date .....)

Client's name: .....

ID/Passport No./Incorporation Certificate No. (for institutions): ..... Date of issuance: ..... Issued by: .....

Represented by (for institutions): ..... Title: .....

ID/Passport No. of represented person (for institutions): ..... Date of issuance: ..... Issued by: .....

Securities trading account number:

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(hereinafter referred to as Client)

## I. SERVICE REGISTRATION

### 1. E-TRADING SERVICE REGISTRATION

Mobile phone number registered for E-Trading services<sup>(1)</sup>: .....

Email registered for E-Trading services<sup>(2)</sup>: .....

Note: Information on Client's registered email and mobile phone number will be automatically updated into Client's account profile at SSI.

Please tick off the services to register or update information:

**Using the verification method by Token** Token code: .....  
Note: If you choose Token as your verification method, SSI will activate the verification by token for your account on SSI Online trading services (if any), SSI Contact Center service and securities service via SMS automatically. Customers can also choose another verification type for below individual services.

**Online Trading Services & order confirmation**  **Online Order confirmation**

**Using the verification method by Pin code**

**SMS service**

**Trading via SSI Contact Center 1900545471 & 1900545418 (or 028.39141 678):**

**Using the verification method by CCPin**

▶ **Register mobile phone number for trading via Contact Center:**

**Use another mobile phone number in case of not using the number stated in item 1:** .....

**Only authentication by incoming mobile number when you make a query on IVR – Interactive Voice Response**

▶ **Register language:**  Vietnamese  English  Japanese  Chinese

▶ **Verification types:**  CCPIN  Token

**Email services**

**Placing orders via email**

**Register for SSI Newsletters**

**Receive SSI Newsletters via email**

**Download SSI Newsletters from website: [www.ssi.com.vn](http://www.ssi.com.vn)**

**Register language for newsletter:**  Vietnamese  English  Japanese  Chinese

**Register for SSI Daily Statement via email (for customers who deposited shares at custodian banks)**

**Register language for statement via email:**  Vietnamese  English

**DMA service**

**Money transfer service via Online Trading / Contact Center or registered email:**

**Use another email in case of not using the registered email stated in item 2:** .....

▶ Client can transfer money between SSI and VSD accounts for derivatives trading deposit

▶ Client can register information of beneficiary FII account:

No.	Beneficiary	Account number	Bank name	Province/City
1				

Client information provided in this form shall take priority and be effective to replace any information of different content that client had provided to SSI on the Account opening application and securities Trading account opening contract, Account opening application and margin trading account opening contract, Account opening application and derivatives trading account opening contract, Annex 1 etrading service supply agreement signed between client and SSI or client information provided to SSI before having signed this registration.

**Multiple Account Management**

Client can register to add his/her account to the trading account list of authorized person so that the authorized person can trade multi accounts via Online Trading system and SSI Contact Center. Registered authorized person account must satisfy two following requirements:

- ✓ Registered Online Trading Services
- ✓ The authorized person is granted the following scope of authority

A/C Name – Authorized person:.....

A/C No:.....

**Range of authorization:**

- Place order     Money transaction     Stock transaction     Full authorization

**2. REGISTRATION FOR AUTOMATIC CASH ADVANCE SERVICE**

Please tick off to register the service:

**Automatic cash advance service**

The Client requests for receiving in the Client's securities trading account in advance the cash proceeds from sale of securities that has been successfully matched in order to buy listed stocks on the Vietnam Securities Markets ("Service Provision").

**CASH IN ADVANCE EVALUATION METHOD:**

**Cash in Advance Value = Purchase Value – Available Cash Balance**

In which:

- a. Purchase Value: Matched Price X Securities Volume. The Purchase Value subject to SSI's determination from time to time;
- b. Available Cash Balance comprise of:
  - i. Cash available in Securities Trading Account;
  - ii. Deposit amount provided in any services agreement binding between both parties (subject to Securities Company's discretions)

By ticking off the services and signing for the box below, the Client confirms that he/she has been adequately consulted by Securities Company's staff, understands and agrees with all features, terms and conditions as well as risks related to using these services.

Date :...../...../.....
<b>CLIENT</b> (Signature, fullname, stamp)
Fullname:.....

<b>Confirmation of SSI Securities Corporation.</b>	
Date: <b>Officer:</b> (Signature, fullname)	<b>Approver:</b> (Signature, fullname)
Fullname :.....	Fullname :.....

## II. TERMS OF USE

### Article 1: Term definition

- 1.1 **"DMA"** is direct market access channel that allows the Client to place orders via third party systems such as Bloomberg, ITG, Hybrid etc. without any manual interference from the Securities Company.
- 1.2 **"E-Trading"** is the transactions related to securities, money in the Client's securities trading account opened at The Securities Company, which (i) are performed in accordance with the E-Trading Services; (ii) through DMA and (ii) through electronic means including without limitation of telephone, fax, internet, SMS messages, email, web-chat and electronic others.
- 1.3 **"E-Trading Service"** is the services provided by the Securities Company for the Clients at certain time for the Client's E-Trading performance purpose.
- 1.4 **"System"** is the system built by the Securities Company in order for E-Trading performance including software programs, utilities, applications which are installed at <https://webtrading.ssi.com.vn>, belonging to <https://www.ssi.com.vn> or the system of telephone, fax of the Securities Company.
- 1.5 **"Logging password"** is the password to verify the Client when they access the system.
- 1.6 **"Trading password"** is the password which is used to confirm before performing a transaction. There are two kinds of trading password:
  - (1) One-time Password (OTP): which is valid for only one transaction at one certain time for a certain Customer, and will automatically disappear within a certain period of time.
  - (2) PIN code: which is established by the Customer and will be effective until being changed by the Customer.
- 1.7 **"Token"** is a security tool provided by the Securities Company for the Client to create Trading password when The Client wants to use E-Trading Service and/or perform E-Trading.
- 1.8 **"Electronic record"** is data related to performing the Client's securities, money transactions, which is created, generated, received and stored when E-Trading Service is used and/or performed.
- 1.9 **Force majeure** means any events including any acts or restrictions of the Government or civil authorities, riots, wars, civil commotions, insurrections, strikes, other labor controversy and other work stagnations, unoperated or prevented utilities, epidemic diseases, fires, floods, earthquakes, tsunamis or natural disasters, and other events beyond the control of the two parties otherwise unavoidable, which prevent any party or both parties from fulfillment of all or part of these terms.
- 1.10 **"UUID"** is unique user identification.

### Article 2. Content of agreement

- 2.1 The Securities Company agrees to provide and the Client agrees to use E-Trading Service.
- 2.2 The Securities Company will deliver Token to the Client directly or by post or by other delivery means to the Client's address registered at the Security Company if requested.
- 2.3 The Securities Company shall regulate or govern the concrete content of the Service if reasonable at certain time and publicized these contents on the official website of the Securities Company.
- 2.4 Once signing this registration, Client has the right to register for E-Trading service, and other securities services which are currently provided or will be provided by SECURITIES COMPANY in the future, according to any policy of SSI at a certain point of time. By the using our service, and execution of the E-Trading Service Registration Form above, the Client hereby agrees to all terms and conditions hereof.
- 2.5 The Securities Company's E-Trading Service provision and the Client's use of E-Trading Service and/or E-Trading performance are bound by the terms and conditions of Account Opening Agreement, related undertakings which the Client has signed with the Securities Company and/or conditions, ways, detailed trading regulations which are instructed and informed directly by the Securities Company or on the website of the Securities Company.

### Article 3. Risks from E-Trading

There are likely risks any time in using E-Trading Service and/or E-Trading performance due to the faults of the System or of any third party. The Client undertakes to accept every risks arising from using E-Trading Service and/or performing E-Trading, due to the faults of the System, of any third party or the Client's acts affecting using E-Trading Service and/or performing E-Trading, included but not limited to the following risks:

- (1) Technical errors arising from hardware and software systems;
- (2) Line connection from the securities company to the Stock Exchange is disconnected caused by the supplier;
- (3) Force majeure causes such as natural disasters, earthquakes which affect to the hardware system;
- (4) The risk of network outage due to traffic congestion (domestic and international);
- (5) Computers may be infected virus or be hacked into network, which causes a stop of information exchange in the network
- (6) Software infrastructure errors such as: operating system, virtualization software caused by the manufacturer;
- (7) Orders may be suspended, delayed, or contain data errors;
- (8) Identification of institutions or investors may be incorrect;
- (9) Price board and other information about securities may be defective or misleading or may have a delay of 1 - 30 seconds due to objective reasons;
- (10) Corporate information and information updated on SSI's website or SSI's online trading systems are quoted from stock exchanges (HNX, HSX) and from StoxPlus (official information provider for SSI);
- (11) Possible risks of order confirmation methods for investors.

### Article 4. Time of Service supply

- 4.1 The Securities Company will provide E-Trading Service continuously.
- 4.2 The time of E-Trading Service supply related to securities buy/sell/cancel transactions is performed upon regulations of Ho Chi Minh Stock Exchange/Ha Noi Stock Exchange from time to time.
- 4.3 The time of suspending E-Trading service supply due to amendment, maintenance and updating of the System or being requested by competence governmental offices shall be informed in advance by the Securities Company.

### Article 5. Fee

- 5.1 When using E-Trading Service and/or performing E-Trading, the Client agrees that the Security Company might define one or some service fees ("**Service Fee**"). For the avoidance of doubt this Service Fee is not securities brokerage charge but the Client is responsible for paying to the Securities Company for each certain securities buy/sell transaction.
- 5.2 Service Fee will be informed to the Client when registering to use E-Trading Service and/or perform E-Trading by the Securities Company. The Securities Company reserves the right of defining and changing content, format and level of Service Fee from time to time.
- 5.3 The Client is responsible for transportation charge, or delivery charge by post or any other transportation means if the Custom requests to be delivered Token by post or other transportation means to the registered address at the Securities Company.

### Article 6. Security

#### 6.1 The Client's responsibility

- 6.1.1 Keep the logging password, trading password in secret, maintain Token and be responsible for all losses and damages due to logging password, trading password revealed under any circumstance or Token mislaid for any reason.
- 6.1.2 In the case of discovering the above information out of the Client's control, the Client has to keep the Securities Company informed without delay and performs the Securities Company instructions.
- 6.1.3 In the case that Token is mislaid or stolen, the Client has to keep the Securities Company informed without delay in writing, performs its instructions and pay it the charge of buying a new Token. The Client is completely responsible for happening or performed transactions before the Securities Company confirms to have received the Client's notice.
- 6.1.4 In case of DMA service:
  - (i) to input the order via DMA and be responsible for the accuracy of such order and its results thereof.
  - (ii) to be responsible for the transaction(s) executed in accordance with the order(s) placed by the Client via DMA.

#### 6.2 The Securities Company's responsibility

- 6.2.1 Keep the Client's personal information (logging account/logging password, and all other information) in secret, except for the case of providing this information for offices having jurisdiction by law.
- 6.2.2 Support the Client to recover logging information when requested by the Client.

### Article 7. The Client's undertakings

- 7.1 Undertake to read carefully, understand clearly and keep to the manual of using E-Trading Service and/or performing E-Trading, which are directly provided by the Securities Company or publicized on its website ("**Public Instruction**"). The Securities Company is not responsible for unperformed E-Trading for any reason or any damages if the Client does not perform Public Instruction in the right way.
- 7.2 Trading password from Token/PIN/CCPIN are deemed to be the Client's electronic signature ("**Electronic signature**") and electronic record created and generated with The Client's electronic signature has legal value as the Client's orders requested directly and valid at the Securities Company's trading counter (order slip, payment order, other requests concerning to Client's account at SSI)
- 7.3 Agree that any access/trading to/on the Client's securities trading account by username with right logging password and trading password or other defining factors provided by the Securities Company

to the Client is regard as the Client's access.

- 7.4 Provide fully/register information related to the Client and quickly inform the Securities Company when that information is changed, be responsible for such provided information. The change is valid just after the Client receives the Securities Company's confirmation in writing. In case of DMA service, the Client shall also provide information of its authorized persons along with their UUID for placing order(s), the UUID can be provided by the Client to the Securities Company via emails or chat apps.
- 7.5 Accept that all information or exchanges sent to or from email, telephone, fax or other electronic means registered to the Securities Company by the Client are naturally regarded as sent to or from the Client.
- 7.6 Pay full amount Services Fee and other expenses in accordance with the regulations of the Securities Company publicly instructed from time to time.
- 7.7 Be aware of and agree likely risks from E-Trading mentioned in Article 4 of these terms of use and the Risks Disclosure provided by the Securities Company or publicized on its website.
- 7.8 When signing or authorizing the other person to perform E-Trading on the Client's Securities trading account, the Client naturally acknowledge to have considered carefully this authorization and is completely responsible for E-Trading performed by such authorized person.
- 7.9 Be responsible to apply any reasonable measures in order to ensure security and logicity for all kinds of machines, connection equipment, systematic software, application software,...used by the Client to connect, access to the System in order to control and prevent illegal use and access to E-Trading Service.
- 7.10 Agree to authorize the Securities Company to extract money from the Client's securities trading account to pay Services Fee and/or other expenses by the Securities Company's regulations related to the Client using E-Trading Service or performing E-Trading
- 7.11 Concerning to automatic cash advance service, when registering this service, Clients undertake:
  - 7.11.1 Agree to the Securities Company deduct the corresponding cash amount from the Client's Securities Trading Account or request the bank registered with the Securities Company (the "Bank") to deduct corresponding cash amount from the Client's cash account at the Bank on settlement date when cash proceeds from sale of securities is received in the Client's Securities Trading account or the Client's cash account at the Bank in order to repay cash in advance and any cash-in-advance fee as the Securities Company's regulation from time to time.
  - 7.11.2 Refund the Securities Company the full amount of cash in advance and any cash-in-advance fee on the repayment date according to the Securities Company's regulations from time to time in case when the matching results of selling transaction are cancelled by the Vietnam Securities Depository under any circumstance.
  - 7.11.3 Pay to Securities Company all liabilities, which includes cash in advance and any cash-in-advance fee in accordance with the Securities Company's regulation from time to time in case when the available cash balance on the Client's Securities Trading Account or the Client's cash account at the Bank is not adequate as soon as the Client receives the Securities Company's request.
  - 7.11.4 Agree that Securities Company has full right to sell any securities on the Client's Securities Trading Account at selling prices decided by the Securities Company if Client cannot settle all liabilities fully and on time according to the Securities Company's policies related to purchase/sell transactions and/or Cash-in-advance Service. Client is responsible for continuing to pay in full the remaining outstanding liabilities as soon as the Securities Company request if the sale of securities on the Client's account is not sufficient to pay Client's liabilities.
  - 7.11.5 Not make any withdrawal from the Securities Trading Account -or bank account registered with the Securities Company until after completing all repayments related to this Service.

#### **Article 8. The Securities Company's undertakings**

- 8.1 The company has no any undertakings, assurance or priority of transition and of successful performance for any E-Trading when The Client uses E-Trading Service and/or performs E Trading.
- 8.2 For E-Trading's transaction that the Security Company discovers under its control invalid, unusual, doubtful signs, the Securities Company can reject to perform or has to verify, check again before performance.
- 8.3 Manage information related to the Client's trading performance by law.
- 8.4 Supply, instruct and support the Client to use E-Trading Services and/or perform E-Trading, publicize applied Service Fee levels.
- 8.5 Inform the Client in advance in the case of interruption, temporary interruption, change/repair/replacement of a part or all E-Trading Services; change the terms and conditions listed here in accordance with legal regulations.
- 8.6 Instruct and support technical problems when the Client uses E-Trading Services and/or performs E-Trading. Regularly update new versions of the System to the Client (if any).
- 8.7 Store Electronic record related to the Client's E-Trading performance by law and ensure these documents accessible and usable for reference in necessary cases.
- 8.8 Inform in reasonable time on the Securities Company's website and at its orders receiving agents, branches and head office and exert itself in short time to repair problems in transmission or systematic faults causing E-Trading unperformed in order for the Client to timely perform securities trading through tellers or brokers of the Securities Company.
- 8.9 Compensate for damages due to the Securities Company's faults by law.

#### **Article 9. Disclaimer**

- 9.1 The Securities Company is not responsible for any mistakes or damages for following reasons:
  - 9.1.1 The Client gives late, insufficient or inexact provision of information, which causes E-Trading Services unusable and/or E-Trading unperformed.
  - 9.1.2 Mistakes of any third parties, even including the Securities Company's partners in providing E-Trading Service.
  - 9.1.3 Faults of the System or any relevant technical means, even including the case that the System rejects to perform the Client's E-Trading for any reason.
  - 9.1.4 The Securities Company performs with delay or cannot perform its duties according to the terms and conditions of using E-Trading Services because of problems regarding machines, data process, media, act of God or any events which are out of its control or results of any third parties' fraud and fake.
  - 9.1.5 The use of E-Trading Service and/or the performance of E-Trading or the access to E-Trading Service of the person who is authorized by the Client.
  - 9.1.6 The case that the Client lets Token mislaid, stolen, logging username, logging password, trading password, electronic signature and/or other verification factors provided by the Security Company enables other person to make use of this information for using E-Trading Services and/or performing E-Trading or accessing to the information provided by E-Trading Services.
- 9.2 The two parties hereto are not responsible for any mistakes, a part or all of these terms of use in case of force majeure.

#### **Article 10. Amendment, supplement and termination of the terms**

- 10.1 Amendment and supplement of the terms listed here have to be agreed by the two parties and in writing.
  - 10.2 All the terms of use are terminated when
    - (i) Account opening agreement is terminated.
    - (ii) An advance announcement of termination sent by the Securities Company to the Client at any time without the Client's approval.
    - (iii) The Client requests to cease using E-Trading Services provided by the Securities Company.
    - (iv) Due to force majeure.
    - (v) In compliance with applicable law and regulations.
- The termination of this Service Provision, for any reason whatsoever, shall not affect any outstanding rights and obligations which may have already accrued between the parties up to the effective date of termination. All rights and obligations outstanding at the date of termination shall be settled by both parties as soon as practicable.
- 10.3 The Securities Company reserves its right of amendment and supplement for E-Trading Service charges at any time without the Client's agreement. The Securities Company informs above amendments, supplements and other relevant information at trading counters, on its website of the Securities Company or via email registered by the Client. The Securities Company is not responsible for the case that the Client does not receive information due to:
    - The Client's email cannot receive emails for any reason.
    - The Client changes email address without informing the Securities Company.

#### **Article 11. General term**

- 11.1 These terms of use is are an integral part of account opening agreement.
- 11.2 The case that the Client registers and uses E-Trading Service does not waive the Client's rights and duties stipulated in the Securities trading account opening agreement, related undertakings which The Client has signed with The Securities Company and/or concrete conditions of trading ways instructed and publicized by the Securities Company.
- 11.3 Registering to use E-Trading Service does not waive the Client's right of securities trading performance through using other services which the Client has registered with the Securities Company.
- 11.4 The Client should directly and frequently check Securities trading account status and balance and keeps the Securities Company informed without delay of mistakes arising from the process of using E-Trading Service and/or performing E-Trading.
- 11.5 These terms of use shall be construed to in accordance with the law of Vietnam. Any dispute or controversy arising between the Client and the Securities Company relating to these terms of use will settle by negotiation. In case the negotiation fails, both parties have the right to transfer the case to competent court having jurisdiction to be settled by law.
- 11.6 This registration and terms of use is made out two (2) originals, each party keeps one (1) original.