

## GUIDE TO OPENING SECURITIES TRADING ACCOUNT FOR FOREIGN INDIVIDUALS

For immediate assistance, please contact BVSC's Institutional Business Department:

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Below is a sample application dossier for opening a securities trading account for foreign individuals in Vietnam and Step-by-step instructions on the process of opening a securities trading account.

### **A. APPLICATION DOSSIER FOR OPENING A SECURITIES TRADING ACCOUNT**

<i>No.</i>	<i>Document</i>	<i>Form</i>	<i>No. of copies</i>
<b><i>I. Application Dossier for securities trading code</i></b>			
<b><i>1. Without trading authorization:</i></b>			
1	VSD Securities trading code Application (For foreign investors)	 Securities trading code Application for	01 original
2	Power of attorney for trading code for BVSC	 Power of attorney for trading code.pdf	03 originals
3	Investor's passport (valid)	Investor	01 certified copy
<b><i>2. With trading authorization:</i></b>			
4	Power of attorney for Vietnam based trading representative	 power of attorney for Vietnam based tr	01 certified copy

5	Information on Vietnam based trading representative	 Information on Vietnam based tradi	01 original
6	Trading representative's ID/Passport	Investor	01 certified copy
7	Trading representative's securities business practice certificate	Investor	01 certified copy
<b>II. Application Dossier for opening an indirect investment capital account (IICA) in Vietnam may differ from those at different securities firms (Please refer to BIDV application form for opening IICA below)</b>			
1	Application to open IICA	 BIDV_Application for Opening IICA.pdf	02 originals
2	Power of attorney (For customers of BIDV@Securities)	 Power of Attorney @Securities.pdf	02 originals
3	Investor's valid passport/visa/residence or temporary residence card	Investor	02 certified copies
<b>III. Application Dossier for opening securities trading account at BVSC</b>			
1	Proposal cum Agreement for opening trading account and using services	Custody at BVSC	02 originals
		Without custody at BVSC	
2	Securities trading code Certificate issued by VSD	Investor	01 certified copy
3	Investor's valid passport	Investor	01 certified copy

4	Power of attorney for Vietnam based trading representative (if any)	 Authorization form_Individual_EN.	03 originals
5	Trading representative's ID/Passport	Investor	01 certified copy
6	Trading representative's practice certificate	Investor	01 certified copy

*Notes:*

*A certified copy is notarized or authenticated in accordance with relevant laws.*

*Documents of the application dossier must be notarized/authenticated under foreign law or consular legalized (if any) in accordance with the provisions of Vietnamese law.*

*Except for documents in English or the English translated version being notarized or authenticated under foreign laws, documents in other foreign languages must be translated into Vietnamese. The Vietnamese version should be translated by a depository member or a translation organization legally operating in Vietnam.*

## **B. GUIDE TO OPENING SECURITIES TRADING ACCOUNTS**

### **Step 1:** Application for securities trading codes

Foreign investors register a securities trading code with the Vietnam Securities Depository (VSD) in the following order:

1. Foreign investors prepare and provide a valid dossiers as prescribed in Part A, Section I (Application for securities trading code) to Bao Viet Securities Joint Stock Company (BVSC).
2. BVSC assists investors in completing the application dossier for securities trading code and declares information with the Vietnam Securities Depository (VSD).
3. Within 01 working day after receiving information from depository members, VSD shall issue and certify electronic securities transaction codes to foreign investors through BVSC.
4. After that (no more than 10 working days), VSD will issue the Securities Trading Code Registration Certificate to the investor (through BVSC).

(For foreign investors who cannot come to Vietnam to carry out the procedures to register securities trading codes, all documents in the application file need to be consular legalized).

### **Step 2:** Guide to opening indirect investment capital account (IICA)

In Vietnam, foreign investors can only trade securities through the indirect investment capital account.

Foreign individuals can open IICA accounts in Vietnam or overseas:

1. ***Foreign investors who open IICA accounts in Vietnam in person*** can open 01 IICA at 01 bank authorized by State bank of Vietnam. However, BVSC recommends that investors should open IICA at BIDV/Baoviet Bank/Indovina Bank/DongA Bank for an available connection with the securities depository account and access to all of BVSC's modern utilities.
2. ***Foreign investors who cannot come to Vietnam and wish to open an IICA account overseas*** can either open 01 IICA at a branch of Vietnamese banks (if any) or at a multinational bank with a branch in Vietnam (such as HSBC, Standard Chartered, Shinhan, Woori, etc.)

Different banks may require different documents in the application to open an ICCA. Those in part A, section II are the example of a dossier to open IICA at BIDV.

BVSC will assist investors to open an IICA account in the most convenient and timely manner.

Note: Step 1 and step 2 can be completed at the same time.

**Step 3:** Guide to opening securities trading account at BVSC

With a securities trading code and an IICA, investor can open a securities trading account at BVSC.


Investor prepares requested dossier in part A, section III. Then:

1. **For investors who open a securities trading account in person in Vietnam:** Investor should bring the dossier to one of BVSC's Transaction Offices and sign the documents in the presence of BVSC's staff.
2. **For investors who cannot come to Vietnam and wish to open securities trading accounts at BVSC from overseas:** Investors should have all documents consular legalized and send the dossier to BVSC at No. 72 Tran Hung Dao, Tran Hung Dao Ward, Hoan Kiem District, Hanoi, Vietnam.

(Note: To be able to deposit securities have access to all BVSC facilities, investors should open an IICA at one of four banks – BIDV/Baoviet Bank/Indovina Bank/DongA Bank.)

Example: Fill in several forms of the dossier

a) Power of attorney for trading code



 <b>CÔNG TY CỔ PHẦN CHỨNG KHOÁN BẢO VIỆT BAOVIET SECURITIES JOINT STOCK COMPANY</b>	<b>HỢP ĐỒNG ỦY QUYỀN POWER OF ATTORNEY</b>  <i>Mẫu dùng cho nhà đầu tư nước ngoài ủy quyền cho BVSC</i>  <i>For foreign investor to authorize BVSC</i>	
<p>Hôm nay, ngày 10 tháng 08 năm 2019, Hai bên gồm có/Today, on the date.....of month.....and year.....between:</p>		<p>Date of making the power of attorney contract</p>
<p><b>BÊN ỦY QUYỀN/AUTHORIZER:</b></p> <div style="border: 1px solid red; padding: 5px;"> <p>1. Tên tổ chức/cá nhân/ Name of institution/individual: <b>John Ahmad</b></p> <p>2. Ngày sinh/Date of Birth: <b>08/10/1988</b></p> <p>3. Số CMTND/hộ chiếu/ID/Passport No: <b>A06331203</b></p> <p>4. Ngày cấp/Issue date: <b>14/06/2017</b>      5. Nơi cấp/ Issue place: <b>Malaysia</b></p> </div> <p>6. Giấy phép thành lập/ĐKKD/ Certificate of business registration No.: .....</p> <p>7. Ngày cấp/Issue date: .....      8. Nơi cấp/Issue place: .....</p> <p>9. Người đại diện (tổ chức)/Representative (for institution): .....</p> <p>Chức vụ/Position: .....</p> <p>Số CMTND/hộ chiếu/ID/Passport No: .....</p> <p>Ngày cấp/Issue date: .....      Nơi cấp/Issue place: .....</p> <p>Điện thoại người đại diện/Representative's phone number: .....</p> <p>Home/Office/RR/CQ: .....      Mobile: .....</p> <p>Fax: .....      Email: .....</p> <p>10. Địa chỉ liên hệ (Bằng thư)/Contact address (postal): .....</p> <p>11. Mã số giao dịch chứng khoán/Securities trading code No: IC0454.....</p>		
<p><b>Chú ý/Notice:</b></p> <p>Mục 6 đến 9 chỉ dành riêng cho khách hàng tổ chức/Items 6 to 9 are only applicable to institutional clients.</p> <p>Mục 2,3,4,5 chỉ dành riêng cho Khách hàng là cá nhân/Items 2,3,4,5 are only applicable to individual clients.</p> <p>Mục 11 chỉ dành riêng chỉ dành riêng Khách hàng thực hiện thay đổi thông tin tại BVSC</p>		<p>The information provided is written on investors' passports</p>

(Information of the authorizer)



Khách hàng đề nghị và BVSC đồng ý ký kết Hợp đồng mở tài khoản giao dịch chứng khoán và đăng ký dịch vụ với các điều khoản như sau/  
Client requests and BVSC agrees to sign Agreement on opening securities trading account with terms and conditions as follows:

**CHỮ KÝ MẪU CỦA KHÁCH HÀNG (Ký và ghi rõ họ tên)/SIGNATURE OF CLIENT(Signature and full name)**

Chữ ký mẫu của Khách hàng/Chủ tài khoản-Người đại diện/ Signature of Client/Account holder-Representative		Chữ ký mẫu của Kế toán trưởng (Áp dụng cho Khách hàng là tổ chức) Signature of Chief Accountant (Applicable to Institutional Client)	
Chữ ký lần 1/ Specimen Signature 1	Chữ ký lần 2/ Specimen Signature 2	Chữ ký lần 1/ Specimen Signature 1	Chữ ký lần 2/ Specimen Signature 2
			

Investor's Signature must be similar in all agreements

**V. THÔNG TIN ĐĂNG KÝ XÁC THỰC VÀ SỬ DỤNG DỊCH VỤ GIAO DỊCH TRỰC TUYẾN VÀ CÁC TIỆN ÍCH/  
INFORMATION FOR VERIFICATION AND USING ONLINE SECURITIES TRADING SERVICE AND UTILITIES**

1.1 Email, Mobile và Chứng thư số sử dụng để đăng ký xác thực/Email, phone number and Digital certificate register for verification:

Email  Mobile  Chứng thư số/  
Digital certificate


1.2 Mật khẩu đăng ký đặt lệnh qua điện thoại/Registered password for placing orders via phone: .....

Số điện thoại đặt lệnh/Phone number for placing orders:

1.3 Tài khoản đăng ký nhận chuyển khoản tiền trực tuyến/Registered accounts for online cash-transfer. (Khách hàng đăng ký nhận chuyển khoản tiền khác chủ tài khoản phải đến trực tiếp tại các Phòng lưu ký của BVSC/ In case the beneficiary account is not Client's account, Client must register directly at a Custodian Department of BVSCClient)

Tên người thụ hưởng/Name of Beneficiary	Số tài khoản ngân hàng/Bank account No.	Mở tại Ngân hàng – Chi nhánh/At Bank - Branch
<b>John Amad</b>	<b>22132459206789</b>	<b>BIDV – Ha Thanh</b>

Để khẳng định những thỏa thuận nêu trên, đại diện hợp pháp của Các Bên cùng ký xác nhận dưới đây/To affirm all agreements above, the avful representatives of the Parties have signed below.

ĐẠI DIỆN KHÁCH HÀNG CLIENT'S REPRESENTATIVE	ĐẠI DIỆN CỦA BVSC BVSC'S REPRESENTATIVE
(Ký và ghi rõ họ tên/ Signature and full name)	Cán bộ thu lý hồ sơ/Received by (Ký và ghi rõ họ tên/ Signature and full name)
	Lãnh đạo Phòng/Department Manager (Ký và ghi rõ họ tên/ Signature and full name)

Investor's Signature must be similar in all agreements