

## REPORT ON CORPORATE GOVERNANCE

(2024)

Dear:

- State Securities Commission;
- Vietnam Stock Exchange;
- Hanoi Stock Exchange.

- Name of company : WALL STREET SECURITIES CORPORATION
- Address of Head office : 9th floor, ICON4 building, No. 243A De La Thanh, Lang Thuong, Dong Da, Hanoi
- Telephone : 02439367083 Fax: 02439367082
- Email : [info@wss.com.vn](mailto:info@wss.com.vn)
- Charter capital : 503,000,000,000 (Five hundred and three billion dong)
- Stock symbol : WSS
- Corporate governance model: General Meeting of Shareholders, Board of Directors, Board of Supervisors and General Director.
- The implementation of internal audit function: Implemented.

### I. Activities of the General Meeting of Shareholders

Information on meetings and resolutions of the General Meeting of Shareholders:

No.	Resolution/ Decision No.	Date	Content
1	01/2024/NQ- ĐHĐCĐ	April 26, 2024	<ul style="list-style-type: none"><li>- Approval of the Board of Directors' 2023 Operational Report, 2023 Operational Results and 2024 Orientation</li><li>- Approval of the Board of Directors' 2023 Operational Report, 2023 Business Performance Results and 2024 Orientation</li><li>- Approval of the Board of Supervisors' 2023 Operational Report</li><li>- Approval of the 2023 Audited Financial Statements</li><li>- Approval of the Proposal on the selection of an auditor for the 2024 financial statements</li><li>- Approval of the Board of Directors and Supervisory Board's remuneration proposal</li></ul>

## II. Board of Directors

### 1. Information about the members of the Board of Directors:

No.	Board of Directors' members	Position	The date becoming/ceasing to be the member of the Board of Directors	
			Date of appointment	Date of dismissal
1.	Mr. Nguyen Dinh Tu	Chairman of the board	28/04/2023	
2.	Mr. Pham Duc Long	Vice president	28/04/2023	
3.	Mr. Nguyen Viet Thang	Member	28/04/2023	
4.	Mr. Nguyen Dang Truong	Member	28/04/2023	
5.	Mr. Tran Anh Dung	Member	28/04/2023	

### 2. Meetings of the Board of Directors:

No.	Board of Directors' members	Number of meetings attended by Board of Directors	Attendance rate	Reason for absence
1.	Mr. Nguyen Dinh Tu	10/10	100%	
2.	Mr. Pham Duc Long	10/10	100%	
3.	Mr. Nguyen Viet Thang	10/10	100%	
4.	Mr. Nguyen Dang Truong	10/10	100%	
5.	Mr. Tran Anh Dung	10/10	100%	

### 3. Supervising the Board of Management by the Board of Directors:

In 2024, the Chairman of the Board of Directors and the Standing Board of Directors regularly and closely monitor the activities of the Executive Board and promptly direct issues related to business operations and other aspects of the Company's work through direct working sessions, reports and directive documents.

### 4. Activities of the Board of Directors' subcommittees: None

### 5. Resolutions/Decisions of the Board of Directors:

No.	Resolution/Decision No.	Date	Content	Approval rate
1	No. 05A/QD-HĐQT	04/01/2024	Business Mechanism	100%
	No. 05B/QD-HĐQT	04/01/2024	Approval of business results for the	100%



			fourth quarter of 2023 and plan for the first quarter of 2024	
2	No. 01/2024/NQ-HĐQT	28/02/2024	Approval of the organization of the 2024 Annual General Meeting of Shareholders	100%
3	No. 04/QĐ-HĐQT	20/03/2024	Establishment of Sales Department 5	100%
	No. 05//QĐ-HĐQT	20/03/2024	Staff appointment decision	100%
4	No. 06/2024/NQ-HĐQT	01/04/2024	Approving the time and venue for the 2024 Annual General Meeting of Shareholders	100%
5	No. 07/QĐ-HĐQT	05/04/2024	Staff appointment decision	100%
6	No. 08/NQ-HĐQT	10/04/2024	Provide advance payment service for securities sales to customers	100%
	No. 09/QĐ-HĐQT	10/04/2024	Approval of Business Results for the First Quarter of 2024 and Plan for the Second Quarter of 2024	100%
7	No. 06A/2024/NQ-HĐQT	07/05/2024	Through early settlement of the contract and portfolio structure	100%
8	No. 10/QĐ-HĐQT	16/08/2024	Staff appointment decision	100%
9	No. 12/QĐ-HĐQT	10/09/2024	Staff dismissal decision	100%
	No. 17/QĐ-HĐQT	10/09/2024	Staff appointment decision	100%
	No. 18/QĐ-HĐQT	10/09/2024	Staff appointment decision	100%
10	No. 22/QĐ-HĐQT	04/12/2024	Staff dismissal decision	100%
	No. 23/QĐ-HĐQT	04/12/2024	Staff appointment decision	100%

### III. Board of Control

#### 1. Board of Supervisors

No.	Members of Board of Supervisors	Position	The date becoming to be the member of the Board of Supervisors	The date ceasing to be the member of the Board of Supervisors	Qualifications
1	Mr. Tran Dinh Tung	Leader	28/04/2023		Bachelor
2	Mr. Trinh Cong Thang	Member	28/04/2023		Bachelor

## 2. Meetings of Board of Supervisors

No.	Members of Board of Supervisors	Number of meetings attended	Attendance rate	Voting rate	Reason for absence
1	Mr. Tran Dinh Tung	4	4/4	100%	
2	Mr. Trinh Cong Thang	4	4/4	100%	

## 3. Supervisory activities of the Board of Supervisors towards the Board of Directors, Executive Board and shareholders

In 2024, the Board of Supervisors conducted the inspection of the 2023 financial statements and the Quarterly Financial Statements and Semi-annual Financial Statements of 2024. Inspected and supervised the Board of Directors and the Board of General Directors in organizing the implementation of the Resolutions of the General Meeting of Shareholders and the enforcement of the provisions of current laws.

## 4. the coordination among the Board of Supervisors, Audit Committee, the Board of Management, Board of Directors and other managers:

The Board of Supervisors has coordinated with the Board of Directors, the Board of Management and other management departments to closely monitor the implementation of the Company's legal compliance activities.

## 5. Other activities of the Board of Directors: None

## IV. Executive Board

No	Members of Board of Management	Date of birth	Qualifications	Date of appointment of Executive Board members	Date of dismissal of Executive Board members
1	Mr. Nguyen Dang Truong	07/10/1981	Master of Business, Certificate in Management Practice	05/10/2017	
2	Mr. Nguyen Viet Thang	19/09/1984	Bachelor of Finance, PTTC Practice Certificate	17/05/2013	
3	Mr. Nguyen Van An	10/06/1984	Bachelor of Finance, PTTC Practice Certificate	10/09/2024	04/12/2024

## V. Chief Accountant

Full name	Date of birth	Professional qualifications	Date of appointment	Dismissal Date
Ms. Vu Thi Yen	18/11/1983	Bachelor of Economics	05/09/2022	



## **VI. Training courses on corporate governance:**

Corporate governance training courses attended by members of the Board of Directors, members of the Supervisory Board, the General Director, other managers and the Company Secretary in accordance with regulations on corporate governance: None.

## **VII. The list of affiliated persons of the public company (Annual report) and transactions of affiliated persons of the Company**

1. List of related persons of the company: Listed in Appendix I attached to this report

2. Transactions between the Company and its affiliated persons or between the Company and its major shareholders, internal persons and affiliated persons. None

3. Transaction between internal persons of the Company, affiliated persons of internal persons and the Company's subsidiaries in which the Company takes controlling power: None

4. Transactions between the Company and other objects

4.1. Transactions between the Company and the company that its members of Board of Management, the Board of Supervisors, General Director have been founding members or members of Board of Directors, or CEOs in three (03) latest years (calculated at the time of reporting): None

4.2. Transactions between the Company and the company that its affiliated persons with members of Board of Directors, Board of Supervisors, General Director and other managers as a member of Board of Directors, General Director: None

4.3. Other transactions of the Company (if any) may bring material or non- material benefits for members of Board of Directors, members of the Board of Supervisors, General Director and other managers: None

## **VIII. Share transactions of internal persons and their affiliated persons (Annual report)**

### **1. List of insiders and related persons of insiders**

No.	Name	Securities trading account (if any)	Position at the company (if any)	ID card No./Passport No., date of issue, place of issue	Address	Number of shares owned at the end of the period	Percentage of share ownership at the end of the period	Note
1	Nguyen Dinh Tu	073C006888	Chairman of the Board			11,300,000	22.47%	
	Nguyen Van Thu	073C002508						
	Nguyen Anh Tam	073C003226						
	Nguyen Dinh					1,000,000	1.99%	

	Bach					
	Nguyen Dinh Viet				15,000,000	29.82%
2	Pham Duc Long	073C006689	Vice President. Member of Board of Directors			
	Nguyen Thi Thanh Tuyen					
	Pham Quang Hung					
	Pham Thi Quynh Trang					
	Pham Hong Khanh					
	Pham Hong Ngan					
3	Nguyen Viet Thang	073C009969	Member of Board of Directors and Deputy General Director			
	Nguyen Thi Tuyet					
	Nguyen Viet Hien	073C009119				
4	Nguyen Dang Truong		TV. Board of Directors and General Director			

	Nguyen Dang Huy		
	Nguyen Thi Dung		
	Nguyen Thi Trang		
5	Tran Anh Dung		Member of Board of Directors
	Tran Thi Thu Ha	073C004263	
	Tran Huy Binh		
	Tran Ha My		
6	Tran Dinh Tung	073C005768	Member of Supervisors
	Duong Thi Thu Huong	073C005916	
	Tran Thi Thu Hang		
	Tran Dinh Minh		
	Tran Dinh Tinh		

10,000	0.01%	
5,000	0.01%	

	Tran Thi Luong						
	Tran Dinh Tuong						
	Tran Dinh Vinh						
	Dinh Thi Vinh						
7	<b>Trinh Cong Thang</b>		<b>Member of Supervisors</b>				
	Hoang Thi Hue						
	Trinh Thai Ha						
	Trinh Hoang Ha						
	Trinh Thi Thanh						
	Trinh Cong Ghi						
	Trinh Thi Nho						
	Trinh Cong Kha						



8	Vu Thi Yen		Chief Accountant				
	Vu Duong Thu						
	Vu Thi Hai						
	Vu Van Tuan						
	Vu Xuan Thuong						
	Vu Minh Thanh						
	Vu Thi Tam						
	Vu Xuan Vu						

	Vu Thi Bao Trang						
	Vu Thanh Thao						
9	Nguyen Van An	073C026225	General Director				
	Nguyen Dinh Pha						
	Pham Thi Tuyet						
	Lieu Tho Thang						
	Pham Thuy Anh						





10	Education Finance Investment Joint Stock Company					
11	Hanoi Food Joint Stock Company					
12	Duc Giang Corporation					
13	Wall Street Urban Development and Investment Corporation					

**2. Transactions of internal persons and affiliated persons with shares of the company:**

None

**IX. Other matters to note: None**

**Recipient:**

- State Securities Commission, Stock Exchange;
- Save VT.

**CHAIRMAN OF THE BOARD OF DIRECTORS**



**CHỦ TỊCH HĐQT**  
*Nguyễn Đình Tú*

# APPENDIX I

## List of affiliated persons of the company

STT	Name of organization/individual	Securities trading account (if any)	Position in the company (if any)	NSH Certificate Number*, date of issue, place of issue	Head office address/Contact address	The starting point is the person concerned.	Time is no longer relevant	Reason	Relationship with the company
1	Nguyen Dinh Tu	073C006888	Chairman of the Board			December 20, 2007			
	Nguyen Van Thu	073C002508				December 20, 2007		Older brother	
	Nguyen Anh Tam	073C003226				December 20, 2007		younger brother	
	Nguyen Dinh Bach					December 20, 2007		Boy	
	Nguyen Dinh Viet					December 20, 2007		Boy	
2	Pham Duc Long	073C006689	Vice President Board of Directors			December 20, 2007			
	Nguyen Thi Thanh Tuyen					December 20, 2007		Wife	
	Pham Quang Hung					December 20, 2007		Boy	
	Pham Thi Quynh Trang					December 20, 2007		Daughter	

	Pham Hong Khanh				December 20, 2007		younger brother	
	Pham Hong Ngan				December 20, 2007		younger brother	
3	Nguyen Viet Thang	073C009969	TV. Board of Directors and Deputy General Director		May 17, 2013			
	Nguyen Thi Tuyet				May 17, 2013		Mom	
	Nguyen Viet Hien	073C009119			May 17, 2013		younger brother	
4	Nguyen Dang Truong		TV. Board of Directors and General Director		October 5, 2017			
	Nguyen Dang Huy				October 5, 2017		Dad	
	Nguyen Thi Dung				October 5, 2017		Mom	
	Nguyen Thi Trang				October 5, 2017		younger brother	
5	Tran Anh Dung		TV. Board of Directors		April 28, 2023			
	Tran Thi Thu Ha	073C004263			April 28, 2023		Wife	
	Tran Huy Binh				April 28, 2023		biological child	
	Tran Ha My				April 28, 2023		biological child	
6	Tran Dinh Tung	073C005768	T. BKS		December 20,			



			4
	Duong Thi Thu Huong	073C005916	
	Tran Thi Thu Hang		
	Tran Dinh Minh		
	Tran Dinh Tinh		
	Tran Thi Luong		
	Tran Dinh Tuong		
	Tran Dinh Vinh		
	Tran Thi Vinh		
7	Trinh Cong Thang		TV. BKS
	Hoang Thi Hue		
	Trinh Thai Ha		
	Trinh Hoang Ha		
	Trinh Thi Thanh		
	Trinh Cong Ghi		

2007			
December 20, 2007		Wife	
December 20, 2007		biological child	
December 20, 2007		biological child	
December 20, 2007		brother	
December 20, 2007		Sister	
December 20, 2007		younger brother	
December 20, 2007		younger brother	
December 20, 2007		younger brother	
April 27, 2013			
April 27, 2013		Wife	
April 27, 2013		biological child	
April 27, 2013		biological child	
April 27, 2013		younger brother	
April 27, 2013		younger	

				1			brother	
				2				
	Trinh Thi Nho			2		April 27, 2013	younger brother	
	Trinh Cong Kha			2		April 27, 2013	younger brother	
8	Vu Thi Yen		KTT	1		05/09/2023		
	Vu Duong Thu			1		05/09/2023	biological father	
	Vu Thi Hai					05/09/2023	biological mother	
	Vu Van Tuan					05/09/2023	Husband	
	Vu Xuan Thuong					05/09/2023	Older brother	
	Vu Minh Thanh					05/09/2023	Younger brother	
	Vu Thi Tam					05/09/2023	Younger sister	

	Vu Xuan Vu		
	Vu Thi Bao Trang		
	Vu Thanh Thao		
	Nguyen Van An	073C026225	CEO
	Nguyen Dinh Pha		
	Pham Thi Tuyet		
	Lieu Tho Thang		
	Pham Thuy Anh		
	Lieu Thi Minh Thu		

05/09/2023		Boy	
05/09/2023		Daughter	
05/09/2023		Daughter	
10/9/2024	12/4/2024		
10/9/2024	12/4/2024	biological father	
10/9/2024	12/4/2024	biological mother	
10/9/2024	12/4/2024	father in law	
10/9/2024	12/4/2024	Mother in law	
10/9/2024	12/4/2024	Wife	



	Nguyen Anh Duy		
	Nguyen Khanh Chi		
	Nguyen Van Tinh		
	Nguyen Thi Duyen		
	Nguyen Van Giang		
	Bui Thi To		
	Nguyen Thi Thuy		
	Tran Duc Luat		
9	Education Finance Investment Joint Stock Company		

10/9/2024	12/4/2024	Boy	
10/9/2024	12/4/2024	Daughter	
10/9/2024	12/4/2024	Older brother	
10/9/2024	12/4/2024	Sister in law	
10/9/2024	12/4/2024	Older brother	
10/9/2024	12/4/2024	Sister in law	
10/9/2024	12/4/2024	Older sister	
10/9/2024	12/4/2024	brother in law	

10	Hanoi Food Joint Stock Company							
11	Duc Giang Corporation							
12	Wall Street Urban Development and Investment Corporation							

