



Appendix IV

(Issued together with Circular No. 20/2025/TT-NHNN dated July 31, 2025 of the Governor of the State Bank of Vietnam)

Name of credit institutions,
foreign bank branches

No.

THE SOCIALIST REPUBLIC OF VIETNAM

Independence-Freedom-Happiness

....., date.... month.... year 2026

ASSESSMENT DOCUMENT ON THE IMPLEMENTATION OF PROFESSIONAL ETHICS STANDARDS FOR PERSONNEL UNDER THE MANAGEMENT OF CREDIT INSTITUTIONS AND FOREIGN BANK BRANCHES

- Pursuant to the Law on Credit Institution No. 32/2024/QH15;
- Pursuant to the Circular No. 20/2025/TT-NHNN dated July 31, 2025 of the Governor of the State Bank of Vietnam on elaborating applications and procedures for approving list of expected personnel of commercial banks, foreign bank branches, and non-bank credit institutions.

Pursuant to the Circular No..... dated..... of the Governor of the State Bank of Vietnam regulating the internal control system...

(Name of credit institution, foreign bank branch) provides the information regarding the implementation of professional ethical standards of Mr./Ms. while working at the credit institution/foreign bank branch as follows:

I. Personnel Information

1. Full Name
Date of Birth
2. Employment Period: From Month/Year to Month/Year
3. Position and Assigned Duties: From Month/Year to Month/Year (Specify if he/she is a manager or executive)

II. Information on the Implementation of Professional Ethical Standards

1. Detailed information as stipulated in Clause 1, Article 6 of Circular No. 20/2025/TT-NHNN dated July 31, 2025 of the Governor of the State Bank of Vietnam on elaborating applications and procedures for approving list of expected personnel of commercial banks, foreign bank branches, and non-bank credit institutions.

2. Personnel meeting/not meeting professional ethics standards.

In case of non-compliance, clearly state the conduct, time, and disciplinary measures.

III. Credit institutions and foreign banks branches hereby undertake full legal responsibility for the accuracy and truthfulness of the information provided in this document.

Legal Representative of Credit institutions,
foreign banks branches
(Signature, full name, and seal)

Note:

This document is to be reused when submitting applications to the State Bank of Vietnam for approval of the proposed expected personnel list at commercial banks, non-banking credit institutions, and foreign bank branches.