

*Ho Chi Minh City, June 03<sup>rd</sup>, 2022*

No: 357/QD-UBCK

## DECISION

### On approving to provide services of securities company

#### PRESIDENT OF STATE SECURITIES COMMISSION OF VIETNAM

*Pursuant to Securities Law dated November 26, 2019;*

*Pursuant to Decree No. 155/2020/ND-CP dated December 31, 2020 of the Government detailing the implementation of articles of the Securities Law;*

*Pursuant to Decision No. 48/2015/QĐ-TTg dated October 08, 2015 of the Prime Minister stipulating the functions, tasks, powers and organizational structure of the State Securities Commission of Vietnam under the Ministry of Finance;*

*Pursuant to Circular No. 121/2020/TT-BTC dated December 31, 2020 of the Minister of Ministry of Finance stipulating the operation of the securities company;*

*Pursuant to the License of Establishment and Operation of the Securities Company No. 22/UBCK-GPHDKD dated November 16, 2006 issued by Chairman of State Securities Commission of Vietnam for VNDIRECT Securities Corporation;*

*Pursuant to Dossier of request for registering to provide advance payment service for selling securities of VNDIRECT Securities Corporation;*

*Pursuant to request of the Director General of Securities Business Administration Department.*

## DECIDES

**Article 1.** Approve for VNDIRECT Securities Corporation to provide advance payment service for selling securities.

**Article 2.** During the operation, VNDIRECT Securities Corporation must comply with Vietnamese laws on securities and securities market, other relevant legal documents and Company's Charter.

**Article 3.** This Decision takes effect from the date of signing.

**Article 4.** The Chief of Staff, the Director General of Securities Business Administration Department, the General Director of Hochiminh Stock Exchange, the General Director of Hanoi Stock Exchange, the General Director of VNDIRECT Securities Corporation are responsible for implementing this Decision.

***Recipients:***

- As Article 4;
- Saved at: Documentary  
Department, Business  
Administration  
Department (06b).

**SIGN ON BEHALF OF THE PRESIDENT**

**VICE PRESIDENT**

(signed)

**Vu Thi Chan Phuong**