

INSTRUCTIONS FOR OPENING A SECURITIES TRADING ACCOUNT FOR FOREIGN INSTITUTIONAL CUSTOMERS

Below is the sample application form for opening a securities trading account for foreign organizations in Vietnam and detailed instructions for each step in the process of opening a securities trading account.

No.	Required documents	Quantity	Sample
<i>I. Application for securities trading code</i>			
1	Application for securities trading code via VSD form (Form for individual customer)	01 original	Customer
2	Authorization letter for NVS to complete procedures for requesting a securities trading code	01 original	Customer
<i>1. In case the Investment Organization is a securities investment fund</i>			
3	Certificate of registration of fund establishment or equivalent document issued by a competent foreign management authority (if any) or confirmation of registration of establishment.	02 valid copies (Notarized, authenticated, consular legalized, translated into English and must have legal confirmation from the translation organization)	Investment organization
<i>2. In case the Investment Organization is a Speculative Capital</i>			

4	Fund Charter/Capital Contribution Agreement or other documents explaining in detail the investment strategy of the investment organization.	02 valid copies (Notarized, authenticated, consular legalized, translated into English and must have legal confirmation from the translation organization)	Investment organization
3. In case the Investment Organization is an organization that is not a fund.			
5	Copy of the establishment and operation license/Business registration certificate (or equivalent documents verifying the legal basis for the organization's establishment); license to establish the organization and branch in Vietnam (for branches of foreign organizations in Vietnam)	02 valid copies (Notarized, authenticated, consular legalized, translated into English and must have legal confirmation from the translation organization)	Investment organization
6	Company charter, Articles of Incorporation with documents confirming completion of business registration with competent authorities.	02 valid copies (Notarized, authenticated, consular legalized, translated into English and must have legal confirmation from the translation organization)	Investment organization

7	Tax registration certificate of the tax authority where the investment organization is established or registered for business	02 valid copies (Notarized, authenticated, consular legalized, translated into English and must have legal confirmation from the translation organization)	Investment organization
<i>4. In case the foreign investment organizations appointing and authorizing a transaction representative to invest on their behalf, supplementation is needed:</i>			
8	Document appointing Transaction Representative.	02 originals, certified by competent authority/notary	Investment organization
9	Transaction Representative information sheet	02 original notarized and consular legalized copies	Investment organization
10	ID card/Passport of the Transaction Representative	02 original notarized and consular legalized copies	Investment organization/ Transaction representative
11	Criminal record of the Transaction Representative	01 valid copy (notarized or certified)	Investment organization/ Transaction representative
12	Securities practice certificate of the transaction representative	01 valid copy (notarized or certified)	Investment organization/ Transaction representative

<i>II. The documents required to open an indirect investment capital account in Vietnam – IICA may vary at different banks.</i>			
1	IICA Account Opening Application Form	03 originals	Bank
2	Account Authorization	02 originals	Bank
3	Copy of the establishment license/Business registration certificate (or equivalent documents verifying the legal basis of the organization's establishment)	02 valid copies (Notarized, authenticated, consular legalized, translated into English and must have legal confirmation from the translation organization)	Investment organization
4	Letter of appointment of account manager of investment organization	01 valid copy (Notarized, authenticated, consular legalized, translated into English and must have legal confirmation from the translation organization)	Investment organization
5	Account Manager's Passport	01 valid copy (notarized, consular legalized)	Investment organization
6	Resolution/Decision on appointment/Document designating legal representative (In case the	01 valid copy (notarized, consular legalized)	Investment organization

	Business License/Business Registration Certificate does not have information about the legal representative)		
7	Passport of the company's legal representative	01 valid copy (notarized, consular legalized)	Investment organization
8	Company charter, Articles of Incorporation with documents confirming completion of business registration with competent authorities.	01 valid copy (Notarized, authenticated, consular legalized, translated into English and must have legal confirmation from the translation organization)	Investment organization
9	Authorization letter for foreign currency conversion (If any)	01 original	Investment organization
<i>I. Documents to open an Account at NVS</i>			
1	Application form and Contract for opening a securities trading account	02 originals	Provided by NVS
2	Certificate of registration of securities trading code issued by VSD	01 valid copy	Investment organization
3	Certificate of seal registration/notification to the business registration office about the Customer's seal registration	01 valid copy	Investment organization

4	Authorization document (For customers registering for authorization service).	01 original with full signature of legal representative & seal of investment organization	Investment organization
5	Information sheet of the transaction representative. Copy of ID card/CCCD/Passport of the transaction representative.	01 valid copy	Investment organization/ Transaction representative