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| A logo of a security company  Description automatically generated | **PINETREE SECURITIES CORPORATION**  20F, TNR Tower, 54A Nguyen Chi Thanh Street, Dong Da District, Hanoi  Tel: **(+84) 24 6276 1818** Website: **www.pinetree.vn**  Fax: **(+84) 24 6275 0077** Email: **contact@pinetree.vn** |

**APPLICATION FOR CONFIRMATION OF**

**PROFESSIONAL SECURITIES INVESTOR**

**To: Pinetree Securities Corporation (“*Pinetree*”)**

Customer Name:

ID Card/ Certificate of Business Registration/Equivalent Document:

No ……………… issued date ………………. at

Tax code: …………………………………. (*apply to the case of application based on taxable income)*

Representative: ……………………………………………………….. Position: ………………. ………………..…

Authorization Document:

No……….….……… issued date ……………..…… signed by …………………………………………..…….………

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**Depository Account**:

By this document, I/We respectfully request that Pinetree check and confirm that I/We are Professional Securities Investors of the following type:

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| **No.** | **Check** | **Professional Securities Investor Type** |
| 1 |  | Commercial banks, foreign bank branches, financial companies, insurance business organizations, securities companies, securities investment fund management companies, securities investment companies, investment funds, international financial institutions, and off-budget state financial funds and state financial institutions, which might purchase securities following relevant laws. |
| 2 |  | Listed Organization or Transaction Registration Organization. |
| 3 |  | Companies with charter capital contributed over 100 billion VND and not listed or registered for transactions. |
| 4 |  | Holders of securities practice certificates. |
| 5 |  | Individuals holding a list of listed securities, registered for trading with a minimum value of VND 02 billion as certified by the securities company at the time of confirmation, which is determined by the daily average market value of the securities portfolio for at least 180 consecutive days before the date of determination of professional investor status, excluding the value of margin loans and the value of securities for resale transactions. |
| 6 |  | Individuals with a taxable income of at least VND 01 billion in the latest year by the time that the individual is determined to be a professional securities investor. |

I/We are committed to using the confirmation results for this application following the current Law on Securities and current law, as well as commit to taking responsibility for relevant activities. If any violation occurs for any reason, whether intentional or unintentional, directly or indirectly, I/We agree and commit unconditionally, without cancellation that I/We will bear all responsibility at our expense to the law and compensate for any damages and losses incurred to Pinetree.

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|  | |  | *\_\_\_\_\_\_\_\_\_\_, date \_\_ / \_\_ /20\_\_*  **SUBMITTED BY**  *(Signature, full name and stamp (if any))* | | |
| **PINETREE CONFIRMATION**  Pinetree confirms that, from \_\_\_/\_\_\_/\_\_\_\_\_ (dd/mm/yyyy) (“**Confirmation Date**”), Customer \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (*Depository Account No: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ at Pinetree*) is Professional Securities Investor following the provisions of the current securities law.  This confirmation of Pinetree has validity within 01 year from the above confirmation date, unless otherwise stipulated by law and/or the competent State agency  Unless otherwise stipulated by law and/or the competent State agency, this confirmation of Pinetree shall have validity period as follows:   * For investors verified by subject 1,2,3,4 of the Application Form: 01 year from the validated date. * For investors verified by subject 5 of the Application Form: 03 months from the validated date. * For investors verified by subject 6 of the Application Form: from the validated date to December 31 of the same year. | | | | |
| **CUSTOMER SERVICE OFFICER**  *(Signature and full name)* | **CHECKER**  *(Signature and full name)* | | | **PINETREE REPRESENTATIVE**  *(Signature and full name)* | | |