

“CHUNG TRUONG BAC TY” COMPETITION RULE

- 1. Competition name:** Chung Truong Bac Ty
- 2. Duration:** From 1/8/2023 to 26/1/2024
- 3. Participant and eligibility:**
 - Participant: Customers open trading account at Pinetree.
Customers who don't have Pinetree account can open an account online through eKYC in only 3 minutes [Here](#).
(Exclude: Organizational customers, Organizer and Pinetree's employees).
 - Scope: Nationwide
 - Eligibility:
 - Initial investment capital of competing sub account (includes stock, dividend and cash value, after deducting debt obligations) is at least 10 million dong.
 - Registered for the competition.
- 4. Rule**
 - a. Condition for reward:**
 - Return on investment on competing sub account is positive (>0%).
 - Trade stock on underlying securities market only on competing sub account at Pinetree.
 - Trading amount is at least 200% of the average investment capital.
 - Have matched orders of stock in at least 3 business days.
 - b. Detail rule**
 - **Register:**
 - + Customers click tab “Trading Competition/Chung Truong Bac Ty” on app AlphaTrading or WebTrading, click “Register” to register for the competition.
 - + Customers choose competing sub account (normal or margin), agree to Terms & Conditions.
 - *Participants can change the competing sub account before the official competing period.*
 - **Cancel registration:**
 - Customer can cancel registration any time.
 - Re-register: If a customer cancels registration before the Ending date of each registration period, the customer can re-register no later than the last registration day of each round.
 - **Compete:** After registering successfully, participants could start trading anytime, the competition result will be counted during Competing period (detail in the below table).
 - Divided into 2 rounds:

Round	Registration period	Competing period
Round 1	01/8 – 25/9/2023	2/10/2023 – 24/11/2023
Round 2	30/9 – 27/11/2023	4/12/2023 – 26/1/2024
Master Investor prize	To be announced based on profit performance of 02 rounds	
- Grouping:

After successful registration, each account will be divided into different groups based on Initial investment capital of competing sub account. Initial investment capital includes stock, dividend and cash value, after deducting debt obligations at the group deciding date of each round. There are 3 groups as follows:

 - Carb group: Initial investment capital from 10 million to below 100 million dong
 - Koi group: Initial investment capital from 100 million to below 1 billion dong
 - Whale group: Initial investment capital from 1 billion dong or more

**Note:*

- *The groups will be fixed throughout the competition and will remain unchanged during the competing period.*
- *The group will be decided at 18:00 on 29/9/2023 (for Round 1) or on 01/12/2023 (for Round 2). Customers must ensure that Initial investment capital reaches the minimum initial investment capital (10 million VND) before this time. After that, customers cannot participate in the competition even if they reach the minimum initial investment capital.*
- Award consideration rules:
 - For each round: Prizes will be awarded for top 03 participants of each group with the highest rate of return.
 - Master Investor prize: for 01 participant with the highest rate of return during competing period, satisfy the following conditions:
 - ✓ Participate in 2 rounds.
 - ✓ Average investment capital is at least 1 billion VND (calculated during the competing period of 02 rounds).
- Regulation on stocks to trade in the competition:
 - Only allow trading stock on underlying securities market
 - All stock codes on HOSE/HNX/UPCOM which are allowed to trade as Pinetree listed.
 - Trading time follows the regulation of Vietnam stock market
- Regulation on competing account:
 - Competing sub account: Normal or Margin sub account at Pinetree.
 - Participants can participate in the competition and receive prize with only 01 account each round at Pinetree.
- Regulation on number of participants:
 - At each round of the competition, if the number of valid registrations and eligibility of a group is less than 100 people, that group will be canceled and the customer will not be considered for the prize of that group; Participants will be moved to another qualified group in the same round (if any). If that group has a higher Initial investment capital, the customer must add more money/securities to the Competing sub account before the competing period; If that group has a lower Initial investment capital, the customer can only withdraw money/securities from the Competing account before the competing period. Customers who do not meet the conditions are excluded from the competition, will not be considered for the round prize and Master Investor prize.

c. Calculation formula:

Return on Investment of each round is calculated according to the following formula:

$$\text{Return on Investment (\%)} = \frac{\text{Total return}}{\text{Average investment capital}}$$

In which:

- (1) Return on Investment (%) is rounded to 4 decimal places.
- (2) Total return includes realized profit and unrealized profit arising during the competing period.
- (3) Profits from securities which are not on “Pinetree’s accepted list” will be excluded from investment profits.
- (4) Average investment capital = Initial investment capital + (Additional investment capital * Number of days remaining for the round/ Total number of days of the round).
- (5) Number of days remaining for the round = Round end date – Current date + 1

When the remaining day of the round is less than 10 days, this value will stay at 10 days.

- (6) When participants withdraw investment capital (Total withdrawal > Total deposit), the average investment capital will not decrease.
- (7) When participants have additional investment capital (Total deposit > Total withdrawal), the average investment capital will increase with time weight (as the formula above).
- (8) Example: The round has 60 days, participant has 100 million VND initial investment capital, the deposit and withdrawal will affect the average investment capital as follows:

Date	Deposit	Withdrawal	Total deposit	Total withdrawal	Additional investment capital	Days remain	Total days	Time weight	Average investment capital
1	-	-	0	0	-	60	60	100%	100,000,000
21	-	30,000,000	0	30,000,000	-	40	60	66.67%	100,000,000
31	50,000,000	-	50,000,000	30,000,000	20,000,000	30	60	50.00%	110,000,000
41		50,000,000	50,000,000	80,000,000	-	20	60	33.33%	110,000,000
51	60,000,000	-	110,000,000	80,000,000	10,000,000	10	60	16.67%	115,000,000
59	300,000,000	-	410,000,000	80,000,000	300,000,000	10	60	16.67%	165,000,000

In this example, participant deposits 3 times at 31st day, 51st day and 59th day, the average investment capital will be changed in these 3 days corresponding with additional investment capital and the remaining days of the round. Particularly on 59th day, although the actual remaining time of the round is < 10 days, the remaining day used to calculate the time weight is still 10 days.

- (9) Initial investment capital includes stock, dividend and cash value, after deducting debt obligations at the first competing date.
- (10) Effect of dividend event: At the end of 1 day before ex-dividend date, the customer's profit will be adjusted to increase reasonably to compensate for the reduced unrealized profits of dividend shares.

5. Prizes

- Prizes are given by Group. In case a prize has more than 1 legible winning participant, the priority order of prize consideration is based on: Larger trading amount -> More trading days -> Larger average investment capital -> Early registration date.
- In case there are more than 1 participant with same rate of return and priority categories, the prize will be shared:

Prize = Total prize value of co-resulting positions/Number of co-resulting participant

No	Prize	Prize per round	No of round	Total no of prize	Prize value	Total prize value
1	Gift for fastest registers or customers joining event (mini fan, pillow, t-shirt, keyboard, headphone...)	1000	2	2000		480,000,000
2	Gift for fastest customers transfer securities from other companies to Pinetree for competition	50	2	100	Pay 100% transferring fee, max 1 million/customer	100,000,000
3	Round prize					

No	Prize	Prize per round	No of round	Total no of prize	Prize value	Total prize value
3.1	Carb Group (10mil ≤ Initial investment capital < 100mil)					
	First prize	1	2	2	10,000,000	20,000,000
	Second prize	1	2	2	5,000,000	10,000,000
	Third prize	1	2	2	2,000,000	4,000,000
3.2	Koi Group (100mil ≤ Initial investment capital < 1 billion)					
	First prize	1	2	2	30,000,000	60,000,000
	Second prize	1	2	2	15,000,000	30,000,000
	Third prize	1	2	2	8,000,000	16,000,000
3.3	Whale Group (Initial investment capital ≥ 1 billion)					
	First prize	1	2	2	80,000,000	160,000,000
	Second prize	1	2	2	40,000,000	80,000,000
	Third prize	1	2	2	20,000,000	40,000,000
4	Master Investor prize	1	1	1	500,000,000	500,000,000
	Other benefits for the winners of each round: - Chance to work at Pinetree in suitable positions (Expert, Employee, Internship) - Have the opportunity to cooperate with Pinetree: <ul style="list-style-type: none"> • Become Pinetree’s media partner • Become Pinetree’s image representative • Cooperate with Pinetree in communication for products/services - Chance to enjoy premier privileges at Pinetree such as: Priority to pre-experience Pinetree's new products, VIP tickets for events organized by Pinetree...					
	Total (2 rounds)					1,500,000,000

**Note:*

- For gift No.1, 1 customer can receive max 1 gift for 2 rounds.
- Except for Master Investor prize, each customer can only be considered and receive one prize in No.3 in the above table for the whole competition. If the customer has received any prize at Round 1 (First, second or third prize), he will not be considered for the prize in Round 2. However, the results of both round of the customer will be used to consider the Master Investor prize.

6. Results announcement time

Without special cases, within 45 days from the end of each round, the winners will be announced on the website and/or Pinetree’s fanpage. The winner will receive notification email.

7. How to receive prize

- Gift will be given directly to customer or send to customer within 30 days from the date of eligibility for gift
- Cash will be transferred directly to the winners’ competing sub account within 45 days after announcing the result. The actual received value must comply with the provisions of the Government’s Tax law
- For Master Investor prize, the winner can receive cash to competing sub account or other sub account as the winner's choice. This prize must be maintained in the winner account at least 1 year from the date of receiving prize and can only use for trading purpose. The winner must not withdraw the prize before the due date.

8. Rule of not allowed activities during competition

- Deposit/Withdrawal: During the competition, deposits and withdrawals are accepted. However, the accumulated additional investment capital must not exceed 5 times the initial investment capital.
- Transfer securities: If customer has registered the competition, during the competing period, customers are not allowed to:
 - Transfer more stock to competing sub account (including securities depository, stock transfer from other sub accounts to competing sub account).
 - Withdraw stock from competing sub account (including securities depository transfer, stock transfer from competing sub account to other sub accounts).

Note:

- *If customers need to deposit securities from other companies during the competing period, customers can deposit on “non-competing sub account” to avoid affecting your interests in the competition.*
- *Withdraw/Transfer/Deposit securities before competing period, but the effective date of stock recorded in the competing sub account in competing period will also be considered as infringement and will be disqualified from the competition.*
- Transactions on competing sub account must be matched order on the system, deals and odd lot transactions are not acceptable in the competition. If a participant has any deals or odd lot transactions, that account will be disqualified.

9. General regulation

- Participants are responsible for the accuracy of provided personal information, this will be used to verify the winners. In case it is impossible to contact the winner and/or not receive a response from the customer via email within 15 days from the date of announcing prize, whether for any reason such as the customer providing incorrect information, the customer not opening the email, the customer changing contact information...Pinetree will not be responsible. In these case, Pinetree has the right to cancel or transfer the prize to another person without any notice and without customer's consent.
- For Accounts that compete in the top 5 of the final rankings for each round or for the entire competition, if the investment performance involves the exercise of the right to buy or trade in low-liquidity, unusually liquid stocks... as assessed by Pinetree from time to time, Pinetree reserves the right to (i) calculate and exclude the increase from these transactions and adjust the overall results of the competition to ensure fairness; or (ii) disqualification and disqualification of the Competition Account.
- Competing accounts which have deals or odd lot transactions during the competing period will be disqualified for the prizes of each round or the competition.
- In any situation, including but not limited to, insufficient data to calculate investment performance and customer's award criteria, customer ineligibility for award, cancellation of examination table, transfer of examination table, Pinetree will decide how to handle and notify customer via email.
- When registering and/or participating in any part of the competition, the customer is deemed to have irrevocably consented to the processing and storage of personal data by Pinetree and related parties.

- Pinetree may use the name and image of any and all customers participating in the competition for the promotion, communication of the program and/or the Pinetree brand and related purposes without any other consent of the customer.
- Winners of any part or round of the competition must attend the award ceremony (if any) in accordance with the form and request of Pinetree. The winner may authorize another person to accept the prize on his/her behalf or not attend the award ceremony with prior notice and consent of Pinetree.
- Winners are responsible for coordinating with Pinetree to carry out online and offline activities and programs as required, including but not limited to, video recording, photography, interviewing, writing articles, sharing articles about the investment process, investment strategy.
- Customers may only use results, images, information about and/or in connection with the competition, round or any competition content after the prior consent of Pinetree.
- Pinetree will amend and supplement the competition rules in necessary cases according to Pinetree's assessment without prior notice or approval of customers, however, Pinetree will publicly announce the revised and supplemented rules at the website <https://pinetree.vn>.
- In all cases, matters relating to the competition, including but not limited to, prizes, competition results, calculated data, violation evaluations will be decided by Pinetree at Pinetree's sole and absolute discretion.

10. Supporting information

Hotline 024 6282 3535

OA Zalo: <https://zalo.me/895810815009263150>

Facebook: <https://www.facebook.com/chungkhoanpinetree>