

DERIVATIVES TRADING GUIDELINES

PINETREE SECURITIES CORPORATION



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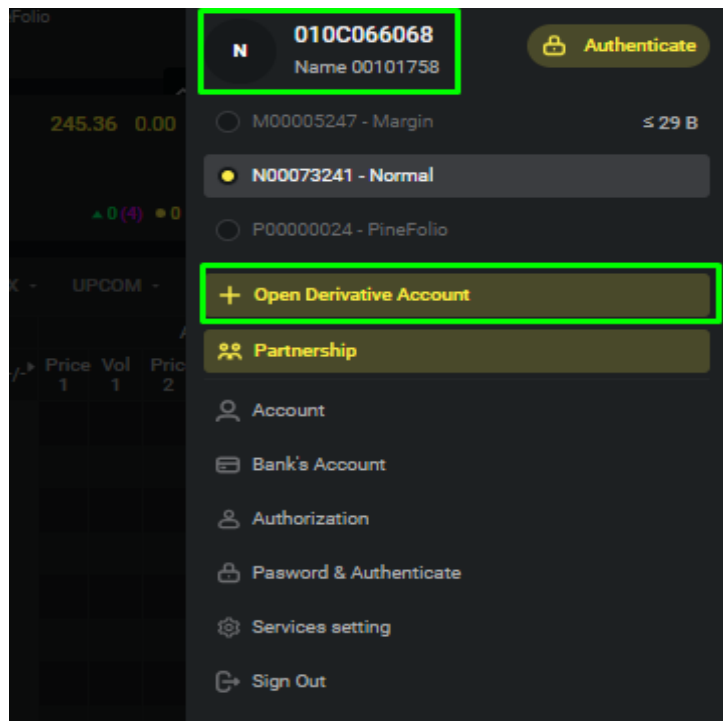
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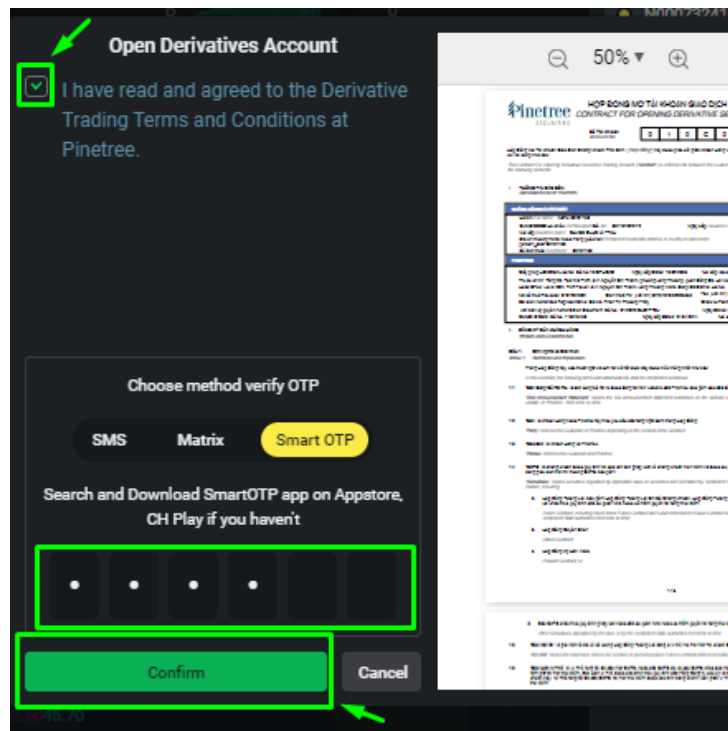
STATEMENT INQUIRY

1. GUIDELINE FOR OPENING DERIVATIVES ACCOUNT

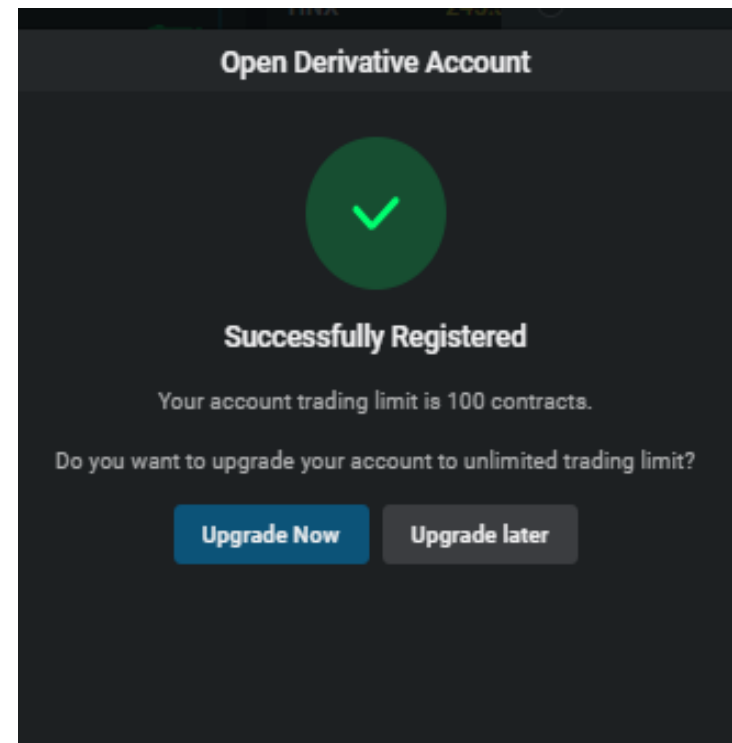
- ❖ **Step 1:** Please log in to your account on trade.pinetree.vn then go to the Account section
→ Choose **“Open Derivative Account”**



- ❖ **Step 2:** Please read and check the information in the *Contract For Opening Derivative Securities Trading Account*
→ Tick the box, fill in the verification code then choose **“Confirm”** button to finish.



- ❖ **Step 3:** Please choose **“Upgrade Later”** to finish the registration or **“Upgrade Now”** if you want upgrade your derivative trading limit.



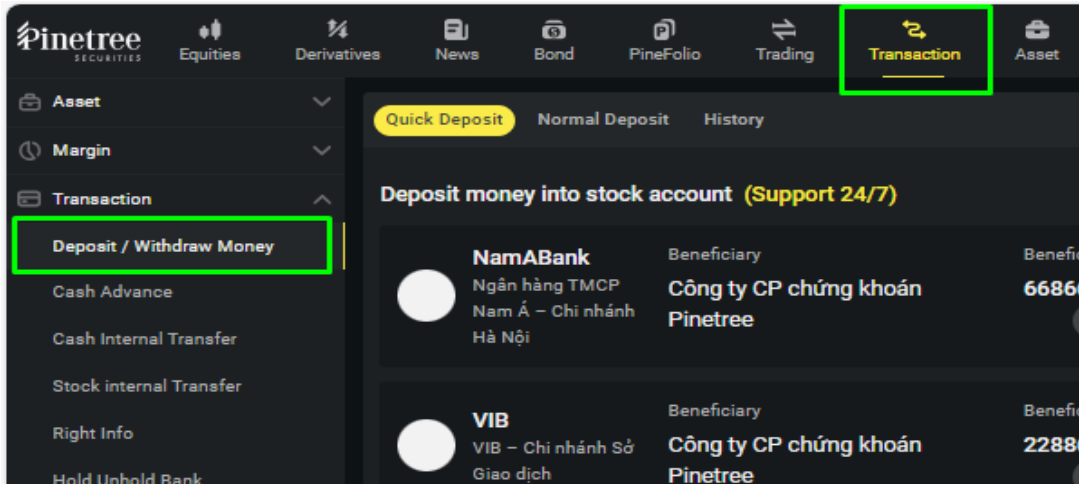
Note: If you do not have securities trading account at Pinetree, please download AlphaTrading application to open both securities trading account and derivatives trading account.

Note: The default limit for an account is 100 contracts. Please upgrade your derivatives trading account for more contracts.

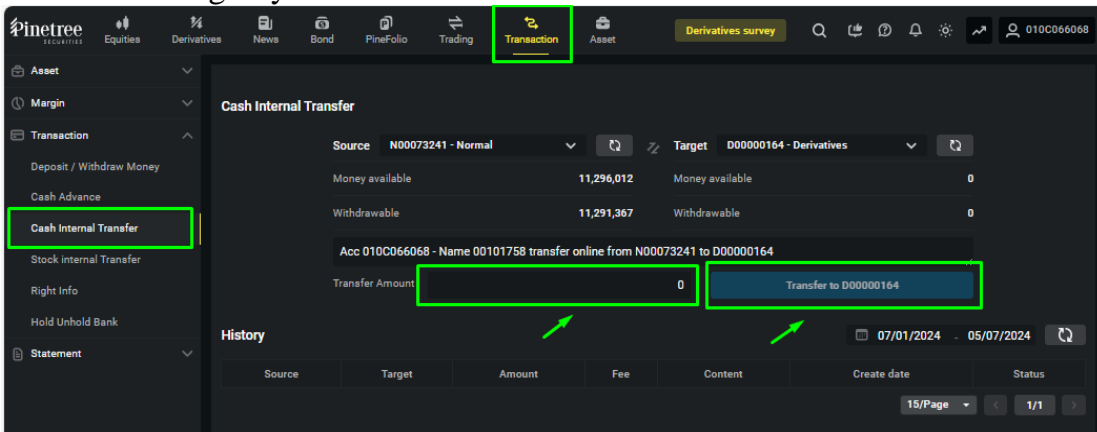
2. GUIDELINES FOR DEPOSIT MONEY TO DERIVATIVES ACCOUNT

METHOD 1

- ❖ **Step 1:** Please choose the “Transaction” section, choose “Deposit/Withdraw Money” tab, follow the instruction, then open your banking app to deposit money to securities account.

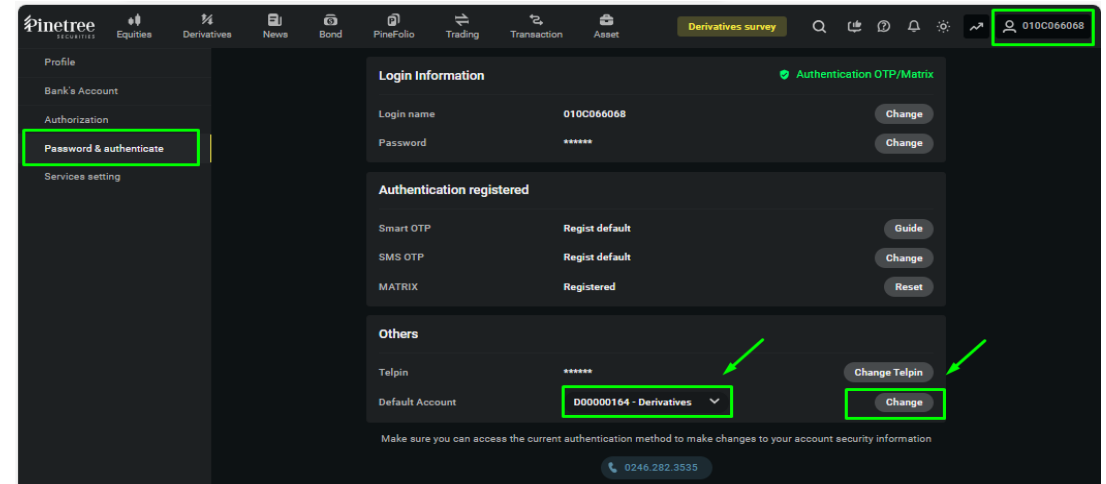


- ❖ **Step 2:** Choose “Cash Internal Transfer”, insert the Transfer Amount then choose the “Transfer to D*****” button to confirm transferring to your derivative account.

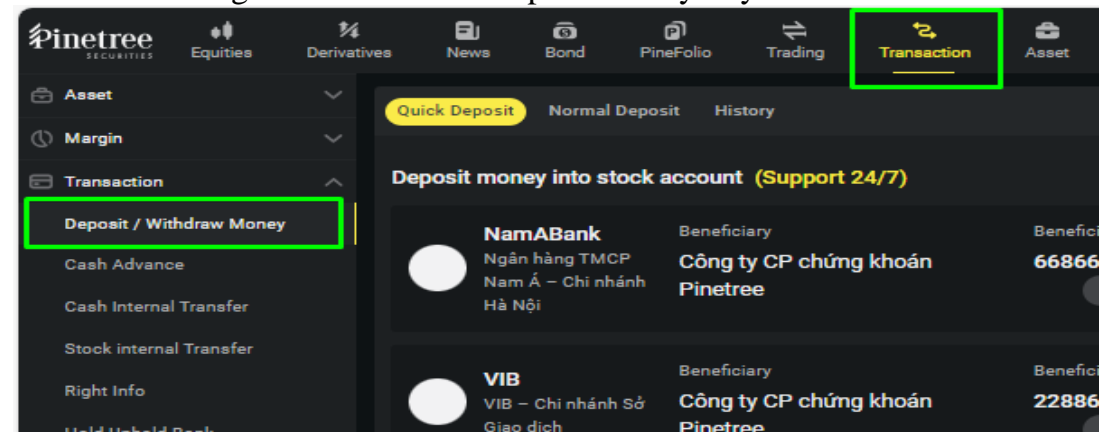


METHOD 2

- ❖ **Step 1:** At the Account section, please choose “Password & Authentication”, and set your default account to the derivative account then choose “Change” to confirm.



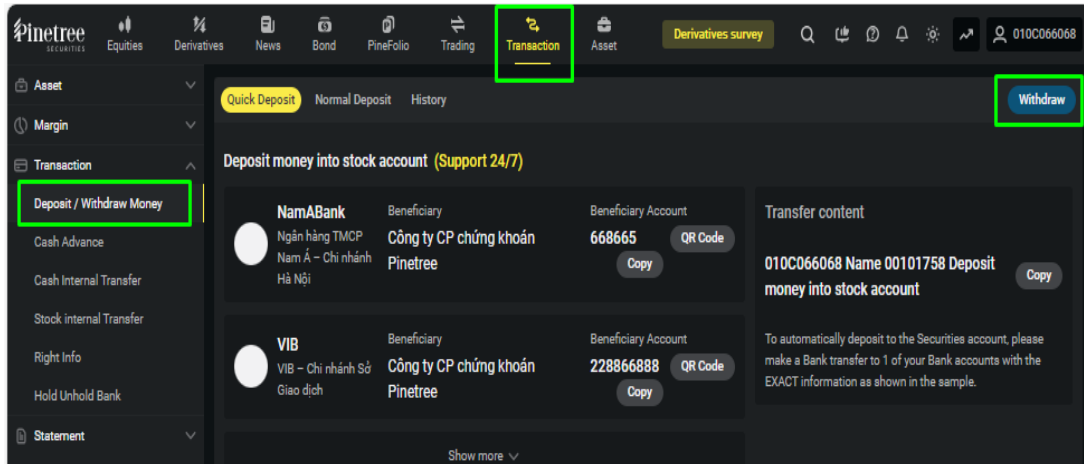
- ❖ **Step 2:** (Same as Step 1 of Way 1) At the “Transaction” section, please choose “Deposit/Withdraw Money” tab for the instruction and transferring information then deposit money to your account.



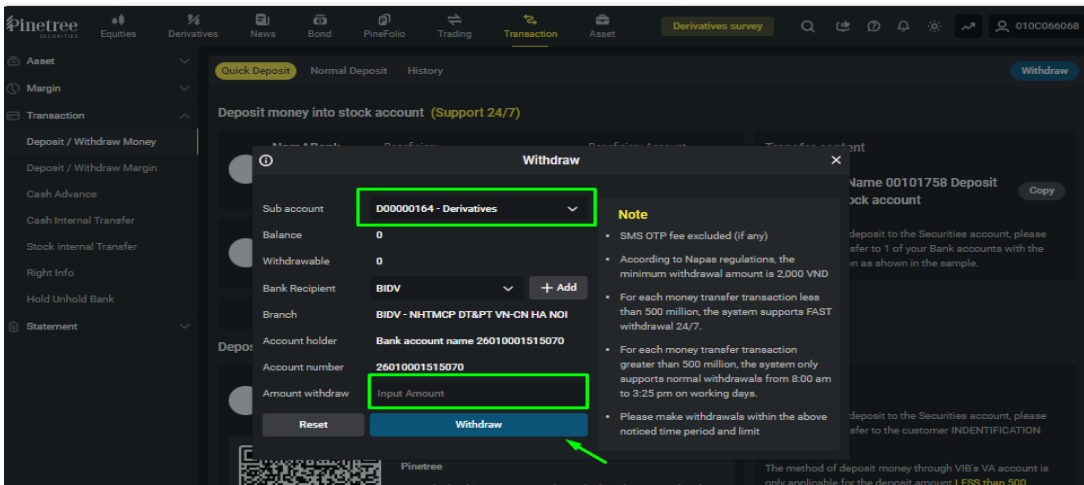
2. GUIDELINES FOR WITHDRAWAL FOR DERIVATIVES TRADING

WAY 1

- ❖ **Step 1:** Please choose the “**Transaction**” section
→ choose the “**Withdraw**” button in the “**Deposit/Withdraw Money**” tab.

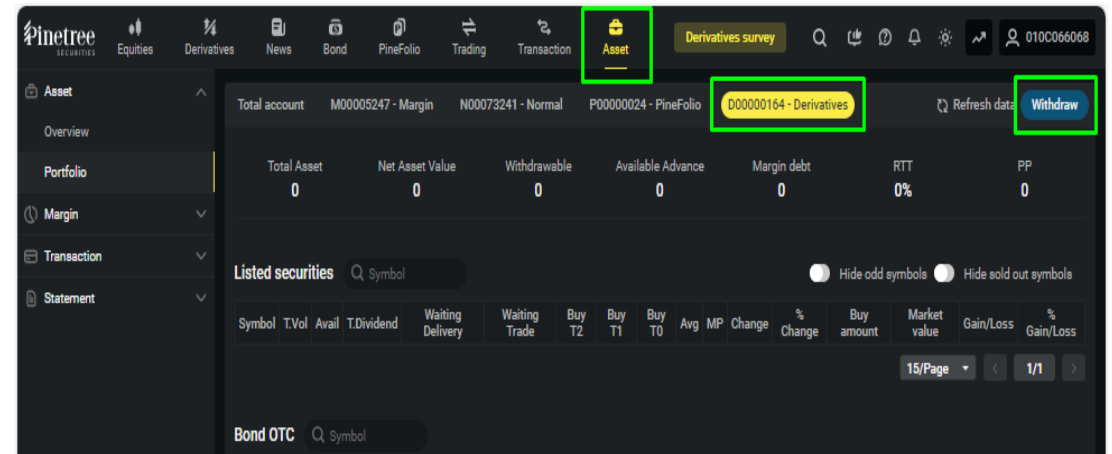


- ❖ **Step 2:** Please check the transferring information, insert the withdrawing amount then confirm the withdrawal by choosing the “**Withdraw**” button.

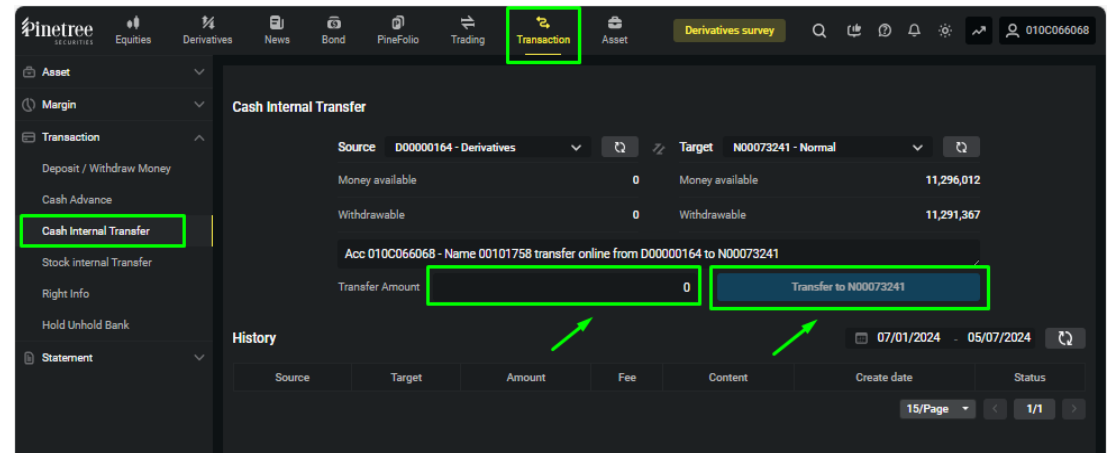


WAY 2

- ❖ Please choose the “**Asset**” section then at the derivative sub-account tab, choose “**Withdraw**” to withdraw money from your derivative account.



- ❖ **OR:** If you want to withdraw money from the derivative account to transfer to another sub-account, please choose “**Cash Internal Transfer**”, insert the Transfer Amount then choose the “**Transfer to**” button.



2. GUIDELINES FOR DEPOSIT/WITHDRAW MARGIN TO VSDC

DEPOSIT MARGIN

- ❖ Please choose the “**Transaction**” section, then choose the “**Deposit/Withdraw Margin**” tab, insert the margin deposit amount then choose “**Deposit**” button to confirm.

Asset

Margin

Transaction

Deposit / Withdraw Money

Deposit / Withdraw Margin

Cash Advance

Cash Internal Transfer

Stock internal Transfer

Right Info

Hold Unhold Bank

Statement

D00000164 - Derivatives

Deposit

Withdraw

Note

- Margin deposit time from 8:00 to 16:30
- Margin deposit amount ≥ 20.000 VNĐ

Sub Account D00000164

Margin money at VSD 0

Margin amount that can be deposit -100,000

Margin deposit amount Input amount

Transfer fees 5,500

Deposit

History

#	Sub Account	Time	Type	Amount	Fee	Status	Note
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WITHDRAW MARGIN

- ❖ Please choose the “**Transaction**” section, then choose the “**Deposit/Withdraw Margin**” tab, insert the margin withdrawal amount then choose “**Withdraw**” button to confirm.

Asset

Margin

Transaction

Deposit / Withdraw Money

Deposit / Withdraw Margin

Cash Advance

Cash Internal Transfer

Stock internal Transfer

Right Info

Hold Unhold Bank

Statement

D00000164 - Derivatives

Deposit

Withdraw

Note

- Margin withdraw time from 8:00 to 16:00
- Margin withdrawal amount ≥ 5500 VNĐ
- Margin money at VSD has left min 10,000 VNĐ

Sub Account D00000164

Margin money at VSD 0

Margin amount that can be withdrawn 0

Margin withdrawal amount Input amount

Transfer fees 5,500

Withdraw

History

#	Sub Account	Time	Type	Amount	Fee	Status	Note
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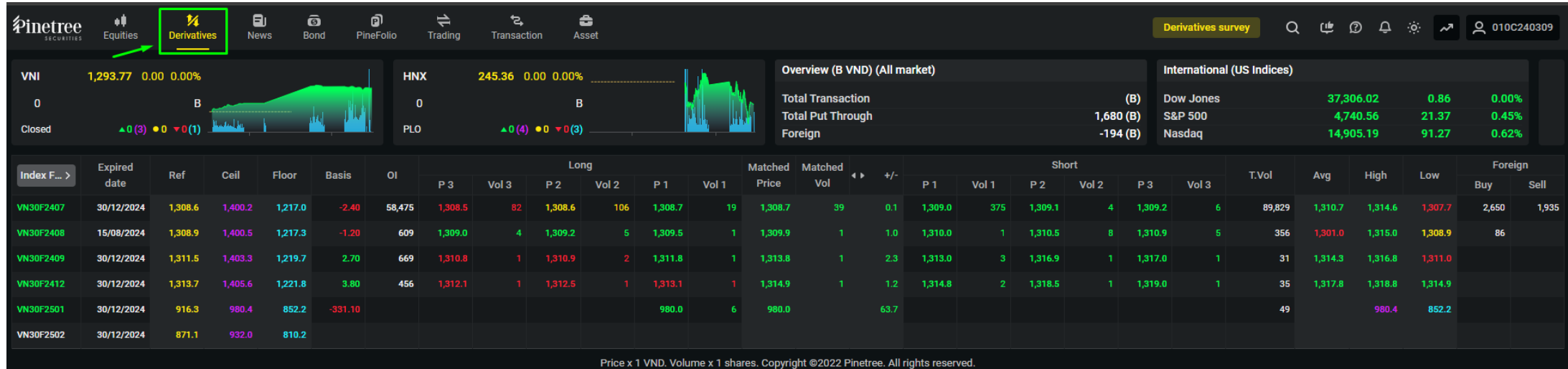
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Note: Margin deposit time is from 8:00 to 16:30
Margin withdrawal time is from 8:00 to 16:00
The margin deposit amount is ≥ 20.000 VNĐ
The margin withdrawal amount is ≥ 5.500 VNĐ
The minimum remaining margin at VSDC is equal to 0 or higher than 10.000 VNĐ

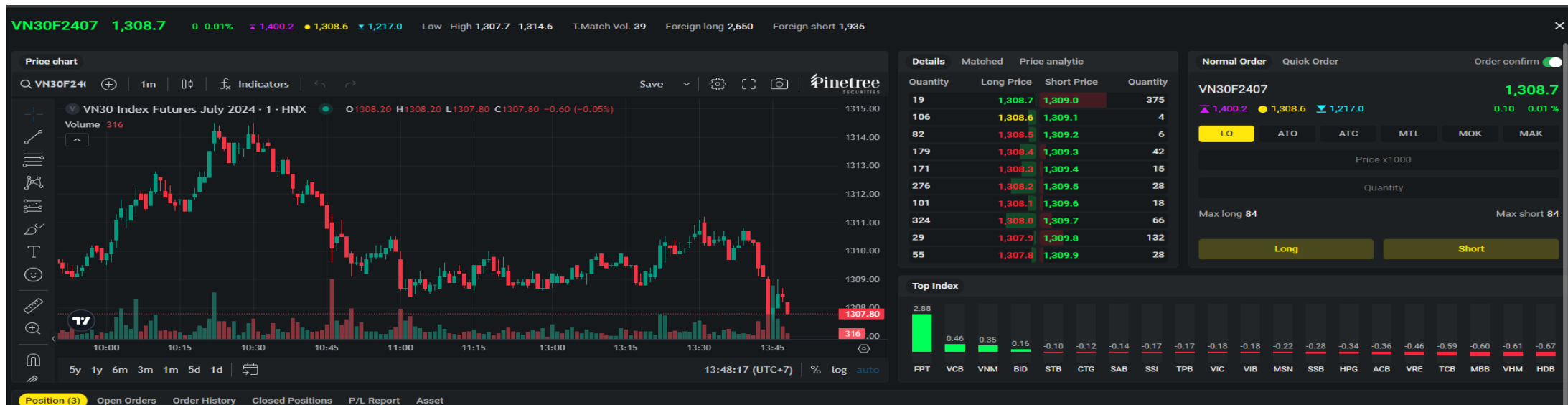
3. GUIDELINE FOR PLACING ORDERS OF DERIVATIVES TRADING

1. DERIVATIVES PRICE BOARD

❖ Choose “Derivatives” section after log in to the trade.pinetree.vn website to see the price board.



❖ For more detailed indicators, please choose each Contract to check for the chart, price, matched orders, and other information.



3. GUIDELINE FOR PLACING ORDERS OF DERIVATIVES TRADING

2. PLACING ORDERS

Step 1: Choose the “Place Order” button or choose the Contract you want to place order.

Step 2: Choose “Normal Order” or “Quick Order” (For quick order, the Customer can place Long/Short continuously for the same Contract Code).

Then choose the Contract, order type and insert the price and quantity you want for the transaction (check the purchasing power – Max Long, Max Short above the Long/Short button) → Press Long/Short

The screenshot shows the trading interface for VN30 Index Futures July 2024. On the left is a price chart with a green trend line. The main area displays the order book with columns for Quantity, Long Price, Short Price, and Quantity. On the right, the order entry form is visible, showing the contract code VN30F2407, a price of 1,308.7, and a quantity of 375. The form includes buttons for Normal Order and Quick Order, and a toggle for Order confirm. The Long and Short buttons are highlighted in green.

This screenshot shows the order entry form for VN30F2407 with the Quick Order button selected. The form includes buttons for LO, ATO, ATC, MTL, MOK, and MAK. The Price x1000 and Quantity fields are visible. The Long (F2) and Short (F9) buttons are highlighted in green. The Order confirm toggle is turned off.

Step 3: After checking the order information, choose “Order” or “Cancel” at the Confirm new order pop-up.

The screenshot shows the Confirm new order pop-up dialog. It displays the VSD No 010C240309 and Account D00000013. The order details are Long VN30F2501 980.0 5. The Order and Cancel buttons are visible at the bottom.

***** Note:** To skip the *Confirm* new order pop-up, you can turn off the *Order Confirm* button.

Step 4: To check the order status, go to the **Positions** tab and choose **Orders**

3. GUIDELINE FOR PLACING ORDERS OF DERIVATIVES TRADING

❖ Orders:

To check the order status, please go to the **Positions** tab and choose **Orders**. The exact matched time for each contract will be shown here. You can choose **Edit/Cancel** or **Cancel All** the orders.

The screenshot shows the 'Order List (2)' tab selected in the top navigation bar. The main table displays two orders:

Order Number	Original Number	Contract Code	Order type	Type	Order Price	Order Quantity	Matched Quantity	Status	Actions
14		VN30F2501	Short	LO	1,412.0	5	0	Confirm	<input type="button" value="Cancel all"/> <input type="button" value="Detail order"/>
		Matching Time		Matched Price		Matched Volume		Fee	Tax
		17/07/2024 09:35:25		1,300.0		2		4,000	0
12		VN30F2501	Long	LO	1,300.0	5	2	Confirm	<input type="button" value="Edit Order"/> <input type="button" value="Cancel Order"/>

At the bottom of the interface, the 'Position' button is highlighted in the navigation bar. The status bar at the bottom right shows 'Connected', '09:39:12', '17/07/2024', and 'v.2.6.82'.

After checking the information, choose “**Accept**” to confirm edit/cancel orders.

The dialog box titled 'Confirm order modification' displays the following information:

- VSD No: 010C240309
- Sub Account: D0000013
- Order type: Short
- Contract Code: VN30F2501
- Order Price: 1,412.0
- Unit: ₫

At the bottom, there are two buttons: 'Accept' and 'Cancel'.

The dialog box titled 'Confirm cancel order' displays the following information:

- Symbol: VN30F2501
- Type: Short
- Order No.: 14

At the bottom, there are two buttons: 'Accept' and 'Cancel'.

4. POSITION MANAGEMENT

❖ EXISTING POSITIONS

You can check all the existing positions at the “**Position**” tab. For each Contract, you can choose **Reverse Position** or **Close Position**. The **Close All** button is for closing all the open contracts.

Contract Code	Position	Open Quantity	Long Pending	Short Pending	Avg Price	Market Price	% Profit / Loss	Profit / Loss	
GB10F2506	Short	8	0	0	89,812.00	89,812.0	0%	0	Reverse position, Close position, Close all
VN30F2501	Long	1	0	0	886.20	886.2	0%	0	Reverse position, Close position
VN30F2502	Long	207	0	0	869.00	869.0	0%	0	Reverse position, Close position

❖ ORDER HISTORY

At “**Position**” tab, choose “**Order History**” for all placed orders, you can sort by contract code, time, order type, or order status. Press the “**V**” button for more detailed information as matched time, matched price, matched quantity, fee, and tax.

Trade date	Order Time	Order Number	Original Number	Contract Code	Order type	Type	Order Price	Matched Avg Price	Order Quantity	Matched Quantity	Fee	Tax	Status
21/06/2024	21/06/2024 16:57:27	29		VN30F2501	Long	LO	980.0	980.00	10	4	8,000	0	Expired
		Matching Time				Matched Price				Matched Volume	Fee	Tax	
		21/06/2024 16:57:27				980.0				4	8,000	0	
		21/06/2024 16:57:27				980.0				2	4,000	0	
		21/06/2024 16:57:27				980.0				2	4,000	0	
21/06/2024	21/06/2024 16:57:07	28		VN30F2501	Long	LO	980.0	950.00	1	1	2,000	0	Matched
21/06/2024	21/06/2024 16:57:03	27		VN30F2501	Long	LO	980.0	950.00	1	1	2,000	0	Matched
21/06/2024	21/06/2024 16:56:43	26		VN30F2501	Long	LO	980.0	950.00	1	1	2,000	0	Matched

4. POSITION MANAGEMENT

❖ CLOSED POSITIONS

Choose **Closed Positions** at the **Position** tab for more detailed Profit/Loss information. You can sort by Contract Code and time.

Contract Code	Time	Position	Avg Price	Closed Price	Closed Quantity	Multiplier	Gain/Loss
VN30F2501	05/07/2024	Long	886.20	980.0	2	100,000	18,760,000
VN30F2501	05/07/2024	Long	886.20	980.0	1	100,000	9,380,000

❖ P/L REPORT

Choose **P/L Report** at the **Position** tab for the report on the profit/loss of each contract code. You can sort by Contract Code and time.

Contract Code	Trade date	Relised P/L in day						Holding Position					Total (1+2)
		Position	Closed Qty	Avg Price	Closed Price	P/L	Total P/L (1)	Position	Qty	Avg Price	Market price	VM (2)	
VN30F2501	11/06/2024	Long	16	866.30	900.03	53,960,000	53,960,000	Long	27	866.30	912.90	125,820,000	179,780,000
		Short	0	0	0	0							
VN30F2502	11/06/2024	Long	10	853.10	875.99	22,890,000	22,890,000	Long	207	851.30	871.65	421,155,000	444,045,000
		Short	0	0	0	0							
VN30F2501	10/06/2024	Long	0	0	0	0	0	Long	43	860.90	866.30	23,220,000	23,220,000
		Short	0	0	0	0							
VN30F2502	10/06/2024	Long	2	800.12	853.10	10,595,754	10,595,754	Long	210	800.12	853.10	1,112,554,246	1,123,150,000

4. POSITION MANAGEMENT

❖ ASSET

The Asset tab shows the Total Asset, Use of Margin, and other detailed asset information.

Note: Customers should follow the Warning Threshold to actively manage positions.

Total Asset	
Total money	41,814,567,652
Fee & Tax	3,003,120
Original debt	0
Late payment interest	0
Total profit/loss	0
Cash available	41,811,564,532
Withdrawable money	34,047,843,244
Withdrawable security	0

Asset Detail		Pinetree	VSD
Cash		34,050,846,364	7,763,721,288
Value of marginal securities		0	0
Value of valid margin securities		0	0
Total valid deposited value		41,811,564,532	7,763,721,288
Withdrawable money		34,047,843,244	2,113,095,538
Available marginal asset value		37,291,063,932	3,424,005,488

Use of margin		Pinetree	VSD
Value of initial margin		4,520,500,600	4,520,500,600
Value of delivery margin		0	0
Total value of required margin		4,520,500,600	4,339,715,800
Required additional money		0	0
Use of marginal asset ratio		10.81%	55.90%

Total Asset	
Total money	
Fee & Tax	
Original debt	
Late payment interest	
Total profit/loss	

Detail	
T0 Trading fee for Exch	32,400
T0 Trading fee for Pinetree	-8,400
T0 Tax	0
Trading fee & Tax debt	0
POFee	2,233,800
IMFee	745,320

Press the (i) button for more information on fees and tax.

5. STATEMENT INQUIRY

❖ ORDER STATEMENT

Please log in to your account on trade.pinetree.vn then go to the **Transaction** section.
 → Choose “**Statement**” → “**Order Statement**” → “**D***** - Derivatives**” sub-account.

The screenshot shows the Pinetree Securities interface. The 'Transaction' menu is highlighted in the top navigation bar. In the left sidebar, the 'Statement' menu is expanded, and 'Order Statement' is selected. The main content area displays the 'Order history' for the account 'D00000013 - Derivatives'. The table below shows the order details:

No.	Order No.	Trade date	Order	Symbol	Type	Price	Vol	Matched Price	Matched Vol	Canceled Vol	Matched Value	Fee	Sell fee	Tax	Real amt	Status	Channel
1	3	05/07/2024 14:22:59	Buy	VN30F2501	LO	950	5	0	0	5	0	0	0	0	0	Reserved	Web
2	2	05/07/2024 14:01:33	Buy	VN30F2501	LO	980	5	0	0	5	0	0	0	0	0	Reserved	Web
3	1	05/07/2024 13:59:02	Buy	VN30F2501	LO	980	2	0	0	2	0	0	0	0	0	Reserved	Web
4	29	21/06/2024 16:57:27	Buy	VN30F2501	LO	980	10	980	4	6	392,000,000	8,000	0	0	11,920	Expired	Offline
5	28	21/06/2024 16:57:07	Buy	VN30F2501	LO	980	1	950	1	0	95,000,000	2,000	0	0	2,950	Matched	Offline
6	27	21/06/2024 16:57:03	Buy	VN30F2501	LO	980	1	950	1	0	95,000,000	2,000	0	0	2,950	Matched	Offline
7	26	21/06/2024 16:56:43	Buy	VN30F2501	LO	980	1	950	1	0	95,000,000	2,000	0	0	2,950	Matched	Offline
8	23	21/06/2024 15:56:07	Sell	VN30F2501	LO	950	5	950	2	0	190,000,000	4,000	0	0	0	Match Partial	Web
9	23	21/06/2024 15:56:07	Sell	VN30F2501	LO	950	5	950	3	0	285,000,000	6,000	0	0	0	Match Partial	Web

❖ CASH STATEMENT

Please log in to your account on trade.pinetree.vn then go to the **Transaction** section.
 → Choose “**Statement**” → “**Cash Statement**” → “**D***** - Derivatives**” sub-account.

The screenshot shows the Pinetree Securities interface. The 'Transaction' menu is highlighted in the top navigation bar. In the left sidebar, the 'Statement' menu is expanded, and 'Cash Statement' is selected. The main content area displays the 'Cash Statement' for the account 'D00000013 - Derivatives'. The summary statistics are as follows:

Total Asset	Net Asset Value	Withdrawable	Available Advance	Margin debt	RTT	PP
41,814,567,652	41,814,567,652	34,047,843,244	0	0	10.81%	34,048,612,564

The table below shows the cash statement entries:

No.	Time	Major	Opening balance	Change	Closing balance	Remark
1	30/06/2024	pay monthly depository fee	34,066,365,664	-15,519,300	34,050,846,364	Thu phí QL vị thế cuối tháng - TK 010C240309 - TCTN 240309
2	30/06/2024	Collection Asset Fee	34,067,965,664	-1,600,000	34,066,365,664	Thu phí QL tài sản cuối tháng- TK 010C240309 - TCTN 240309
3	21/06/2024	Collection Trading Fee	34,068,023,664	-58,000	34,067,965,664	Thu phí giao dịch hằng ngày TK 010C240309 - TCTN 240309 - GT 58000
4	18/06/2024	Settlement VM Profit	33,691,103,664	376,920,000	34,068,023,664	Thanh toán lãi VM - TK 010C240309 - TCTN 240309 - GT 376920000
5	17/06/2024	Collection Trading Fee	33,691,111,664	-8,000	33,691,103,664	Thu phí giao dịch hằng ngày TK 010C240309 - TCTN 240309 - GT 8000
6	14/06/2024	Collection VM Loss	34,373,349,664	-682,238,000	33,691,111,664	Thu Lỗ VM - TK 010C240309 - TCTN 240309 - GT 682238000
7	13/06/2024	Collection Trading Fee	34,374,483,664	-1,134,000	34,373,349,664	Thu phí giao dịch hằng ngày TK 010C240309 - TCTN 240309 - GT 1134000
8	13/06/2024	Deposit Cash	29,374,483,664	5,000,000,000	34,374,483,664	010C240309 - TCTN 240309 - Deposit Cash