

# **SCHEDULE OF FEES & CHARGES**

Applicable to domestic and foreign (individual and institutional) clients

Effective date: 01 September 2020

## SCHEDULE OF FEES & CHARGES OF KB SECURITIES VIETNAM JOINT STOCK COMPANY

KB SECURITIES VIETNAM JOINT STOCK COMPANY ("KBSV") would like to kindly notify our Valued Customers of our schedule of fees and charges for securities services, including:

1. Listed securities services;
2. Unlisted securities (OTC) with shareholder list managed by KBSV;
3. Cash account services;
4. Financial services;
5. Securities auction services;
6. Value added services to investors (Researches, Investment advisory);
7. Securities investment authorization services.

*KB SECURITIES VIETNAM JOINT STOCK COMPANY (KBSV) is a professional securities company in Vietnam with the expertise and range of experiences in worldly securities trading arena. We provide all types of Securities and Investment Banking services to our clients, including enterprises, institutional investors and individual investors. Founded in 2008, KBSV has its head quarter in Hanoi and 03 (three) other branches in the area of Hanoi and Ho Chi Minh City with 200 points of connectivity with Maritime Bank (MSB) to assist our clients in the ease of account opening. KBSV was honored to be bestowed with an award "Securities company with best growth in customers' accounts in 2014 & 2015" from the Ho Chi Minh Stock Exchange (HSX) and was honored with the title from the Vietnamese M&A forum, "Exceptional M&A Advisory of 2014-2016". It was KBSV greatest honor to be positioned within the top 10 Securities company with highest market share in the Hanoi Stock Exchange and Upcom, top 10 in the Government bonds brokerage in the Ho Chi Minh Stock Exchange (HSX) IN 2016.*

NO	SERVICES	FEES	MINIMUM	MAXIMUM	REMARKS
A. LISTED SECURITIES ACCOUNTS					
<b>I.</b>	<b>Accounts</b>				
1.	Open an account	Free			
2.	Close an account	VND 100,000/account			
3.	Registration fees for trading code of foreign investors	Free			
4.	Online trading registration (MS-Trade)	Free			
5.	Telephone trading registration (MS-Call)	Free			
6.	Lucky account number selection fees	Free			
<b>II.</b>	<b>Securities trading fees</b>				
1.	Trading of stocks, fund units and covered warrants				
1.1	Placing order online (MS-Trade; MS-Mobile; MS-Pro)	0.15% -0.2% of trading value			
1.2	Placing order through other channels				
	Aggregate transaction value from VND 300 million/day	0.20% of trading value			
	Aggregate transaction value under VND 300 million/day	0.25% of trading value			
2.	Transaction fees of listed bonds				
	Aggregate transaction value under VND 2 billion/day	0.10% of trading value			
	Aggregate transaction value from VND 2 billion to under VND 10 billion/day	0.05% of trading value			

NO	SERVICES	FEES	MINIMUM	MAXIMUM	REMARKS
	Aggregate transaction value from VND 10 billion/day	0.02%			
3.	Selling of odd-lot shares to KBSV	10% of transaction value/stock	VND 10,000/ transaction/ticker		Trading at floor price
4.	SMS notification of transaction result	Free			
5.	Email confirmation of daily transaction result	Free			
6.	Email notification of monthly transaction result	Free			
<b>III.</b>	<b>Derivatives trading fees</b>				
1	Trading fees at KBSV				
1.1	Futures Index trading fees	VND 4,000/ Open/ Close position			
1.2	Late interest fees	14.5%/annum			
2	Fees collected for authorized exchange and supervisory bank				
2.1	Fees of VN Index Futures paid to stock exchange	VND 2,700/contract/way			
2.2	Position management fees paid to VSD	VND 2,550/contract/account/ Day			
2.3	Securities collateral management fees paid to VSD	0.0024% of accumulated value of securities collaterals at VSD (Cash + Stocks' market value) /Account/Month	VND 320,000/ Account/Month	VND 1,600,000/Account/Month	
2.4	Applicable tax	Transfer value each time x 0.1%			

NO	SERVICES	FEES	MINIMUM	MAXIMUM	REMARKS
		Within it: Transfer value each time = (Settlement price of futures contract at the time of tax calculation x Contract multiplier x Number of contracts x Initial margin rate)/2			
2.5	Transfer fees, deposit/withdrawal of collaterals (for supervisory bank)	VND 5,500/trade (Inclusive of VAT)			
<b>IV.</b>	<b>Securities Depository fees</b>				
1.	Depository procedures of shares, funds, covered warrants	Free			
2.	Custody fees for stocks and fund certificate, covered warrants	VND 0.3/share, funds certificate, CW/month			
3.	Custody fees for bonds	VND 0.2/Government bond/month		VND 2,000,000/ Government bond/month	
<b>V.</b>	<b>Securities transfer fees</b>				
1.	Securities transfer between sub-accounts	Free			
2.	Securities transfer fees for investors to close an account	VND 0.5/ticker		VND 500,000/service /ticker	
3.	Securities transfer fees incurred to effect payment	VND 0.5/ticker		VND 500,000/service/ticker	
4.	Rights transfer to purchase shares				
	Transfer to a KBSV account	VND 100,000/transfer			
	Transfer to a non-KBSV account	VND 150,000/transfer			
5.	Withdrawal of deposited securities from VSD	VND 200,000/transfer			

NO	SERVICES	FEES	MINIMUM	MAXIMUM	REMARKS
<b>VI.</b>	<b>Blockade of collaterals</b>				
1.	Handling of frozen accounts, securities (stocks and bonds) blockage and release fees				
	KBSV withholds	0.2% of value	VND 100,000/ Contract	VND 5,000,000/ Contract	
	VSD withholds	Based on VSD regulations depending on the periods			
2.	Collaterals (stocks and bonds) blockage management fees	0.2% of value	VND 300,000/ Contract		Under 12 months
3.	Confirmation of stocks blockade and rights originated from collaterals/repo for third parties	VND 500,000/ticker/Year			
<b>VII.</b>	<b>Transfer of ownership not via trading system of Stock Exchange</b>				Off-market transfer
1.	Transferring securities				
	The founding shareholders during time of transfer restrictions in accordance with regulations	0.1% of trading value	VND 100,000		
	Transferring cases approved by a competent State agency	0.1% of trading value	VND 100,000		
	Securities donation, offer, inheritance <sup>1</sup>	0.1% of trading value	VND 100,000		

<sup>1</sup>Except for the cases of donating, offer or inheriting securities between wife and husband; biological parents and their children; adoptive parents and their adopted children; parents in law with daughter in law; parents in law with son in law; paternal grandfather. Grandmother with paternal grandchildren; maternal grandfather. grandmother with maternal grandchildren; and between siblings:

NO	SERVICES	FEES	MINIMUM	MAXIMUM	REMARKS
	Transfer of ownership of securities due to the division, separation, merger, consolidation, or capital contribution by shares to establish enterprises in accordance with the Civil Law, the enterprise Law and the Securities Law	0.02% of trading value	VND 100,000		
2.	Others	0.1% of trading value			
<b>VIII.</b>	<b>Documentation fees as per customers' requests</b>				
1.	Cash account balance report printing	VND 50,000/Report			
2.	Cash transaction statement printing	VND 5,000/Page	VND 50,000/Statement		
3.	Review fees of original trading documents of customer's account (within current financial year)	VND 200,000/Document			
4.	Review fees of original trading documents of customer's account (outside of current financial year)				
	Standard request	VND 100,000/Document	VND 400,000/Request		
	Fast request	VND 100,000/Document	VND 500,000/Request		
	Urgent request	VND 100,000/Document	VND 1,000,000/ Request		
5.	Confirmation fees of blockage/release stocks, repo	VND 50,000/Document			
6.	Confirmation fees of outstanding balance/statements for auditing purpose	VND 300,000/Document			

NO	SERVICES	FEES	MINIMUM	MAXIMUM	REMARKS
<b>IX.</b>	<b>Cash balance inquiries</b>				
1.	Cash balance inquiries over the counter	Free			
2.	Cash balance inquiries via telephone (MS-Call)	Free			
3.	Cash balance inquiries via Internet (MS-Trade)	Free			
<b>X.</b>	<b>Notary fees for Letter of Authorization<sup>2</sup></b>				
1.	Notarized at the Notary public's office				VND 100,000/Service
2.	Notarized at KBSV (Notary comes to one of KBSV's offices)				VND 140,000 /Service
<b>B.</b>	<b>SHAREHOLDER MANAGEMENT FOR OTC COMPANIES</b>				
<b>I.</b>	<b>Brokerage fees for Unlisted stocks</b>				
1.	Brokerage fees for Unlisted stocks	0.5% of trading value			
2.	Brokerage fees for Unlisted bonds	Negotiable			
<b>II.</b>	<b>Pricing schedule for unlisted securities<sup>3</sup></b>				
1.	Unlisted stocks transfer fees	0.2% of value	VND 50,000/Transfer	VND 5,000,000/Transfer	
2.	Unlisted Corporate bonds transfer fees				
	Transfer value under 50 Billion VND	0.02% of value			

<sup>2</sup> To be paid directly to the Notary Public's office, KBSV does not charge extra, to maximize our customers' assistance.

<sup>3</sup>From 1/1/2013, Individual investors are subjected to Personal Income Tax of 0.1% of trading value or 20% tax on net income (In accordance with Article 27 of the Personal Income Tax Law No. 04/2007/QH12 signed on the 21<sup>st</sup> November 2017.



NO	SERVICES	FEES	MINIMUM	MAXIMUM	REMARKS
	Transfer value from 50 Billion to under 100 Billion VND	0.015% of value			
	Transfer value from 100 Billion VND	0.01% of value			
3.	Transfer purchase rights of additional issuance	0.2% of value	VND 50,000/Transfer	VND 5,000,000/Service	
4.	Offer, Gift, Inherit stocks <sup>4</sup>	0.2% of value	VND 50,000/Service	VND 5,000,000/Service	
5.	Freeze, release, blockage stocks and bonds	0.2% of value	VND 100,000/Service	VND 5,000,000/ Service	
6.	Management fees of stocks, bonds being frozen, blocked	0.2% of value	VND 300,000/Service		Under 12 months
7.	Register for additional issuance	Free			
8.	Receiving dividends via accounts transfer <sup>5</sup>	Applicable bank fees			
<b>III.</b>	<b>Other fees</b>				
1.	Depository fees of unlisted stocks that KBSV manages shareholders list	Free			
2.	Collaterals (unlisted shares, bonds) management fees	0.2% of Value/Service	VND 300,000/contract		Under 12 months
3.	Information change for shareholders/bondholders	VND 50,000/Service			
4.	Re-issuance fee of stock/bond certificate, shareholder book	VND 50,000/Service			

<sup>4</sup>From 1/1/2013, Individual investors are subjected to Personal Income Tax of 10% of transaction value (if the total amount is greater than 10.000.000 VND) in accordance with Article 23 of the Personal Income Tax Law No 04/2007/QH12 dated 21/11/2007).

<sup>5</sup>From 1/1/2013, Individual investors are subjected to Personal Income Tax of 5% of transaction value (In accordance with Article 23 of the Personal Income Tax Law No. 04/2007/ QH12 dated 21/11/2007)

NO	SERVICES	FEES	MINIMUM	MAXIMUM	REMARKS
5.	Confirmation of frozen/released stock blocked/repo for third parties	VND 100,000/Document			
6.	Confirmation of balance/ statement printing for auditing purpose	VND 300,000/Document			
7.	Price quotation for unlisted stocks	Negotiable			
<b>C. CASH ACCOUNT</b>					
<b>I. Open account</b>					
1.	Open account at KBSV	Free			
2.	Minimum cash requirement at KBSV account	No requirement			
3.	Close an account at KBSV	VND 100,000/Account			
4.	Assistance in opening a bank account with MSB	Free			
<b>II. Money transfer</b>					
1.	Transfer between sub-accounts within KBSV	Free			Real time
2.	Transfer to Maritime bank accounts	VND 2,200/transfer			Real time
3.	Money transfer outside of Maritime bank (minimum value from 100.000 VND)	- Transfer value < VND 500 Million: 13,200 VND/transfer - Transfer value >= VND 500 Million: 0.044%/transfer		VND 1,100,000/transfer	
4.	SMS notification of transaction result	Free			

NO	SERVICES	FEES	MINIMUM	MAXIMUM	REMARKS
<b>III.</b>	<b>Interest on outstanding cash balance in account</b>				
1.	For basic market	0.2%/year			
2.	For derivatives at KBSV	0.2%/year			
<b>IV.</b>	<b>Document provision as per customer's request</b>				
1.	Account balance report printing fees	VND 50,000/Document			
2.	Cash transaction statement printing	VND 50,000/Document			
3.	Queries on original documents of cash transactions (within current fiscal year)	VND 100,000/Document			
4.	Queries on original documents of cash transactions (outside of current fiscal year)				
	Standard request	VND 10,000/Document	VND 300,000 /Service		
	Fast request	VND 10,000/Document	VND 500,000/Service		
	Urgent request	VND 10,000/Document	VND 1,000,000/Service		
5.	Confirmation of balance/ report printing for audit purpose	VND 300,000/Document			
<b>V.</b>	<b>Cash balance inquiries</b>				
1.	Cash balance inquiries over the counter	Free			
2.	Cash balance inquiries via telephone (MS-Call)	Free			
3.	Cash balance inquiries via Internet	Free			

NO	SERVICES	FEES	MINIMUM	MAXIMUM	REMARKS
	(MS-Trade, MS-Mobile, MS-Pro)				
<b>D.</b>	<b>FINANCIAL SERVICES</b>				
<b>I.</b>	<b>Cash advance on matched sell orders</b>				
1.	Registration for cash advance by phone	Free			
2.	Registration for automatic cash advance on any matched sell orders	Free			
3.	Cash advance for sales of stocks	As per schedule of interest			
<b>II.</b>	<b>Margin loan services</b>				
1.	Open a margin account	Free			
2.	Interest on outstanding balance of margin loan	As per schedule of interest			
3.	Management of collaterals and collection from sales of collaterals	Free			
<b>III.</b>	<b>Dividend payout cash advance</b>				
	Dividend payout cash advance fees	Negotiable			
<b>IV.</b>	<b>Funding arrangement</b>				
	Funding arrangement for investors	Maximum 2% of arranged value	VND 500,000 /Service		
<b>V.</b>	<b>Interest on overdue loans</b>				
	Overdue interest charges	150% of standard rate			
<b>VI.</b>	<b>Balance queries</b>				
1.	Balance queries over the counter	Free			

NO	SERVICES	FEES	MINIMUM	MAXIMUM	REMARKS
2.	Balance queries via telephone (MS-Call)	Free			
3.	Balance queries via Internet (MS-Trade; MS-Mobile; MS-Pro)	Free			
<b>VII.</b>	<b>Other services</b>				
	Other financial services	Negotiable			
<b>E. SECURITIES AUCTION</b>					
<b>I.</b>	<b>Securities auction at KBSV</b>				
1.	Participation fee	Free			
2.	Deposit	Free			
3.	Deposit withdrawal	Free			
<b>II.</b>	<b>Auction at Stock exchanges</b>				
1.	Participation fee	Free			
2.	Deposit	Free			
3.	Deposit withdrawal	Free			
<b>III.</b>	<b>Securities auction authorization</b>				
1.	Auction authorization fees				
	Unsuccessful auction	VND 200,000/auction			
	Successful auction	0.5% of successful bidding value	VND 500,000 /Auction		

NO	SERVICES	FEES	MINIMUM	MAXIMUM	REMARKS
2.	Transfer fees to third party	0.5% of transfer value	VND 200,000 /Auction		
3.	Investment authorization fees	1% of buying value			
4.	Transfer fees of Authorization contract	VND 500,000/transfer			
5.	Ownership transfer fees	VND 500,000/transfer			
6.	Funds arrangement	Negotiable			
<b>F.</b>	<b>OTHER VALUE ADDED SERVICES</b>				
<b>I.</b>	<b>Research Report</b>				
1.	Daily market report	Free			
2.	Weekly market report	Free			
3.	Monthly market report	Free			
4.	Industrial report	Free			
5.	Company report	Free			
6.	Customized report	Negotiable			
<b>II.</b>	<b>Investment advisory</b>				
1.	Individual investment advisory	Free			
2.	Portfolio investment advisory	Free			

NO	SERVICES	FEES	MINIMUM	MAXIMUM	REMARKS
G. SECURITIES INVESTMENT AUTHORISATION					
1.	Managed advisory account <sup>6</sup>	0.5% authorized value			
2.	Managed discretionary account <sup>7</sup>	2% authorized value + bonus based on negotiation			

**REMARKS:**

Investors retain the rights to request KBSV to provide applicable fees and interest rates that are not published in this pricing schedule.

1. Fees schedule and interest rate stated above could change without prior notice.
2. All activities stated above are subjected to the changes in regulations of the Socialist Republic of Vietnam.
3. The above service fees & charges do not include applicable Personal Income Tax incurred which Investors may need to pay.
4. The above service fees & charges have included Value Added Tax (VAT), if applicable.


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<sup>6</sup> Managed advisory account: *Whilst based on the advice of the Investment advisory department of KBSV, investors however are the final decision makers of investment portfolio. This product is suitable for investors who have certain understanding of the Vietnamese market and has all required conditions to approve investment portfolio in a timely manner.*

<sup>7</sup> Managed discretionary account: *Investors delegate full authorisation for portfolio selection as well as the methodology, timing of investment within the scope of authorised amount that does not need confirmation of investors. This product is suitable for those who are busy, do not have time to seek out full information and to keep updated with the changes in the environment or those who are inexperienced*