

Periodic Buying Order

A Periodic Buying Order of KB Securities Vietnam Joint Stock Company (KBSV) is a Systematic Investment Order for a predetermined period of time, whereby Client will prepare a certain amount on their securities account according to the time determined by Clients (daily/weekly/monthly).

1. RULES FOR EXECUTING PERIODIC BUYING ORDERS

- Securities for trading: Stocks, ETF Certificates, Covered Warrants (CWs) have been registered to list on Hanoi Stock Exchange (HNX) and Ho Chi Minh Stock Exchange (HSX).
- Trading lots: round-lot and odd-lot according to the regulations of the Stock Exchange.
- Type of Orders, Price of Orders, method of Periodic Buying Orders:

Stock Exchange	HSX		HNX		UpCom	
Trading lots	Round	Odd	Round	Odd	Round	Odd
Type of Orders	MTL	LO	MTL	LO	LO	LO
Price of Orders	Market price	Ceiling price	Market price	Ceiling price	Ceiling price	Ceiling price
Order Matching Method	Continuous auction					

- Frequency: daily/weekly/monthly
- Repeat: finite or permanent
- Start Date: the first execution day of a Periodic Buying Order
- End Date: the last execution day of a Periodic Buying Order. The End Date depends on the Start Date and frequency of Periodic Buying Orders. For a periodic buying order that repeats "Permanent", the End Date is 5 years from its Start Date.
- Execution date: on the investment date. The first buying will be made on the Start Date and subsequent transactions are repeated according to the frequency chosen by Client until the End Date, specifically as follows:
 - With a Daily order, the order will be repeated on all working days (except weekends and holidays as prescribed) from the Start Date to the End Date.
 - With a Weekly order, make the first execution on the Start Date. Subsequent transactions will be determined on the 8th day from the latest execution date. In case the expected execution date (the 8th day from the latest transaction date) coincides with a holiday, the Periodic Buying orders will be executed on the first working day afterward. The last transaction was executed on the End Date.
 - With a Monthly order, make the first execution on the Start Date. Subsequent transactions will be determined as on the same date with the latest execution date of the following month.

- In case the next expected execution date coincides with the weekend or a public holiday, a Periodic Buying Order will be executed on the first working day after the day-offs or holidays.
 - In case the next expected execution date does not exist (For example: February 30th or September 31st does not exist), Periodic Buying Orders will be executed on the previous working day of the expected execution date.
 - The last transaction was executed on the End Date.
- Setup value for Periodic Buying Orders (setup value): is a fixed amount used to order securities periodically on the execution date.
 - Periodic Buying Orders do not specify a minimum setup value. However, to ensure that the Investor's periodic buy order is activated, the setup value needs to be greater than or equal to the value to buy the minimum-odd-lot volume at ceiling price plus transaction fee.
 - Clients need to ensure enough setup value on the Sub-account to perform Periodic Buying Orders before the Payment Deadline to activate Periodic Buying Orders with the optimal volume of securities at the transaction execution date. In case the purchasing power of the Sub-account that executes Periodic Buying Orders right after the Payment Period is less than the setup value, the Periodic Buying Orders can still be activated.
- Buying value: is the actual amount being invested in Periodic Buying Orders (including expected transaction fees) at the execution date.
 - The buying value is calculated by the matched price multiplied by the matched volume plus the temporary transaction fee for the day. At the end of the trading day, the transaction fee will be adjusted to the correct fee schedule according to the regulations of KBSV.
 - The buying value will depend on the purchasing power of the sub-account right after the payment deadline of the transaction execution date but does not exceed the setup value.
- Periodic Buying Order Setup volume (Setup volume): is the fixed volume used to place periodically order securities on executive date. The setup volume is a positive integer multiple of 100. Clients can only set one of two fields "Setup volume" or "Setup value", not both at the same time.
- Buying volume: is the actual matching volume of Periodic Buying Orders at the executive date.
 - Buying volume is a positive integer multiple of 100, rounded according to the principles of rounding down to the latest maximum quantity based on the volume of Periodic Buying Orders.
 - The buying volume depends on the purchasing power of the sub-account immediately after the Payment deadline of the executive date but does not exceed the setup volume.
- Minimum investment horizon: Periodic Buying Orders do not require a specific investment horizon.
- Time limit for placing Periodic Buying Order and Payment deadline for Periodic Buying Order: before **10:00 AM** on the execution date

- Transaction activation time: **10:00 AM** on the day of the transaction. In case at 10:00 AM the periodic buying orders are not activated due to lack of purchasing power, the transaction will be reactivated at 10.30 AM when sub-account has enough the purchasing power.

2. TRADING TERMS AND CONDITIONS

- KBSV is authorized to automatically deduct the purchase value and activate Periodic Buying Order(s) of (a) stock(s) at the execution date based on setup information specified by Client.
- KBSV does not charge any fees from clients' Periodic Buying Orders, except for the applicable transaction fee as prescribed in KBSV's Fee Schedule for Securities Services.
- Based on Client's authorization, each Periodic Buying Order is executed by KBSV in accordance with the rules stated in Section 1 and in compliance with the regulations of the relevant Stock Exchange, the Vietnam Securities Depository (and/or other competent State agencies). Client understands that the market is volatile and may lead to risks; and acknowledges that Periodic Buying Orders may result in consequences (in terms of price or quantity of securities traded) that are different from Client's expectations. In that case, Clients accept the risks related to the price and quantity of securities on the Periodic Buying sub-account that Client agrees for KBSV to perform.
- Periodic Buying Orders will be executed according to the following principles:
 - For Periodic Buying Orders set by value:
 - KBSV will round the Periodic Buying Order's volume according to the principle of rounding down to the nearest maximum number that the volume is an integer when generating orders according to setup value of Periodic Buying Orders.
 - In case the volume of Periodic Buying Orders is a multiple of 100 or less than 100 and the purchasing power of the sub-account at the time of activation of the Periodic Buying Orders is sufficient, the Periodic Buying Orders will be automatically pushed by the system to buy the round lots when the number of securities is a multiple of 100 or to buy odd lots with the volume of securities less than 100 at the price specified in section 1.
 - In case the volume of Periodic Buying Orders is greater than 100 and not a multiple of 100, the Periodic Buying Orders will be automatically split into a round-lot order and an odd-lot order, at the price specified in Section 1 with the principle of prioritizing orders to buy round lots. In which:
 - ✓ If the buying power of the sub-account at the time of activating the Periodic Buying Orders is enough to generate buy orders for round lots and odd lots: KBSV will activate orders to buy round lots and odd.
 - ✓ If the buying power of the sub-account at the time of activation of the Periodic Buying Orders is enough to generate a round-lot order but not enough to generate an odd-lot order: KBSV will only activate the round-lot order.

- ✓ If the buying power of the sub-account at the time of activation of the Periodic Buying Orders is not enough to generate a round-lot order but enough to generate an odd-lot order: KBSV will not activate the orders
- For Periodic Buying Orders set by volume: based on the purchasing power of KBSV sub-account will round the number of Periodic Buying securities according to the principle of rounding down to the nearest maximum quantity which is a positive integer multiple of 100 when generating command.
- Periodic Buying Orders at the next trading days will continue to be executed if the conditions are met.
- A Periodic Buying Order will not be automatically executed if a stock is delisted as notified by the Stock Exchange.

3. CANCELLATION OF PERIODIC BUYING ORDERS

- Clients has the right to cancel their Periodic Buying Orders that have not been executed online on **KB Buddy** and **KB Buddy WTS** trading application of KBSV via the Periodic Buying Order Management section anytime since the Periodic Buying Orders has been confirmed.
- In case Clients cancel a Periodic Buying Orders at Periodic Buying Order Management section before 10:00 AM on the execution date, all unexecuted Buy orders will be canceled.
- In case Clients cancel a Periodic Buying Orders at Periodic Buying Order Management section from 10:00 AM to 2:45 PM on the execution date, all unexecuted Periodic Buying Orders in the next cycles will be canceled. The order on the cancellation date will still be valid.
- In case the Periodic Buying Orders at the transaction execution date is pending and is in the limit order type (LO) status, the Client can Cancel this order at the **Order Book** section.

4. OTHER PROVISIONS

- Client understands and acknowledges that using online trading always has potential risks due to the error of the System or any other third party or caused by the carelessness of Client. Client commits to understand and accept all arising risks, losses or damages.
- Client agrees that KBSV has the right to amend, supplement or cancel, in whole or in part, any rules, terms and conditions relating to the period buy orders provided by KBSV. Client will automatically accept the modifications from the date on which such amendments and supplements come into force.