

Bao Viet Securities JSC

72 Tran Hung Dao, Hoan Kiem, Hanoi

INTERIM COMBINED STATEMENT OF FINANCIAL POSITION AS AT 30 SEPTEMBER 2021

Currency: VND

ITEMS	Code	Closing balance	Opening balance
A. CURRENT ASSETS (100 = 110 + 130)	100	4.398.659.856.929	3.057.481.551.720
I. Financial assets (110 = 111 ->129)	110	4.395.600.169.400	3.055.091.690.297
Cash and cash equivalents	111	10.232.396.972	88.878.481.436
1.1 Cash	111.1	10.232.396.972	88.878.481.436
1.2. Cash equivalents	111.2	-	-
2. Financial assets at fair value through profit or loss	112	346.835.508.581	537.049.359.670
3. Held - to - maturity investments	113	497.539.999.996	140.815.123.288
4. Loans	114	3.410.399.513.123	2.205.552.755.865
5. Available for sale	115	171.191.170.477	141.474.190.977
6. Allowance for depreciations of financial assets and mortgage assets	116	(74.158.249.495)	(83.321.740.473)
7. Account receivables	117	24.885.403.163	13.948.873.006
7.1 Sales of financial assets receivables	117.1	-	-
7.2 Accrual dividend and interest Receivables	117.2	24.885.403.163	13.948.873.006
7.2.1 Due dividends and interests receivables	117.3	-	-
in which: Bad receivables of due dividends and interests	117.3.1	-	-
7.2.2 Expected receivables of dividends and interests not yet due	117.4	24.885.403.163	13.948.873.006
8. Prepaid to suppliers	118	5.162.373.795	4.872.918.095
9. Services receivables	119	5.784.874.811	3.831.342.787
10. Internal receivables	120	-	-
11. Trading errors receivables	121	-	-
12. Other receivables	122	14.513.674.176	17.974.115.345
13. Allowance for receivables	129	(16.786.496.199)	(15.983.729.699)

ITEMS	Code	Closing balance	Opening balance
II. Other current assets (130 = 131->136)	130	7 635 585 419	2 389 861 423
1. Advance payments	131	288 953 280	197 767 410
2. Office goods	132	600 621 618	440 296 625
3. Short-term prepaid expenses	133	2 031 157 196	1 751 797 388
4. Short-term Mortgage, Guarantee deposits	134	4 714 853 325	-
5. Deductible VAT	135	-	-
6. Taxes and receivables from the State	136	-	-
7. Other current assets	137	-	-
8. Government bond repos trading	138	-	-
9. Provision for impairment of short-term assets	139	-	-
B. FIXED ASSETS (200 = 210 + 220 + 230 + 240 + 250 - 260)	200	370 232 148 688	355 511 340 000
I. Long-term receivables	210	329 762 707 459	304 361 150 719
1. Long-term receivables	211	-	-
2. Investments	212	334 130 706 459	308 729 149 719
2.1 Held - to - maturity investments	212.1	152 538 481 817	155 743 269 525
2.2 Investment in Subsidiaries	212.2	-	-
2.3 Investment in Joint Ventures	212.3	-	-
2.4 Other long-term investments	212.4	181 592 224 642	152 985 880 194
3. Provision for impairment of non-current assets	213	(4 367 999 000)	(4 367 999 000)
II. Fixed Assets	220	14 933 920 846	15 663 357 737
1. Tangible fixed assets	221	11 240 512 173	12 973 845 649
- Historical cost	222	40 645 522 189	38 831 601 069
- Accumulated Depreciation	223a	(29 405 010 016)	(25 857 755 420)
- Fixed asset valuation at fair value	223b	-	-
2. Finance lease assets	224	-	-
- Historical cost	225	-	-
- Accumulated Depreciation of Finance lease	226a	-	-

ITEMS	Code	Closing balance	Opening balance
'- Finance lease asset valuation at fair value	226b	-	-
3. Intangible fixed assets	227	3 693 408 673	2 689 512 088
- Historical cost	228	18 256 331 090	16 316 031 090
- Accumulated Amortization	229a	(14 562 922 417)	(13 626 519 002)
'- Intangible fixed asset valuation at fair value	229b	-	-
III. Investment property	230	-	-
- Historical cost	231	-	-
- Accumulated Depreciation	232a	-	-
' - Investment property valuation at fair value	232b	-	-
IV. Construction in progress	240	-	1 585 715 000
V. Other long-term receivables	250	25 535 520 383	33 901 116 544
1. Long-term Mortgage, Guarantee deposits	251	1 116 581 840	1 116 581 840
2. Long-term Prepaid Expenses	252	4 418 938 543	11 434 414 184
3. Deferred Tax Assets	253	-	-
4. Payment for the Settlement support fund	254	20 000 000 000	21 350 120 520
5. Other long-term receivables	255	-	-
VI. Allowances for long-term receivables depreciation	260	-	-
TOTAL ASSETS (270 = 100 + 200)	270	5 297 823 652 970	3 412 992 891 720
C. LIABILITIES (300 = 310 + 340)	300	3 199 226 722 887	1 538 249 222 865
I. Current liabilities	310	3 065 062 270 912	1 421 265 974 723
1. Short-term borrowings and loans from finance lease	311	2 220 997 884 459	895 000 000 000
1.1 Short-term borrowings	312	2 220 997 884 459	895 000 000 000
1.2 Short-term Loans from finance lease	313	-	-
2. Short-term borrowings for finance	314	-	-
3. Short-term convertible bond	315	-	-
4. Short-term issued bond	316	-	-
5. Borrowings for the Settlement support fund	317	-	-

ITEMS	Code	Closing balance	Opening balance
6. Payment for securities trading expenses	318	6 743 707 970	5 335 570 233
7. Payment for trading error of financial assets	319	-	-
8. Short-term Accounts Payable	320	5 941 553 549	6 482 919 261
9. Short-term advance payments from buyers	321	16 402 117 272	14 945 367 272
10. Tax Payables & Payables to Government	322	26 883 509 582	14 813 780 151
11. Payment for employees	323	120 988 079 971	40 970 689 958
12. Payment for employees welfare	324	1 514 702 998	1 134 201 903
13. Short-term payables expenses	325	23 783 332 172	5 600 310 672
14. Short-term internal payables	326	-	-
15. Short-term unrealized turnover	327	-	-
16. Short-term received Guarantee Deposits	328	-	-
17. Other Short-term payables	329	632 316 716 584	417 148 403 422
18. Short-term Allowance	330	-	11 500 000 000
19. Bonus and welfare fund	331	9 490 666 355	8 334 731 851
20. Government bond repos trading	332	-	-
II. Long-term liabilities	340	134 164 451 975	116 983 248 142
1. Long-term Accounts Payable	341	-	-
1.1 Long-term borrowings	342	-	-
1.2 Long-term Loans from finance lease	343	-	-
2. Long-term borrowing and debt	344	-	-
3. Long-term convertible bond	345	-	-
4. Long-term issued bond	346	100 939 305 178	100 251 422 216
5. Long-term payment for suppliers	347	-	-
6. Provision for long-term payables	348	-	-
7. Long-term expenses	349	-	-
8. Long-term Internal Payables	350	-	-
9. Long-term unrealized turnover	351	-	-

ITEMS	Code	Closing balance	Opening balance
10. Long-term received Guarantee Deposits	352	-	-
11. Other long-term payables	353	-	-
12. Long-term Allowance	354	-	-
13. Investor protection fund	355	-	-
14. Deferred Tax Liabilities	356	33 225 146 797	16 731 825 926
15. Science and Technology Development Fund	357	-	-
A. Owner's equity (400 = 410 + 420)	400	2 098 596 930 083	1 874 743 668 855
I. Owner's equity	410	2 098 596 930 083	1 874 743 668 855
1. Share capital	411	1 332 095 854 220	1 332 095 854 220
1.1 Contributed capital	411.1	722 339 370 000	722 339 370 000
a. Common stock	411.1a	722 339 370 000	722 339 370 000
b. Preferred stock	411.1b	-	-
1.2 Surplus capital	411.2	610 253 166 720	610 253 166 720
1.3 Conversion option to bonds	411.3	-	-
1.4 Other capital	411.4	-	-
1.5 Treasury shares	411.5	(496 682 500)	(496 682 500)
2. Revaluation differences on Assets	412	92 298 797 561	47 901 675 608
3. Foreign exchange differences	413	-	-
4. Reserve fund for supplementing charter capital	414	47 769 022 922	47 769 022 922
5. Allowance for financial and professional risks	415	47 769 022 922	47 769 022 922
6. Other funds	416	-	-
7. Retained earnings	417	578 664 232 458	399 208 093 183
7.1 Realized earnings	417.1	540 293 883 742	393 844 801 004
7.2 Unrealized earnings	417.2	38 370 348 716	5 363 292 179
II. Other resources and funds	420	-	-
TOTAL LIABILITIES AND OWNER'S EQUITY	440	5 297 823 652 970	3 412 992 891 720

INTERIM COMBINED OFF - BALANCE SHEET ITEMS

A. ASSETS OF THE COMPANY AND ASSETS MANAGED UNDER AGREEMENTS

ITEMS	Code	Closing balance	Opening balance
1. Leased fixed assets	1	-	-
2. Pledged valuable papers	2	10 975 070 000	10 975 070 000
3. Mortgaged assets	3	-	-
4. Bad debt written off	4	390 400 000	390 400 000
5. Foreign currencies	5	-	-
6. Outstanding shares	6	72 200 145	72 200 145
7. Treasury shares	7	33 792	33 792
8. Financial assets listed/ registered for trading at VSD of the company	8	151 705 830 000	162 224 140 000
9. Financial assets deposited at VSD and not yet traded	9	5 002 220 000	3 000 030 000
10. Financial assets awaiting receipt	10	1 088 000 000	61 150 000 000
11. Financial assets used to correct trading errors	11	-	-
12. Financial assets not yet deposited at VSD	12	174 686 470 000	174 686 470 000
13. Financial assets under rights enjoyment	13	-	-

B. ASSETS AND LIABILITIES MANGED UNDER AGREEMENT WITH INVESTORS

ITEMS	Code	Closing balance	Opening balance
1. Customer's financial assets listed/ registered for trading at VSD of the company	21	34 963 611 510 000	28 702 733 325 500
a. Tradable financial assets	021.1	33 207 934 980 000	26 775 577 420 000
b. Financial assets under transfer restriction	021.2	536 353 360 000	735 838 250 000
c. Mortgaged financial assets	021.3	795 109 340 000	644 711 310 000
d. Isolated or suspended financial assets	021.4	97 969 860 000	120 469 860 000
e. Financial assets awaiting for settlement	021.5	326 243 970 000	426 136 485 500
f. Financial assets awaiting for lending	021.6	-	-
2. Customer's financial assets deposited at VSD and not yet traded	22	145 391 490 000	53 178 860 000
a. Financial assets deposited at VSD and not yet traded, transferable	022.1	78 469 170 000	31 590 860 000
b. Financial assets deposited at VSD and not yet traded, transfer restricted	022.2	66 922 320 000	21 588 000 000
c. Financial assets deposited at VSD and not yet traded, mortgaged	022.3	-	-
d. Financial assets deposited at VSD and not yet traded, isolated and suspended	022.4	-	-

3. Customer's financial assets awaiting receipt	23	346 704 822 000	370 984 343 400
4. Financial assets used to correct trading errors of investors	024.a	-	-
5. Undeposited financial assets of investor at Vietnam Securities Depository Center	024.b	2 950 505 860 000	2 566 395 860 000
6. Customer's financial assets under rights enjoyment	25	-	-
7. Customer's Deposits	26	1 532 458 618 010	1 176 052 114 156
7.1 Deposits to securities brokerage activity	27	372 049 583 155	599 761 947 810
7.2 Deposits for securities trading collection	28	1 138 332 359 950	493 104 582 949
7.3 Deposits for clearing and settlement activities	29	-	-
a. Domestic Investor's deposits for clearing and settlement activities	029.1	-	-
b. Foreign Investor's deposits for clearing and settlement activities	029.2	-	-
7.4 Deposits of securities issuers	30	22 076 674 905	83 185 583 397
8. Payable to customer of Deposits for securities trading under management of stock company	31	1 501 360 950 571	1 062 348 309 557
8.1 Payable to domestic customer of Deposits for securities trading under management of Stock company	031.1	1 489 187 503 130	1 061 076 042 795
8.2 Payable to foreign customer of Deposits for securities trading under management of stock company	031.2	12 173 447 441	1 272 266 762
9. Payable to issuer	32	19 833 474 896	3 909 482 426
10. Receivables from customers for error of financial asset transaction	33	-	-
11. Payables to customers for error of financial asset transaction	34	-	-
12. Payables for dividend, bond interest	35	11 264 192 543	109 794 322 173

INTERIM COMBINED INCOME STATEMENT ENDED 30 SEPTEMBER 2021

Currency: VND

	Code	Quarter 3 end 30/09		Accumulated to 30/09	
		2021	2020	2021	2020
I. REVENUE					
1.1 Gains from Financial assets at fair value through profit or loss (FVTPL)	1	22 387 808 880	33 239 690 893	149 925 357 970	124 399 463 768
a. Gains from sale of financial assets	1.1	9 154 227 492	6 121 036 568	59 439 086 474	37 410 413 316
b. Revaluation differences on financial assets through profit or loss	1.2	6 332 238 755	12 397 237 231	62 245 406 372	54 674 508 109
c. Dividend, interests from FVTPL	1.3	6 901 342 633	14 721 417 094	28 240 865 124	32 314 542 343
1.2 Gains from Held - to - maturity investments	2	10 230 432 056	1 939 196 823	22 260 348 428	3 270 222 596
1.3 Gains from loans and receivables	3	75 102 729 540	30 492 223 908	240 413 835 158	111 338 383 012
1.4 Gains from financial assets available for sale (AFS)	4	121 333 000	1 098 248 400	1 262 622 800	3 789 788 400
1.5 Gains from derivative tools	5	-	-	-	-
1.6 Revenue from brokerage	6	112 443 838 792	33 425 843 764	334 986 226 458	92 450 235 319
1.7 Revenue from securities underwriting, securities Registrar	7	2 165 000 000	3 231 159 034	19 244 370 611	8 562 827 216
1.8 Revenue from consultancy	8	-	-	-	-
1.09 Revenue from securities depository	9	1 952 052 780	1 274 370 339	6 300 373 081	3 705 237 677
1.10 Revenue from financial advisory services	10	2 501 363 636	1 608 940 908	7 977 909 090	5 869 895 454
1.11 Revenue from other activities	11	295 276 683	179 365 820	1 998 766 323	907 338 756
TOTAL REVENUE (20 = 01>11)	20	227 199 835 367	106 489 039 889	784 369 809 919	354 293 392 198
II. EXPENSE FOR OPERATING ACTIVITIES					
2.1 Loss from Financial assets at fair value through profit or loss (FVTPL)	21	36 034 157 996	16 291 115 676	71 066 979 164	90 851 091 620
b. Revaluation differences on financial assets through profit or loss	21.2	17 620 295 223	1 441 032 802	23 844 309 453	35 159 116 710
c. Expenses for purchase of FVTPL	21.3	-	-	-	-
2.2 Loss from Held - to - maturity investments	22	-	-	-	-

	Code	Quarter 3 end 30/09		Accumulated to 30/09	
		2021	2020	2021	2020
2.4 Loss from sale of assets available for sale (AFS)	24	(9 165 726 630)	559 225 843	(18 329 217 608)	2 186 725 936
2.5 Loss from derivative tools	25	-	-	-	-
2.6 Expenses for proprietary dealing	26	1 197 511 158	514 152 065	2 637 956 775	1 368 048 848
2.7 Expenses for brokerage	27	80 169 725 402	22 110 463 791	253 715 415 499	66 694 068 249
2.8 Expenses for securities underwriting, securities Registrar	28	-	-	-	-
2.9 Expenses for consultancy	29	-	-	-	-
2.10 Expenses for securities depository	30	6 186 943 240	2 884 272 624	15 228 166 515	8 347 014 317
2.11. Costs of financial advisory services	31	4 527 997 517	2 953 207 805	12 312 001 285	7 651 110 934
2.12 Expenses for other activities	32	4 173 451 448	2 157 722 860	10 992 526 558	5 825 585 428
<i>In which: Expenses for fixing transaction errors</i>	33	-	-	-	600 000
TOTAL EXPENSE (40 = 21->32)	40	123 124 060 131	47 470 160 664	347 623 828 188	182 923 645 332
III. REVENUE FOR FINANCING ACTIVITIES					
3.1 Foreign exchange rate differences	41	-	-	-	-
3.2 Revenue, receivables from dividends, interest in the period	42	6 332 327	5 036 153 408	6 181 985 537	17 189 735 084
3.3 Gains from investment in associates	43	-	-	-	-
3.4 Other revenue	44	-	-	-	-
Total (50 = 41->44)	50	6 332 327	5 036 153 408	6 181 985 537	17 189 735 084
I.V EXPENSE FOR FINANCING ACTIVITIES					
4.1 Foreign exchange rate differences	51	-	-	-	287 184
4.2 Interest expenses	52	30 025 588 331	5 305 739 776	69 405 298 827	23 924 561 594
4.3 Losses from investment in associates	53	-	-	-	-
4.5 Other expense	55	-	-	-	200 000 000
Total (60 = 51->56)	60	30 025 588 331	5 305 739 776	69 405 298 827	24 124 848 778
V. Sale expenses	61	-	-	-	-
VI. General and administration expenses	62	31 278 967 308	20 352 966 544	143 313 194 513	64 416 662 062

	Code	Quarter 3 end 30/09		Accumulated to 30/09	
		2021	2020	2021	2020
VIII. OTHER EXPENSES AND REVENUE					
8.1 Other revenue	71	-	-	29 043 201	311 980 118
8.2 Other expenses	72	135 823 151	88 170 000	409 213 268	265 145 000
Total (80= 71-72)	80	(135 823 151)	(88 170 000)	(380 170 067)	46 835 118
IX. Accounting profit (loss) before tax (90=70 + 80)	90	42 641 728 773	38 308 156 313	229 829 303 861	100 064 806 228
9.1 Realized earnings	91	53 929 785 241	27 351 951 884	191 428 206 942	80 549 414 829
9.2 Unrealized earnings	92	(11 288 056 468)	10 956 204 429	38 401 096 919	19 515 391 399
X. Income tax payables	100	9 829 512 711	5 114 367 566	44 701 576 513	15 099 381 080
10.1 Current enterprise income tax	100.1	11 882 249 611	3 488 760 405	39 307 536 131	14 179 485 570
10.2 Deferred enterprise income tax	100.2	(2 052 736 900)	1 625 607 161	5 394 040 382	919 895 510
XI. Accounting profit (loss) after tax (200 = 90 - 100)	200	32 812 216 062	33 193 788 747	185 127 727 348	84 965 425 148
Realized accounting profit after tax	x	42 047 535 630	23 863 191 479	152 120 670 811	66 369 929 259
XII. GAINS/LOSSES AFTER TAX	300	-	-	-	-
12.1 Gains/Losses from Revaluation differences on assets available for sale	301	19 642 759 584	4 943 434 372	44 397 121 953	(4 077 205 429)
12.2 Other Gains/Losses from Investment on Associates	302				
12.3 Gains/Losses from Revaluation differences on financing derivatives tools	303				
12.4 Gains/Losses from Foreign exchange rate differences	304				
Total earnings	400	19 642 759 584	4 943 434 372	44 397 121 953	(4 077 205 429)
XIII. Net profit per common stock	500				
13.1 Earning per share (VND/share)	501	582	331	2 028	919

INTERIM COMBINED CASH FLOW STATEMENT ENDED 30 SEPTEMBER 2021 – DIRECT METHOD

Currency: VND

	Code	Accumulated to ended 30 SEPTEMBER	
		2021	2020
I. Cash flow from operating activities			
1. Payments for purchase of financial assets	1	(114 431 027 728 828)	(28 969 034 700 742)
2. Receipts from sale of financial assets	2	114 502 841 742 346	28 699 954 701 715
3. Payment to the Settlement support fund	3	-	-
4. Receipts from dividends	4	8 929 350 618	26 815 207 180
5. Receipts from interests	5	284 006 908 451	134 391 442 742
6. Payment for interest on operating activities	6	(49 701 408 860)	(19 931 013 699)
7. Payment to suppliers	7	(65 486 990 445)	(21 716 322 220)
8. Payment for tax on operating activities	8	(180 077 351 669)	(88 608 556 276)
9. Payments for trading expenses	9	(154 760 556 909)	(51 351 930 148)
10. Other income from operating	10		
11. Other payment for operating	11	20 719 275 039 667	6 739 138 711 864
12. Other payments from operating activities	12	(20 007 019 532 330)	(6 601 427 655 216)
Net cash from operating activities	20	626 979 472 041	(151 770 114 800)
II. Net cash flows from investing activities			
1. Acquisition of fixed assets and other long-term assets	21	(2 169 221 120)	(136 400 000)
2. Proceeds from sale of fixed assets and other long-term assets	22	-	-
3. Payment for Investments in associates	23	-	-
4. Proceeds from investments in subsidiaries, joint ventures, affiliates and other entities	24	-	-
5. Interest and dividend received from long-term financial investment	25	-	-
Net cash from investing activities	30	(2 169 221 120)	(136 400 000)
III. Net cash from financing activities			
1. Proceeds from issuance of stock and receipt of capital contributed	31	-	-
2. Payments to owner for capital contributed, payments to acquire or redeem the treasury shares	32	-	-
3. Principals	33	6 135 839 170 513	537 000 000 000
- Loan from payment assistance funds	33.1	-	-
- Other loans	33.2	6 135 839 170 513	537 000 000 000
4. Payments of principal	34	(6 775 841 286 054)	(540 000 000 000)
- Loan principal payments to payment assistance funds	34.1	-	-
- Loan principal payments of financial assets	34.2	-	-
- Other loan principal payments	34.3	(6 775 841 286 054)	(540 000 000 000)
5. Payments of financial lease	35	-	-
6. Dividends, profits paid to shareholders	36	(615 600)	-

	Code	Accumulated to ended 30 SEPTEMBER	
		2021	2020
Net cash from financing activities	40	(640 002 731 141)	(3 000 000 000)
IV. Net cash of the year	50	(15 192 480 220)	(154 906 514 800)
V. Cash and cash equivalent at opening balance	60	88 878 481 436	174 237 228 080
Cash	61	88 878 481 436	174 237 228 080
Cash equivalents	62		
Effects of changes in foreign exchange rate	63		
VI. Cash and cash equivalent at closing balance (70 = 50 + 60)	70	73 686 001 216	19 330 713 280
Cash	71	73 686 001 216	19 330 713 280
Cash equivalent	72	-	-
Effects of changes in foreign exchange rate	74		

**CASH FLOW ON BROKERAGE, INVESTMENT TRUST ACTIVITIES ENDED 30 SEPTEMBER 2021
(DIRECT METHOD)**

	Code	Accumulated to ended 30 SEPTEMBER	
		2021	2020
I. Cash from brokerage, trust activities			
1.Cash from sale securities brokerage for customers	1	173 230 771 613 194	34 997 553 731 824
2.Payment for purchase of securities brokerage for customers	2	(172 984 043 960 251)	(30 672 175 969 692)
3.Cash from sale trust securities brokerage for customers	3		-
4.Payment for purchase trust securities for customers	4		-
5. Receipt from Fund for Settlement Support borrowing	5	-	-
6. Payment for Fund for Settlement Support borrowing	6	-	-
7.Receipt of deposit for securities trading settlement of Customer	7	32 711 711 691 224	12 033 902 803 373
8.Receipt of Customer's deposit for investment trust activities	8		
9.Payment for customer securities depository	9	(3 932 366 300)	(2 610 350 563)
10.Receipt from securities trading errors	10		-
11.Payment for securities trading errors	11	-	-
12.Receipt from issuer	12	5 935 291 579 403	2 498 727 483 207
13.Payment for issuer	13	(6 006 062 476 945)	(2 479 499 954 675)
14. Receipt from brokerage service	14	129 119 680 239 689	48 669 501 264 703
15. Payment for brokerage service	15	(161 647 009 816 160)	(64 910 441 277 621)
Increase/Decrease net cash	20	356 406 503 854	134 957 730 556
II.Cash and Cash equivalent of Customer at opening of period	30	1 176 052 114 156	588 148 124 654
Cash in bank at opening balance	31	1 176 052 114 156	588 148 124 654
Customer's Deposits for securities trading under management of securities company	32	599 761 947 810	364 578 483 902
Customer's total Deposits for securities trading	33		

Deposits for clearing and settlement of securities trading	34	493 104 582 949	223 301 242 574
Deposit of issuer	35	83 185 583 397	268 398 178
Cash equivalent	36		
Effects of changes in foreign exchange rate	37	-	-
III.Cash and Cash equivalent of Customer at end of period	40	1 532 458 618 010	723 105 855 210
Cash in bank at closing balance	41	1 532 458 618 010	723 105 855 210
Customer's Deposits for securities trading under management of securities company	42	372 049 583 155	433 195 643 462
Customer's total Deposits for securities trading	43	1 138 332 359 950	289 221 678 988
Deposits for clearing and settlement of securities trading	44		
Deposit of issuer	45	22 076 674 905	688 532 760
Cash equivalent	46		
Effects of changes in foreign exchange rate	47	-	-

COMBINED STATEMENT OF CHANGE IN EQUITY

For quarter III ended 30.09

Currency: VND

Items	Beginning balance		Increase/(decrease) for quarter III ended 30.9				Ending balance for Quarter III	
	2020	2021	2020		2021		2020	2021
			Increase	Decrease	Increase	Decrease		
A	1	2	3	4	5	6	7	8
I. Change in Owner's equity								
1. Share capital	1 332 592 536 720	1 332 592 536 720					1 332 592 536 720	1 332 592 536 720
1.1. Common stock	722 339 370 000	722 339 370 000					722 339 370 000	722 339 370 000
1.2. Preferred stock								
1.3 Surplus capital	610 253 166 720	610 253 166 720					610 253 166 720	610 253 166 720
1.4 Conversion option to bonds								
1.5 Other capital								
2. Treasury shares	(496 682 500)	(496 682 500)					(496 682 500)	(496 682 500)
3. Reserve fund for supplementing charter capital	42 517 552 484	47 769 022 922					42 517 552 484	47 769 022 922
4. Allowance for financial and professional risks	42 517 552 484	47 769 022 922					42 517 552 484	47 769 022 922
5. Revaluation differences on Assets	30 894 437 854	47 901 675 608	21 414 313 214	25 491 518 643	60 734 135 801	16 337 013 848	26 817 232 425	92 298 797 561
6.. Foreign exchange differences								

Items	Beginning balance		Increase/(decrease) for quarter III ended 30.9				Ending balance for Quarter III	
	2020	2021	2020		2021		2020	2021
			Increase	Decrease	Increase	Decrease	Increase	Decrease
A	1	2	3	4	5	6	7	8
7. Other Equity funds								
8. Retained earnings	358 607 795 379	399 208 093 183	84 965 425 148	9 076 773 592	185 127 727 348	5 671 588 073	434 496 446 935	578 664 232 458
8.1 Realized earnings after tax	380 595 251 718	393 844 801 004	66 369 929 259	9 076 773 592	152 120 670 811	5 671 588 073	437 888 407 385	540 293 883 742
8.2 Unrealized earnings after tax	(21 987 456 339)	5 363 292 179	18 595 495 889		33 007 056 537		(3 391 960 450)	38 370 348 716
TOTAL	1 806 633 192 421	1 874 743 668 855	106 379 738 362	34 568 292 235	245 861 863 149	22 008 601 921	1 878 444 638 548	2 098 596 930 083
II. Other comprehensive income								
1. Gain/(loss) from revaluation of asset available for sale	30 894 437 854	47 901 675 608	21 414 313 214	25 491 518 643	60 734 135 801	16 337 013 848	26 817 232 425	92 298 797 561
2. Gain/(loss) from revaluation of fixed asset								
3. Gain/(loss) from foreign exchange rate								
4. Other gains/(loss)								
TOTAL	30 894 437 854	47 901 675 608	21 414 313 214	25 491 518 643	60 734 135 801	16 337 013 848	26 817 232 425	92 298 797 561

