

No: **1435**/UBCK-GSDC

Ha Noi, 06 March, 2019

Abt: Public Corporation Registration of

Power Generation Corporation 3 – joint stock company

To: Power Generation Corporation 3 – Joint Stock Company

Based on Public Corporation registration documents of Power Generation Corporation 3 – Joint Stock Company, State Security Commission (SSC) has the following opinions:

1. Since the date became Public Corporation, company must strictly abide the Securities Act and stock market laws, including the following provisions:

- Make information disclosure fully and promptly in accordance at Article 101 of the Securities Act, Article 35 of Decree No. 58/2012 / ND-CP on 20/7/2012 of the Government guiding implementing articles of the Securities Act and the Amended and Supplemented laws articles of Security Acts and Circular No. 155/2015/TT-BTC on 6/10/2015 of the Minister of Finance guiding the announcement information on the stock market.
- Abide by the corporate governance principles in accordance of the Enterprise Law, Decree No. 71/2017/ND-CP on 06/6/2017 of the Government guiding corporate governance applies to Public Corporations and the Circular No. 95/2017/TT-BTC on 22/09/2017 of the Minister of Finance guiding articles of Decree No. 71/2017/ND-CP.
- Obligations according to regulations.

2. The company must register and use IDS Plus information disclosure system for Public Corporation to implement information disclosure in accordance of the Security Act and Stock Market (Appendix I and II attached along)

SSC informs the company to know and implement.

<i>Delivery:</i>	<i>Per pro. President</i>
<ul style="list-style-type: none">- As above;- President (for report)- Archive: VT, GSDC (04b)	Director of Public Corporation Supervisor partment Lê Công Điền

Company Name

SOCIALIST REPUBLIC OF VIETNAM
Independence-Freedom-Happiness

**INFORMATION DISCLOSURE SYSTEM
REGISTRATION (IDS PLUS)**

To: State Security Commission

Company:

Confirms on participate Information Disclosure System (IDS Plus) and register information account as bellow:

1. Company name(*):
2. Address:.....
3. Website:.....
4. Business code no: Licensed Date: Place:
5. Listing Stock/Trading Register (*): Stock Code:
6. Enterprise type (*):
Insurance ☐ Broker ☐
Finance ☐ Normal Enterprise ☐
7. Date of Fiscal year ended (*):
8. Type of Financial Statement (*):
Separate Report ☐ Consolidated Report ☐
Parent Report ☐ Comprehensive Report ☐
9. Information of disclosure person:
- Full name (*):
- Email: - Cell Phone (*):

Note:

Note: mail address and phone number of the representative is used to receive feedback from the IDS Plus system, the information includes: notification to send a report, notification message of report sent successfully, notification of report denied.

10. Contact information of persons who directly uses ID Plus:

No.	Full Name	Email	Cell Phone No.
1			
2			

We pledge that the above information is true and fully responsible to the law for the registered content.

Date....Month....year.....

Legal Representative
(Signature, full name, seal)

Note:

- (*) Compulsory
- Please send this registration to SSC at:

Information Technology department – State Security Commission, 2324 Luong The Vinh Street, Trung Van ward, South Tu Liem, Ha Noi

Phone: 04.3934.0750 (Ext 629, 630); 04.3935.0177; 04.3926.2545;

Fax: 04.39350943; Email: hotroids@ssc.gov.vn

EXPANDIX 2: LIST OF REPORT FORMS

I. PERIODLY, UNSUAL INFORMATION DISCLOSURE AND OTHER INFORMATION.

NO.	FORM	Format	TIME OF DISCLOSURE
1	Financial statement per annual includes: 1. Balance Sheet 2. Income Statement 3. Cash flow statement 4. Notes to the financial statements	1. Files are in excel format and include all the data as following - Balance Sheet - Income Statement - Cash flow statement 2. Original file along with Notes to the financial statements attached.	Within 10 days since the audit organization signed an audit report and no more than 90 days from end of fiscal year date.
2	Mid-year financial statement (only apply to large-scale Public corporation and listed company)	1. Files are in excel format and include all the data as following - Balance Sheet - Income Statement - Cash flow statement 2. Original file along with Notes to the financial statements attached.	Within 5 days since the audit organization signed an interim statement and no more than 45 days from end of first 6 month of fiscal year.
3	Quarter financial statement (only apply to large-scale Public corporation and listed company)	1. Files are in excel format and include all the data as following - Balance Sheet - Income Statement - Cash flow statement 2. Original file along with Notes to the financial statements attached.	Within 20 days since end of quarter date.
4	Annual statement	Original file in pdf file	Latest 20 days after disclose financial statement audited but no

			more than 120 days since last day of fiscal year.
5	Corporate governance report	Original file in pdf file	Time for deliver (06) month and year Corporate governance report, latest in 30 days since last day of 6 month period and year (period 6 month and year)
6	Annual Shareholder meeting documents	Original file in pdf file	Latest 10 days before the Annual Shareholder meeting open.
7	Minutes and resolution of Annual Shareholder meeting	Original file in pdf file	Within 24 hours
8	Disclosure of information on foreign ownership rates	Original file in pdf file	in accordance with Clause 1 of Article 9 of the circular no. 155/2015/TT-BTC
9	Decisions of the shareholders or the BOD through contracts and transactions between the company and internal people or related persons (if any)	Original file in pdf file	Within 24 hours
10	Disclose about the last day of register	Original file in pdf file	Report to SSC latest in 10 days before last expected day of register at Clause 4 of Article 9 of the circular no. 155/2015/TT-BTC
11	Explanatory documents in case companies with audit opinions / review opinions are not fully accepted	Original file in pdf file	The same time as financial statement in accordance with point b Clause 1 of Article 8 and point 1 Clause 3 of Article 11 of the circular no. 155/2015/TT-BTC
12	Disclose about unusual Shareholder meeting	Original file in pdf file	Time in accordance with Clause 2 of Article 9 of the circular no. 155/2015/TT-BTC ^v
13	Disclose unusual information at Clause 1 of Article 9 of the circular no. 155/2015/TT-BTC	Original file in pdf file	Within 24 hours
14	Disclose information as required.	Original file in pdf file	Within 24 hours since received SSC request.
15	Public purchase offer	Original file in pdf file	

15.1	Disclose information about Public purchase offer	Original file in pdf file	Within 3 days since Public purchase offer received
15.2	Disclose information of BOD about Public purchase offer	Original file in pdf file	Within 10 days since Public purchase offer documents received, Public corporation disclose BOD opinion about the offer.
16	Purchase shares		

II. Disclosure of information on offers and issues

16.1	Disclosure information about purchasing stock	Original file in pdf file	Within 07 days since SSC informs about receiving all documents of purchasing stock as forms at appendix 24 issued along with circular no. 162/2015/TT-BTC
16.2	Disclosure information about treasury stock trading result	Original file in pdf file	Within 10 days since end day of purchasing stock, public corporation must send stock trading result to SSC and disclose information as forms at appendix 25 issued along with circular no. 162/2015/TT-BTC
17	Treasury stock selling		
17.1	Disclosure information about selling treasury stock	Original file in pdf file	Within 07 days since SSC informs about receiving all documents of selling stock as forms at appendix 24 issued along with circular no. 162/2015/TT-BTC
17.2	Disclosure information about treasury stock trading result	Original file in pdf file	Within 10 working days since date end of selling treasury stock, public corporation must send stock trading result to SSC and disclose information as forms at appendix 25 issued along with circular no. 162/2015/TT-BTC
18	Changing in trading treasury stock		
18.1	Disclose information about changing decision	Original file in pdf file	Within 24 hours since changing decision of issue and selling stock as forms

			at appendix 26 issued along with circular no. 162/2015/TT-BTC
18.2	Disclose information about changing	Original file in pdf file	Within 24 hours since SSC accepted changing decision of issue and selling stock forms at appendix 27 issued along with circular no. 162/2015/TT-BTC

No.	Form	Format	Time of disclose
1	Disclose information about public offer		
1.1	Announcement of releasing	Original file in pdf file	Within 07 working days since stock Offer Registration certificate effected
1.2	Changing information in Prospectus after SSC has licensed Offer Registration certificate	Original file in pdf file	Within 24 hours
1.3	Disclosure information about trading result	File news in Excel format and Original file in pdf file	Within 10 days since offers completed
1.4	Changing in capital use purposes report	Original file in pdf file	Within 10 days since BOD changed capital use purposes, company must report to SSC and disclose information about changing
1.5	Progress of capital use report	Original file in pdf file	In case of mobilizing capital to implement investment projects, periodical, 6 months from the end of the offering until the disbursed amount has been fully mobilized, public corporation must report SSC and disclose information about the progress of using capital earned from the offering. The issuer must announce the audited capital use report audited at the General Meeting of Shareholders or explain in detail the use of capital earned from the offering

			in financial statement audited by the auditing company.
2	Private Placement offer		
2.1	Private Placement Trading result	File news in Excel format and Original file in pdf file	Within 10 days since offering ended.
2.2	Changing in capital issued separately use purposes report	Original file in pdf file	Within 10 days since BOD changed capital use purposes, company must report to SSC and disclose information about changing
2.3	Using capital from separate offer report	Original file in pdf file	The issuer must announce the audited capital use report audited at the General Meeting of Shareholders or explain in detail the use of capital earned from the offering in financial statement audited by the auditing company.
3	Issue shares for employees, dividends / shares to increase share capital from equity		
3.1	Báo cáo kết quả phát hành Insurance result report	File news in Excel format and Original file in pdf file	Within 07 working days since SSC informs about receiving all documents of stock issue, issuer must disclose the information.
3.2	Report on Issue shares for employees, dividends / shares to increase share capital from equity	File news in Excel format and Original file in pdf file	The issuer must report and disclose result within 15 days since end of issue shares to increase capital in accordance.

APENDIX 01

REGISTER PROCEDURE AND IDS PLUS INSTRUCTION

1. Provide IDS Plus account procedure

Step 1: Public corporation complete IDS Plus registration as form of IDS Plus registration at Appendix 02 attached along with this instruction and send to SSC (IT Department) or send the soft copy within signature to email: hotroids@ssc.gov.vn;

Step2: In case the registration form is valid, SSC base on the information on the registration form to create an account and take steps to register and assign IDS Plus to public corporation. SSC sends a notification to provide the public corporation with information about the IDS PLUS account within 5 working days, the soft copy is emailed to the company.

In case the registration form is invalid, within 03 working days, SSC will send notification to the company and state the reason

Step 3: After receiving account information, please log in: <http://ids.ssc.gov.vn>, follow steps as below:

- Sign in with supplied account;
- Change password after successfully access;
- Register digital deed information;
- Update public corporation profile.

2. Procedure of Sending reports and disclose information on IDS Plus

2.1. In case of sending reports and information disclose are in the group of financial reports and disclosure of information on offering and issuing securities, users perform the following steps:

Step 1: Access in: <http://ids.ssc.gov.vn>

Step 2: Log in with IDS Plus account

Step 3: On sending report screen, user inputs data into fields (fields with * are compulsory)

Note: IDS Plus support 2 ways to input report data:

1. Directly input into boxes as program layout form
2. Input through excel file
 - + Download excel form and input data into excel file;
 - + On sending report screen, select excel file, when data are displayed on the program layout. User can edit those data boxes.

Step 4: Digitally sign report as SSC instruction

Step 5: Click Send

2.2. In case of sending unusual report and disclosure, other usual disclosure, user perform the following steps:

Step 1: Access in: <http://ids.ssc.gov.vn>

Step 2: Log in with IDS Plus account

Step 3: On sending report screen, user inputs data into fields (fields with * are compulsory)

Step 4: Digitally sign report as SSC instruction

Step 5: Click Send

2.3. Digital sign reports: public corporation can choose one of following form as below:

- Offline digitally sign: digitally sign report data with a digital signature service provider before uploading the report file to the IDS Plus system.
- Digitally sign the reports directly on IDS Plus

3. Troubleshoot problem

- 3.1. In case the system of public corporation having troubles leading to failure in sending reports, the company notifies SSC right on the working day.
- 3.2. In case of SSC's IDS Plus having troubles, SSC notifies the public corporation via the SSC web portal or via public corporation email within the working day.
- 3.3. In case of IDS Plus of the SSC and / or the system of a public corporation having troubles, please send a report in written document (note type of information disclosure report).
- 3.4. In case SSC refuses public corporation reports, public corporation review the reason for refusal on the reporting management screen of IDS Plus. The public corporation must promptly send an accurate report to SSC within 24 hours of receiving the SSC's notice.

4. Regulations on timing of reporting and information disclosure

- 4.1. Public corporation are responsible for disclosing information fully, accurately and promptly in accordance with the law on information disclosure on the securities market, taking responsibility for the content of information and the term to be announced.
- 4.2. Public corporation must regularly update reporting forms through the IDS Plus system.
- 4.3. In case of public corporation does not register for IDS Plus or does not use IDS Plus, it will be considered and dealt with in accordance with current law.

5. Information on answering questions about IDS Plus system

5.1. Technical issue:

Information technology department, SSC

Phone no: 04.39350177; 04.39262545; 04.39340750 (Ext 629 or 630) Fax:
04.39340739

5.2. Business issues:

Public Corporation supervisor department, SSC

Phone: 04.3934.0750 (ext 534)