**Bao Viet Securities JSC**

**72 Tran Hung Dao, Hoan Kiem, Hanoi**

**BALANCE SHEET AS AT 30 SEPTEMBER 2018**

**Unit: VND**

|  |  |  |  |
| --- | --- | --- | --- |
| **ASSETS** |  | **This year** | **Previous year** |
| **A. CURRENT ASSETS (100 = 110 + 130)** | **100** | **2.828.787.283.821** | **1.740.895.200.763** |
| **I. Financial assets (110 = 111 ->129)** | **110** | **2.826.725.876.101** | **1.739.579.063.830** |
| **Cash and cash equivalents** | **111** | **1.014.138.497.703** | **10.261.178.967** |
| 1.1 Cash | 111.1 | 1.014.138.497.703 | 10.261.178.967 |
| 1.2. Cash equivalents | 111.2 | - | - |
| 2. Financial assets at fair value through profit or loss | 112 | 226.878.408.413 | 181.752.087.610 |
| 3. Held - to - maturity investments | 113 | 50.782.222.223 | 136.889.897.791 |
| 4. Loans | 114 | 1.478.063.842.368 | 1.334.716.373.393 |
| 5. Available for sale | 115 | 111.709.352.497 | 110.657.452.497 |
| 6. Provision for impairment of financial assets and mortage assets | 116 | - 64.764.536.740 | - 67.944.728.883 |
| 7. Receiables | 117 | 2.634.646.007 | 10.486.522.115 |
| 7.1 Receivables from Sales of financial assets | 117.1 | - | - |
| 7.2 Receivables and Accrued dividend and interest | 117.2 | 2.634.646.007 | 10.486.522.115 |
| 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 undue dividends and interests | 117.4 | 2.634.646.007 | 10.486.522.115 |
| 8. Advances to suppliers | 118 | 7.442.839.524 | 6.821.181.789 |
| 9. Receivables from services provided by the Company | 119 | 3.279.833.997 | 4.377.685.224 |
| 10. Internal receivables | 120 | - | - |
| 11. Trading errors receivables | 121 | - | - |
| 12. Other receivables | 122 | 12.461.999.808 | 27.462.643.026 |
| 13. Provision for impairment of receivables | 129 | - 15.901.229.699 | - 15.901.229.699 |
| **II. Other current assets (130 = 131->136)** | **130** | **2.061.407.720** | **1.316.136.933** |
| 1. Advances | 131 | 568.058.095 | 514.547.275 |
| 2. Office supplies, material and tools | 132 | 166.734.372 | 212.376.870 |
| 3. Short-term prepaid expenses | 133 | 1.326.615.253 | 571.512.788 |
| 4. Short-term deposits, collaterals and pledges | 134 | - | 17.700.000 |
| 5. Deductible VAT | 135 | - | - |
| 6. Taxes and receivables from the State | 136 | - | - |
| 7. Other current assets | 137 | - | - |
| 8. Bond repos trading | 138 | - | - |
| 9. Provision for impairment of short-term assets | 139 | - | - |
| **B. NON-CURRENT ASSETS (200 = 210 + 220 + 230 + 240 + 250 - 260)** | **200** | **453.207.897.123** | **458.059.245.909** |
| **I. Long-term financial assets** | **210** | **381.661.100.607** | **374.219.253.495** |
| 1. Long-term receivables | 211 | - | - |
| 2. Investments | 212 | **413.472.109.003** | **402.029.253.495** |
| 2.1 Held - to - maturity investments | 212.1 | 219.066.099.203 | 212.817.544.895 |
| 2.2 Investment in Subsidiaries | 212.2 | - | - |
| 2.3 Investment in Joint Ventures | 212.3 | - | - |
| 2.4 Other long-term investment | 212.4 | 194.406.009.800 | 189.211.708.600 |
| 3. Provision for impairment of long term financial assets | 213 | - 31.811.008.396 | - 27.810.000.000 |
| **II. Fixed Assets** | **220** | **11.195.636.244** | **14.135.215.848** |
| 1. Tangible fixed assets | 221 | 8.754.397.423 | 11.280.768.544 |
| - Cost | 222 | 35.288.779.288 | 34.689.380.288 |
| - Accumulated Depreciation | 223a | - 26.534.381.865 | - 23.408.611.744 |
| - Fixed assets valuation at fair value | 223b | - | - |
| 2. Leased fixed assets | 224 | - | - |
| - Cost | 225 | - | - |
| - Accumulated Depreciation | 226a | - | - |
| '- Leased fixed assets valuation at fair value | 226b | - | - |
| 3. Intangible fixed assets | 227 | 2.441.238.821 | 2.854.447.304 |
| - Cost | 228 | 13.956.101.090 | 13.542.101.090 |
| - Accumulated Amortization | 229a | - 11.514.862.269 | - 10.687.653.786 |
| '- Intangible fixed assets valuation at fair value | 229b | - | - |
| **III. Investment property** | **230** | **-** | **-** |
| - Cost | 231 | - | - |
| - Accumulated Depreciation | 232a | - | - |
| ' - Investment property valuation at fair value | 232b | - | - |
| **IV. Construction in progress** | **240** | **-** | **-** |
| **V. Other long-term assets** | **250** | **60.351.160.272** | **69.704.776.566** |
| 1. Long-term deposits, collaterals and pledges | 251 | 1.162.476.115 | 1.152.476.115 |
| 2. Long-term Prepaid Expenses | 252 | 39.188.684.157 | 47.393.820.391 |
| 3. Deferred Tax Assets | 253 | - | - |
| 4. Deposits to Settlement Assitance fund | 254 | 20.000.000.000 | 21.158.480.060 |
| 5. Other long-term assets | 255 | - | - |
| VI. Provision for impairment of long term assets | 260 | - | - |
| **TOTAL ASSETS (270 = 100 + 200)** | **270** | **3.281.995.180.944** | **2.198.954.446.672** |
| **C. LIABILITIES (300 = 310 + 340)** | **300** | **1.553.067.182.157** | **500.850.839.962** |
| **I. Current liabilities** | **310** | **1.235.692.857.558** | **490.044.251.418** |
| 1. Short-term borrowings and financial leases | 311 | 38.000.000.000 | 89.985.675.489 |
| 1.1 Short-term borrowings | 312 | 38.000.000.000 | 89.985.675.489 |
| 1.2 Short-term Loans from financial leases | 313 | - | - |
| 2. Short-term borrowings for financial assets | 314 | - | - |
| 3. Short-term convertible bond | 315 | - | - |
| 4. Short-term issued bond | 316 | - | - |
| 5. Borrowings for the Settlement Advance fund | 317 | - | - |
| 6. Payables for securities trading expenses | 318 | 3.059.482.105 | 3.786.996.811 |
| 7. Payables for trading error of fiancial assets | 319 | - | - |
| 8. Short-term trade Payables | 320 | 949.753.212 | 10.713.515.474 |
| 9. Short-term advance from custumers | 321 | 2.727.000.000 | 2.961.300.000 |
| 10. Statutory obligations | 322 | 9.583.751.380 | 14.357.264.044 |
| 11. Payables to employees | 323 | 35.655.318.653 | 48.317.200.787 |
| 12. Employees benefits | 324 | 991.162.370 | 909.202.166 |
| 13. Short-term accrued expeneses | 325 | 4.728.029.114 | 3.348.624.774 |
| 14. Short-term intra company payables | 326 | - | - |
| 15. Short-term unrealized revenue | 327 | - | - |
| 16. Short-term received Guarantee Deposits | 328 | - | - |
| 17. Other Short-term payables | 329 | 1.012.871.324.111 | 95.975.685.774 |
| 18. Short-term provision for payables | 330 | - | - |
| 19. Bonus and welfare fund | 331 | 7.652.872.847 | 5.893.515.403 |
| 20. Payables under Bonds repo agreement | 332 | 119.474.163.766 | 213.795.270.696 |
| **II. Non-current liabilities** | **340** | **317.374.324.599** | **10.806.588.544** |
| 1. Long-term borrowings and leased | 341 | - | - |
| 1.1 Long-term borrowings | 342 | - | - |
| 1.2 Long-term leased | 343 | - | - |
| 2. Long-term borrowing financial assets | 344 | - | - |
| 3. Long-term convertible bond | 345 | - | - |
| 4. Long-term issued bond | 346 | 306.430.759.038 | - |
| 5. Long-term trade Payables | 347 | - | - |
| 6. Long-term advance from custumers | 348 | - | - |
| 7. Long-term accrued expeneses | 349 | - | - |
| 8. Long-term intra company payables | 350 | - | - |
| 9. Long-term unrealized revenue | 351 | - | - |
| 10. Long-term received Guarantee Deposits | 352 | - | - |
| 11. Other long-term payables | 353 | - | - |
| 12. Long-term provision for payables | 354 | - | - |
| 13. Provision of Indemnity Investor | 355 | - | - |
| 14. Deferred Tax Liabilitiy | 356 | 10.943.565.561 | 10.806.588.544 |
| 15. Science and Technology Development Fund | **357** | - | - |
| **A. Owner's equity (400 = 410 + 420)** | **400** | **1.728.927.998.787** | **1.698.103.606.710** |
| **I. Owner's equity** | **410** | **1.728.927.998.787** | **1.698.103.606.710** |
| **1. 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. Legal capital | 411.1a | 722.339.370.000 | 722.339.370.000 |
| b. Supplementary capital | 411.1b | - | - |
| 1.2 Share premium | 411.2 | 610.253.166.720 | 610.253.166.720 |
| 1.3 Bond option | 411.3 | - | - |
| 1.4 Other capital | 411.4 | - | - |
| 1.5 Treasury shares | 411.5 | - 496.682.500 | - 496.682.500 |
| 2. Difference from revaluation of assets at fair value | 412 | 29.740.147.294 | 25.455.682.334 |
| 3. Foreign exchange differences | 413 | - | - |
| 4. Charter capital supplementary reserve | 414 | 29.538.463.475 | 29.538.463.475 |
| 5. Operational risk and finacial reserve | 415 | 29.538.463.475 | 29.538.463.475 |
| 6. Other funds | 416 | - | - |
| 7. Undistributed Profit | 417 | 308.015.070.323 | 281.475.143.206 |
| 7.1 Realized profit | 417.1 | 320.056.371.297 | 282.922.223.792 |
| 7.2 Unrealized profit | 417.2 | - 12.041.300.974 | - 1.447.080.586 |
| II. Other resources and funds | 420 | **-** | **-** |
| **TOTAL LIABILITIES AND OWNER'S EQUITY** | **440** | **3.281.995.180.944** | **2.198.954.446.672** |

|  |  |  |  |
| --- | --- | --- | --- |
| **OFF BALANCE SHEET ITEMS** | | | |
| 1. **ASSETS OF THE COMPANY AND ASSETS MANAGED UNDER AGREEMENTS** | | | |
| **ASSETS** |  | **This year** | **Previous year** |
| 1. Leased fixed assets | 001 | - | - |
| 2. Pledged valuable papers | 002 | - | - |
| 3. Mortgaged assets | 003 | - | - |
| 4. Bad debt written off | 004 | 390.400.000 | 390.400.000 |
| 5. Foreign currencies | 005 | - | - |
| 6. Outstanding shares | 006 | 72.200.145 | 72.200.145 |
| 7. Treasury shares | 007 | 33.792 | 33.792 |
| 8. The company ‘s Financial assets listed/ registered at VSD | 008 | 185.539.100.000 | 140.592.400.000 |
| 9. The company ‘s non-trade Financial assets deposited at VSD | 009 | 3.260.090.000 | 3.000.000.000 |
| 10. The company ‘s awaiting Financial assets | 010 | 4.934.400.000 | 3.291.200.000 |
| 11. The company ‘s Financial assets used to correct trading errors | 011 | - | - |
| 12. The company ‘s Financial assets which have not been deposited at VSD | 012 | 126.686.470.000 | 184.357.310.000 |
| 13. Financial assets under rights enjoyment | 013 | - | - |
| 1. **ASSETS AND LIABILITIES MANAGED UNDER AGREEMENT WITH INVESTORS** | | | |
| **ASSETS** |  | **This year** | **Previous year** | |
| 1. Investor's financial assets listed/ registered for trading at VSD | 021 | 31.365.693.740.000 | 30.439.112.740.000 | |
| a. Unrestricted financial assets | 021.1 | 30.545.152.220.000 | 29.358.257.520.000 | |
| b. Restricted financial assets | 021.2 | 302.067.390.000 | 285.180.700.000 | |
| c. Mortgage financial assets | 021.3 | 306.368.540.000 | 614.951.120.000 | |
| d. Isolated or suspended financial assets | 021.4 | - | - | |
| e. Financial assets awaiting settlement | 021.5 | 212.105.590.000 | 180.723.400.000 | |
| f. Financial assets awaiting for lending | 021.6 | - | - | |
| 2. Investor's non- traded financial assets deposited at VSD | 022 | 291.232.280.000 | 38.277.500.000 | |
| a. Unrestricted and non-traded financial assets deposited at VSD | 022.1 | 60.776.650.000 | 14.209.440.000 | |
| b. Restricted and non-traded financial assets deposited at VSD | 022.2 | 230.455.630.000 | 24.068.060.000 | |
| c. Non-traded, non- mortgaged financial assets deposited at VSD | 022.3 | - | - | |
| d. . Non-traded, non- isolated, not suppend financial assets deposited at VSD | 022.4 | - | - | |
| 3. Investor's awaiting financial assets | 023 | 219.246.790.000 | 266.557.800.000 | |
| 4. Financial assets used to correct trading errors of investors | 024.a | - | - | |
| 5. Investor’s financial assets which have not been deposited at VSD | 024.b | 2.439.322.700.000 | 2.149.322.700.000 | |
| 6. Investor's financial assets under rights enjoyment | 025 | - | - | |
| 7. Investor 's Deposits | 026 | 611.151.985.636 | 737.314.588.699 | |
| 7.1 Deposits for brokerage activities | 027 | 310.796.065.074 | 415.638.533.838 | |
| 7.2 Investor’s synthesizing deposits for securities trading activities | 028 | 296.486.310.317 | 318.869.139.597 | |
| 7.3 Deposits for clearing and settlement activities | 029 | - | - | |
| 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 Securities issuers ‘s deposits | 030 | 3.869.610.245 | 2.806.915.264 | |
| 8. Payable for investor’s deposits for securities trading under the company ‘s management | 031 | 598.220.557.466 | 725.721.558.367 | |
| 8.1 Payable for domestic investor’s deposits for securities trading under the company ‘s management | 031.1 | 597.070.284.596 | 724.601.017.157 | |
| 8.2 Payable for foreign investor’s deposits for securities trading under the company ‘s management | 031.2 | 1.150.272.870 | 1.120.541.210 | |
| 9. Payable to securities issuer | 032 | 3.771.234.210 | 3.158.667.760 | |
| 10. Receivables from investors for error of financial asset transaction | 033 | - | - | |
| 11. Payables to investors for error of financial asset transaction | 034 | - | - | |
| 12. Dividend, bond principal and interest payables | 035 | 9.160.193.960 | 8.434.362.572 | |

**INCOME STATEMENT ENDED 30 SEMTEMBER 2018**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **I. OPERATING REVENUE** |  | **Quarter IV** | | **Accumulated** | |
| **Previous year** | **This year** | **Previous year** | **Accumulated to 30/09/2017** |
| **1.1 Gains from Financial assets at fair value through profit and loss (FVTPL)** | **1** | 45.834.678.893 | 25.744.574.586 | 108.407.983.709 | 49.081.725.139 |
| a. Gains from disposal of financial assets at FVTPL | **1.1** | 10.523.323.536 | 7.986.821.797 | 27.336.357.561 | 15.961.172.181 |
| b. Gains from revaluation of financial assets at FVTPL | **1.2** | 25.832.104.957 | 15.485.548.739 | 67.818.254.535 | 28.732.951.380 |
| c. Dividend, interests income from financial assets at FVTPL | **1.3** | 9.479.250.400 | 2.272.204.050 | 13.253.371.613 | 4.387.601.578 |
| 1.2 Gains from Held - to - maturity investments (HTM) | **2** | 5.493.829.197 | 7.035.593.753 | 16.305.248.184 | 22.740.654.734 |
| 1.3 Gains from loans and receivables | **3** | 28.096.210.178 | 23.002.192.197 | 110.146.432.633 | 82.904.715.323 |
| 1.4 Gains from financial assets available for sale (AFS) | **4** |  | 182.000.000 | 917.148.400 | 3.697.793.500 |
| 1.5 Gains from derivative tools | **5** |  |  |  |  |
| 1.6 Revenue from brokeage services | **6** | 37.977.178.345 | 52.521.583.775 | 133.506.755.011 | 162.823.464.707 |
| 1.7 Revenue from securities underwriting and issuance agency services | **7** | 25.000 |  | 214.790.219 | 700.150.000 |
| 1.8 Revenue from consultancy services | **8** |  |  |  |  |
| 1.09 Revenue from securities custodian services | **9** | 1.790.897.292 | 1.453.821.868 | 4.716.941.833 | 4.114.094.244 |
| 1.10 Revenue from financial advisory services | **10** | 820.909.091 | 2.808.545.455 | 4.355.386.364 | 5.622.385.604 |
| 1.11 Revenue from other activities | **11** | 90.966.181 | 235.947.845 | 771.395.526 | 629.242.919 |
| **TOTAL OPERATING REVENUE (20 = 01>11)** | **20** | **120.104.694.177** | **112.984.259.479** | **379.342.081.879** | **332.314.226.170** |
| **II. EXPENSE FOR OPERATING ACTIVITIES** |  |  |  |  |  |
| 2.1 Loss from Financial assets at fair value through profit and loss (FVTPL) | **21** | 35.806.885.550 | 11.003.263.429 | 97.110.369.888 | 25.472.948.105 |
| a. Loss from disposal of financial assets at FVTPL | **21.1** | 11.506.674.261 | 761.637.272 | 17.763.755.742 | 4.000.458.691 |
| b. Loss from revaluation of financial assets at FVTPL | **21.2** | 24.300.211.289 | 10.241.626.157 | 79.346.614.146 | 21.472.489.414 |
| c. Expenses for purchase of FVTPL | **21.3** |  |  |  |  |
| 2.2 Loss from Held - to - maturity investments | **22** |  |  |  |  |
| 2.3 Loss and fair value from assets available for sale (AFS) | **23** |  |  |  |  |
| 2.4 Provision expense for diminution in value and impairment of financial asset and doubtful debts and borrowing costs of loans | **24** | (57.453.409) | 176.125.400 | 820.816.253 | 2.842.474.840 |
| 2.5 Loss from derivative tools | **25** |  |  |  |  |
| 2.6 Expenses for proprietary trading activities | **26** | 551.067.329 | 883.006.852 | 1.295.172.568 | 1.464.476.670 |
| 2.7 Expenses for brokeage services | **27** | 25.193.951.092 | 40.170.981.917 | 103.963.898.486 | 122.699.133.500 |
| 2.8 Expenses for securities underwriting and issuance agency services | **28** |  |  |  |  |
| 2.9 Expenses for consultancy services | **29** |  |  |  |  |
| 2.10 Expenses for securities custodian services | **30** | 3.850.523.296 | 3.516.887.842 | 10.240.794.471 | 8.861.958.457 |
| 2.11. Expensesfor financial advisory services | **31** | 2.232.296.789 | 1.875.582.716 | 6.508.300.627 | 4.548.573.580 |
| 2.12 Expenses for other activities | **32** | 2.478.949.924 | 2.381.348.940 | 5.761.135.337 | 5.307.489.282 |
| *In which: Expenses for fixing transaction and trading errors* | **33** | 324.500 | 19.760.000 | 9.323.000 | 19.760.000 |
| **TOTAL OPERATING EXPENSE (40 = 21->32)** | **40** | **70.056.220.571** | **60.007.197.096** | **225.700.487.630** | **171.197.054.434** |
| **III. FINANCIAL INCOME** |  |  |  |  |  |
| 3.1 Realized and unrealized foreign exchange differences | **41** |  |  |  |  |
| 3.2 Revenue, receivalbes from dividends, interest in the period | **42** | 7.277.590.902 | 4.432.492.120 | 20.622.296.644 | 12.551.877.240 |
| 3.3 Gains from investment in associates | **43** |  |  |  |  |
| 3.4 Other investment revenue | **44** |  |  |  |  |
| **Total (50 = 41->44)** | **50** | **7.277.590.902** | **4.432.492.120** | **20.622.296.644** | **12.551.877.240** |
| **I.V FINANCIAL EXPENSE** |  |  |  |  |  |
| 4.1 Realized and unrealized foreign exchange differences | **51** |  |  |  | 2.886.781 |
| 4.2 Borrowing cost | **52** | 9.704.210.172 | 2.700.940.452 | 17.270.690.754 | 6.040.147.788 |
| 4.3 Losses from investment in associates | **53** |  |  |  |  |
| 4.4. Expense of provision for impairment of long term financial assets | **54** |  |  |  |  |
| 4.5 Other investment expense | **55** |  |  |  |  |
| **Total financial expense (60 = 51->56)** | **60** | **9.704.210.172** | **2.700.940.452** | **17.270.690.754** | **6.043.034.569** |
| **V. Sale expenses** | **61** |  |  |  |  |
| **VI. General and administratiive expenses** | **62** | **15.882.523.966** | **22.998.685.806** | **56.511.203.414** | **60.050.276.056** |
| **VII. OPERATING PROFIT (70= 20+50-40-60-61-62)** | **70** | **31.739.330.370** | **31.709.928.245** | **100.481.996.725** | **107.575.738.351** |
| **VIII. OTHER INCOME AND EXPENSES** |  |  |  |  |  |
| 8.1 Other income | **71** |  | 57.781.818 | 118.454.545 | 66.872.727 |
| 8.2 Other expenses | **72** | 10.970.000 | 499.001.470 | 253.060.000 | 713.941.717 |
| **Total other activities (80= 71-72)** | **80** | **-10.970.000** | **-441.219.652** | **-134.605.455** | **-647.068.990** |
| **IX. PROFIT BEFORE TAX (90=70 + 80)** | **90** | **31.728.360.370** | **31.268.708.593** | **100.347.391.270** | **106.928.669.361** |
| 9.1 Realized profit | **91** | 30.196.466.702 | 26.024.786.011 | 111.875.750.881 | 99.668.207.395 |
| 9.2 Unrealized profit | **92** | 1.531.893.668 | 5.243.922.582 | **-11.528.359.611** | 7.260.461.966 |
| X. Corporate Income tax (CIT)expense | **100** | **4.431.152.978** | **6.691.964.342** | **17.453.204.249** | **21.303.885.988** |
| 10.1 Current CIT expense | **100.1** | 5.257.745.493 | 5.352.186.640 | 18.387.343.472 | 20.230.097.303 |
| 10.2 Deferred CIT expense | **100.2** | -826.592.515 | 1.339.777.702 | -934.139.223 | 1.073.788.685 |
| **XI. Profit after tax (200 = 90 - 100)** | **200** | **27.297.207.392** | **24.576.744.251** | **82.894.187.021** | **85.624.783.373** |
| **XII. OTHER COMPREHENSIVE INCOME AFTER TAX** | **300** |  |  |  |  |
| 12.1 Gains/(Losses) from Revaluation of AFS financial assets | **301** | 1.314.176.000 | 5.400.446.880 | 4.284.464.960 | 7.002.406.560 |
| 12.2 Other Gains/(Losses) from Foreign exchange | **302** |  |  |  |  |
| 12.3 Gains/Losses from fair value of fixed assets | **303** |  |  |  |  |
| 12.4 Other gains/Losses | **304** |  |  |  |  |
| Total comprehensive income | **400** | **1.314.176.000** | **5.400.446.880** | **4.284.464.960** | **7.002.406.560** |
| **XIII. NET INCOME PER SHARE** | **500** |  |  |  |  |
| 13.1 Earning per share (VND/share) | **501** | 378 | 340 | 1.148 | 1.186 |

**CASH FLOW STATEMENT ENDED 30 SEMTEMBER 2018 – DIRECT METHOD**

|  |  |  |  |
| --- | --- | --- | --- |
| **ITEMS** | **Code** | **Accumulated** | |
| **I. Cash flows from operating activities** |  | **This year** | **Previous year** |
| 1. Payments for purchase of financial assets | **1** | -41.509.593.988.969 | -45.723.120.870.278 |
| 2. Proceeds from sale of financial assets | **2** | 41.488.033.837.836 | 45.834.559.404.470 |
| 3. Payment to the Settlement Advance fund | **3** |  |  |
| 4. Dividend received | **4** | 13.982.244.013 | 10.920.275.288 |
| 5. Coupon interests received | **5** | 140.629.177.139 | 112.798.948.317 |
| 6. Interest paid | **6** | -167.305.443 | -1.177.530.529 |
| 7. Payment to suppliers | **7** | -33.813.501.979 | -36.051.970.757 |
| 8. Payment to employees | **8** | -94.831.450.656 | -78.288.459.389 |
| 9. Tax paid | **9** | -74.154.062.123 | -73.726.219.598 |
| 10. Payment for the expense of trading financial assets | **10** |  |  |
| 11. Other cash receipt from operating activities | **11** | 12.861.913.786.281 | 7.065.907.400.468 |
| 12. Other cash payments for operating activities | **12** | -11.880.364.984.941 | -6.964.106.284.939 |
| **Net cash flows from operating activities** | **20** | **911.633.751.158** | **147.714.693.053** |
| **II. Cash flows from investing activities** |  |  |  |
| 1. Payment for purchase and construction of fixed assets, investment properties and other assets | **21** | -825.470.000 | -127.600.000 |
| 2. Proceeds from disposal and sale of fixed assets, investment properties and other assets | **22** |  |  |
| 3. Payment for Investments in associates | **23** |  |  |
| 4. Proceeds from investments in subsidiaries, joint ventures, affilaiates and other entities | **24** |  |  |
| 5. Interest and dividend received from long-term financial investment | **25** |  |  |
| **Net cash flow used in investing activities** | **30** | **-825.470.000** | **-127.600.000** |
| **III. Cash flows 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. Drawdown of borrowings | **33** | 798.275.471.568 | 3.225.788.227.462 |
| 4. Payments of Drawdown of borrowings | **34** | -654.986.521.345 | -3.262.344.449.459 |
| 5. Payments of leased | **35** |  |  |
| 6. Dividends, profits paid to shareholders | **36** | -50.219.912.645 |  |
| **Net cash low from financing activities** | **40** | **93.069.037.578** | **-36.556.221.997** |
| **IV. Net increase/decrease in cash for the period** | **50** | **1.003.877.318.736** | **111.030.871.056** |
| **V. Cash and cash equivalent at the beginning of the period** | **60** | **10.261.178.967** | **7.450.071.427** |
| Cash | **61** | 10.261.178.967 | 7.450.071.427 |
| Cash equivalents | **62** |  |  |
| Effects of changes in foreign exchange rate | **63** |  |  |
| **VI. Cash and cash equivalent at the end of the period (70 = 50 + 60)** | **70** | **1.014.138.497.703** | **118.480.942.483** |
| Cash | **71** | 1.014.138.497.703 | 118.480.942.483 |
| Cash equivalent | **72** |  |  |
| Effects of changes in foreign exchange rate | **73** |  |  |

**CASH FLOW FROM BROKERAGE AND TRUST ACTIVITIES OF CUSTOMERS**

**ENDED 30 SEMTEMBER 2018**

|  |  |  |  |
| --- | --- | --- | --- |
| **ITEMS** | **Code** | **Accumulated** | |
| **I. Cash flows from brokerage and trust activities of customers** |  | **This year** | **Previous year** |
| 1.Cash receipt from sale of securities on behalf of customers | 01 | 59.779.000.822.457 | 72.545.167.492.379 |
| 2.Cash payment for acquisition of securities on behalf of customers | 02 | -59.926.795.970.180 | -69.124.600.828.811 |
| 3.Cash receipt from sale trust securities on behalf of customers | 03 |  |  |
| 4. Cash payment for acquisition trust securities on behalf of customers | 04 |  |  |
| 5. Cash receipt from Settlement Advance fund borrowing | 05 |  |  |
| 6. Cash payment for Settlement Advance fund borrowing | 06 |  |  |
| 7.Cash receipt for settlement of securities transaction of Customers | 07 | 37.194.743.812.636 | 31.187.333.272.782 |
|  |  |  |  |
| 8.Cash receipt of Customer's for trust activities | 08 |  |  |
| 9.Cash payment for custodian fee of customers | 09 | -4.284.164.353 | -3.778.732.149 |
| 10.Cash receipt from securities trading errors | 10 |  |  |
| 11.Cash payment for securities trading errors | 11 |  |  |
| 12.Cash receipt from securities issuer | 12 | 4.678.199.682.564 | 2.643.294.991.492 |
| 13.Cash payment to securities issuer | 13 | -4.692.290.791.328 | -2.641.009.259.156 |
| 14. Cash receipt from brokerage, trust activities | 14 | 58.895.235.903.356 | 64.204.398.119.015 |
| 15. Cash payment for brokerage, trust activities | 15 | -96.049.971.898.215 | -98.668.915.931.958 |
| Net Increase/Decrease in cash during the year | 20 | **-126.162.603.063** | **141.889.123.594** |
| **II.Cash and Cash equivalent of Customer at the beginning of the year** | 30 | **737.314.588.699** | **482.807.490.320** |
| Cash at bank at the beginning of the year | 31 | 737.314.588.699 | 482.807.490.320 |
| Investor's Deposits managed byh the company for securities trading activities | 32 | 415.638.533.838 | 160.686.058.057 |
| Investor's Deposits for clearing and settlement of securities transactions | 33 |  |  |
| Investor's synthesizing Deposits for securities trading activities | 34 | 318.869.139.597 | 308.360.826.219 |
| Deposit of securities issuers | 35 | 2.806.915.264 | 13.760.606.044 |
| Cash equivalent | 36 |  |  |
| Effects of changes in foreign exchange rate | 37 |  |  |
| **III.Cash and Cash equivalent of Customer at the end of period** | 40 | **611.151.985.636** | **624.696.613.914** |
| Cash at bank at the end of the period | 41 | 611.151.985.636 | 624.696.613.914 |
| Investor's Deposits managed by the company for securities trading activities | 42 | 310.796.065.074 | 380.050.174.330 |
| Investor's synthesizing Deposits for securities trading activities | 43 | 296.486.310.317 | 239.767.976.189 |
| Investor's Deposits for clearing and settlement of securities transactions | 44 |  |  |
| Deposit of securities issuers | 45 | 3.869.610.245 | 4.878.463.395 |
| Cash equivalent | 46 |  |  |
| Effects of changes in foreign exchange rate | 47 |  |  |