

ONLINE TRANSACTION RISK DECLARATION

1. About GTJA (Vietnam)

Company name: Guotai Junan Securities (Vietnam) Corp.

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2. Online transaction services provided by GTJA (Vietnam)

GTJA (Vietnam) was granted Registration Certificate No.96/QD-UBCK dated January 01st 2011 for GTJA (Vietnam) to provide online securities transaction services to Clients.

Online transaction services provided by GTJA (Vietnam) includes: those via Internet and those by mobile phone.

- Securities transaction services via Internet includes: Home Trading, Web Trading, Mobile Trading
- By-Mobile-phone Securities transaction services with a quick order hotline: 1900 54561
- Other online services provided by GTJA (Vietnam) over each particular period.

3. Risks incurred when conducting online transactions

3.1. **Risks incurred resulted from conducting securities transactions:** Price of securities fluctuates, i.e. moves up and comes down, which is due to market adjustments, and may become valueless. The result of securities does not guarantee profit, which is likely to cause the Client to suffer a loss. Clients are conscious and agree to accept risks when conducting transactions.

3.2. **Risks incurred due to system incidents:** Risks which might lead to downtime, delay of the operation of the system, suspension of information exchange activities in the computer network, falsities of securities trading transactions, data errors in electronic price list and errors in other securities information.

- (i) Technical errors in the hard system, the soft system or the entry of virus into the computer system.
- (ii) Risk of downtime of the network system due to line congestion, broken transmission of service providers.
- (iii) Access to the internet or other electronic devices may be restricted due to excessive traffic, market fluctuations, system upgrades or maintenance, or for any other reason.
- (iv) While being transmitted over the internet, trading orders may be suspended, stopped, delayed, or have data errors.
- (v) The identification of organizations or investors may not be accurate, security errors may occur.
- (vi) Market prices and other securities information may contain errors or falsities and data update may be delayed.
- (vii) Possible risks of authentic methods to place orders for investors may occur.

3.3. Risks from the third party:

- (i) The authenticity of news and business information depends on a third party such as the Stock Exchange or a data provider.
- (ii) The frequency of updating data of third parties who are software providers may change depending on the technical conditions at a certain time, affecting the blockade of money and securities, and may lead to incorrect balance query.
- (iii) The online trading system can be attacked by many entities (professional or non-professional) in many different ways with many goals, which may suspend the system and falsify the data.

3.4. **Risks from an event of force majeure:** Risks which are unforeseeable, out of GTJA (Vietnam)'s control including but not limited to disasters, earthquakes affecting the hard system.

4. Disclaimer

Risks which may occur during the time conducting transactions at GTJA (Vietnam) includes but not limited to risks that GTJA (Vietnam) have recommended. Clients need to identify potential risks, do thorough research, assess the risks before making decisions on participating in the online transactions. When participating in the online transactions, the Clients automatically accept the risks which may occur beyond

GTJA (Vietnam)'s control and GTJA (Vietnam) may be exempted from responsibilities regarding any errors/mistakes or damages arising from the risks abovementioned.