

**REPORT ON CORPORATE GOVERNANCE
of the first 6 months of 2021**

To: - *The State Securities Commission;*
- *Ho Chi Minh Stock Exchange.*

- *Organization name* : Song Ba Joint Stock Company.
- *Head office address* : 573 Nui Thanh, Hai Chau District, Da Nang City.
- *Telephone* : 0236.365 3592 – 0236.221 5592.
- *Fax* : 0236.365 3593.
- *Email* : sba2007@songba.vn.
- *Charter capital* : VND 604.882.610.000.
- *Securities Symbol* : **SBA**;
- *Governance model*: : General Meeting of Shareholders, Board of Directors, Board of Supervisors, General Director and Director;
- *The implementation of internal audit*: Implemented.

I. Activities of the General Meeting of Shareholders.

No.	Resolution/Decision No.	Date	Content
1	Resolution No. 01/2021/NQ-DHDCD	25 th June 2021	Resolution of the Annual General Meeting of Shareholders of 2021.

II. Board of Management's report of the first 6 months of 2021.

1. Information about the members of the Board of Management (BOM).

No.	BOM's member	Position	The date becoming/ceasing to be the member of the Board of Directors		Note
			Date of appointment	Date of dismissal	
1	Mr. Thai Hong Quan	- Member - Chairman	30/06/2020 25/06/2021		Elected to hold the position of Chairman of the BOM from 25 June 2021 according to Resolution No. 03/21/NQ-HDQT dated 25 May 2021 of the BOM's SBA

2	Mr. Dinh Chau Hieu Thien	Chairman	30/06/2020	25/06/2021	- Elected to hold the position of Chairman of the BOM from June 30, 2020 to June 25, 2021. - Resigned from the position of Chairman of the BOM from June 25, 2021 according to resolution No. 03/21/NQ-HDQT, dated May 25, 2021 of the BOM's SBA
3	Mr. Pham Phong	Member	30/06/2020		
4	Mr. Nguyen Quang Hung	Member	30/06/2020		
5	Mr. Hoang Nam Son	Member	30/06/2020		

2. Meetings of the Board of Management (BOM)

No.	BOM's member	Number of meetings attended by Management	Attendance rate	Reasons for absence
1	Mr. Thai Hong Quan	4/4	100%	
2	Mr Dinh Chau Hieu Thien	4/4	100%	
3	Mr. Pham Phong	4/4	100%	
4	Mr. Nguyen Quang Hung	4/4	100%	
5	Mr. Hoang Nam Son	4/4	100%	

3. Supervision by the BOM over the Board of Directors: In accordance with the Operating Regulations of the Board of Management of SBA.

4. Activities of the Board of Directors' subcommittees (If any): The internal audit team under the Board of Management's of Song Ba Joint Stock Company operates in accordance with the Internal Audit Regulations of Song Ba Joint Stock Company

5. Resolutions/Decisions of the Board of Management of the first 6 months of 2021

No.	Resolution/Decision No.	Date	Content
1	Resolution No. 01/21/NQ-HDQT	26/01/2021	Approval of business results of Quarter 4 and the whole year 2020, business plan in 2021, Quarter 1/2021 and other relevant Important points

2	Resolution No. 02/21/NQ-HDQT	19/04/2021	Approval of business results of Quarter 1/2021, business plan for Quarter 2/2021 and other relevant points
3	Resolution No. 03/21/NQ-HDQT	25/05/2021	Resolution of the BOM on approving the resignation of the Chairman of the BOM, agreeing to elect a new Chairman of the Board of Directors, dismissing and appointing the position of General Director
4	Decision No. 01/21/QD-S3-HDQT	03/02/2021	Promulgating the Company's financial management regulations
5	Decision No. 02/21/QD-HDQT	01/04/2021	Holding Annual General Meeting of Shareholders in 2021
6	Decision No. 03/21/QD-S3-HDQT	31/05/2021	Establishing an internal audit team under the BOM's Song Ba Joint Stock Company.
7	Decision No. 04/21/QD-S3-HDQT	31/05/2021	Promulgating the Internal Audit Regulations of Song Ba Joint Stock Company.
8	Decision No. 05/21/QD-S3-HDQT	21/06/2021	Dismissal Deputy General Director of Song Ba Joint Stock Company
9	Decision No. 06/21/QD-S3-HDQT	28/06/2021	Dismissal Deputy General Director of Song Ba Joint Stock Company
10	Decision No. 07/21/QD-S3-HDQT	28/06/2021	Appointed General Director of Song Ba Joint Stock Company
11	Decision No. 08/21/QD-S3-HDQT	30/06/2021	Company executive bonus in 2020
12	Decision No. 09/21/QD-S3-HDQT	30/06/2021	Commendation to the Company General Director for successfully completing the tasks in organization and implementation of the Khe Dien Hydropower Plant Expansion Project

III. Supervisory Board of the first 6 months of 2021.

1. Information about members of Supervisory Board.

No.	Supervisory Board's member	Position	Day becoming/no longer member of the Supervisory Board		Note
			Date of appointment	Date of dismissal	
1	Ms. Phan Thi Anh Dao	Head of Supervisory Board	30/06/2020		Appointed on 30 th June 2020
2	Ms. Huynh Thi Long	Member of Supervisory Board	30/06/2020		

3	Mr. Do Dat Quang	Member of Supervisory Board	30/06/2020		
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2. Meetings of Board of Supervisors

No.	Supervisory Board's member	Number of meetings attended	Attendance rate	Reasons for absence
1	Ms. Phan Thi Anh Dao	1/1	100%	
2	Ms. Huynh Thi Long	1/1	100%	
3	Mr. Do Dat Quang	1/1	100%	

3. Surveillance activities of the Supervisory Board toward the Board of Management, Board of Directors and shareholders: In accordance with the Organization and Operation Regulations of SBA.

4. The coordination among the Supervisory Board with the Board of Management, Board of Directors and different managers: In accordance with the Organization and Operation Regulations of SBA.

5. Other activities of the Supervisory Board (if any): No.

IV. Directors Board

No.	Member of Directors Board	Position	Date of birth	Qualification	Date of appointment / dismissal of members of the Board of Directors
1	Mr. Pham Phong	General Director	22/5/1958	Masters - Mechanical Engineer - Electrical Engineer	Appointed on 01/06/2018
2	Mr. Thai Hong Quan	Vice General Director	25/04/1965	Electrical Engineer	Appointed on 02/10/2020; dismissal on 24/06/2021
3	Mr. Nguyen The Duy	Vice General Director	14/04/1980	Electrical Engineer	Appointed on 01/06/2019
4	Mr. Phan Dinh Thanh	Vice General Director	20/12/1982	Mechanical Engineer	Appointed on 01/10/2019

V. Chief accountant

Name	Date of birth	Qualification	Appointment
Mr. Pham Thai Hung	25/09/1979	Master of Finance – Banking; Bachelor of Economics, major in accounting	01/07/2019

VI. Training on corporate governance:

Training courses on corporate governance which members of Board of Management, members of the Supervisory Board, Director (CEO), other managers and company secretary was involved in accordance with regulations on corporate governance in detail: **No.**

VII. List of affiliated persons of the public company (the first 6 months of 2021 report) and transactions of affiliated person of the Company with the Company:

- 1. List of affiliated persons of the Company:** List of affiliated persons of the Company, List of internal person and their affiliated person until 30/06/2021 attached.
- 2. Transactions between the company and the affiliated persons or between the company and major shareholders, internal person and related person of internal person:** **No.**
- 3. Transaction between internal person of listed company and company's subsidiaries, or the company in which listed company takes controlling power:** **No.**
- 4. Transactions between the company and other objects**

4.1. Transactions between the company and the company that members of Board of Management, members of the Supervisory Board, Director (CEO) has been a founding member or a members of Board of Management, Director (CEO) in three (03) years (calculated at the time of reporting): **No**

4.2. Transactions between the company and the company that related person of members of Board of Management, members of the Supervisory Board, Director (CEO) as a member of Board of Management, Director (CEO): **No.**

4.3. Other transactions of the company (if any) may be beneficial material or immaterial for members of Board of Management, members of the Supervisory Board, Director (CEO): No.

VI. Transactions of internal person and related person of internal person (of the first 6 months of 2021 report): No.

- 1. List of internal person and their affiliated person:** List of affiliated persons of the Company, List of internal person and their affiliated person until 30/06/2021 attached.
- 2. Transactions of internal person and affiliated person on shares of the listed company:** No.

VII. Other significant issues: No.

Recipients:

- As above;
- BOM member;
- Website SBA;
- Saved at: P5, Documentary department.

**FOR AND ON BEHALF OF
THE BOARD OF MANAGEMENT
CHAIRMAN**



THAI HONG QUAN



**SÔNG BA
JOINT STOCK COMPANY**

THE SOCIALIST REPUBLIC OF VIETNAM
Independence - Freedom - Happiness

**LIST OF AFFILIATED PERSONS OF THE COMPANY, LIST OF INTERNAL PERSONS AND THEIR AFFILIATED
PERSON UNTIL 30/06/2021**

*(Attached to REPORT ON CORPORATE GOVERNANCE OF THE FIRST 6 MONTHS OF 2021
N0. 32/21/S3-HĐQT dated 25 August 2021)*

No	Name	Position at the company	Relationship with internal person	Number of shares owned at the end of the period	Percentage of share ownership at the end of the period	Note
A.	THE LIST OF AFFILIATED PERSONS					
	Central Power Corporation - Founding shareholder			11.822.500	19,5451	
1	Thai Hong Quan	Member		11.822.500	19,5451	<i>Representative founding shares holder EVNCPC on 25/06/2021</i>
2	Dinh Chau Hieu Thien	Chairman of the BOM		7.093.500	11,7271	<i>Representative founding shares holder EVNCPC on 25/06/2021</i>
3	Nguyen Quang Hung	Member		4.729.000	7,8180	<i>Representative founding shares holder EVNCPC on 06/04/2020</i>
B.	INTERNAL PERSONS LIST					
I.	BOARD OF MANAGEMENT					
1	Thai Hong Quan	Chairman		-	0,0000	<i>Chairman of the Board on 25th June 2021</i>
2	Dinh Chau Hieu Thien	Member		21.600	0,0357	<i>Resigning from the position of Chairman of the Board of Management from 25th June 2021</i>
3	Pham Phong	Member		325.175	0,5376	<i>Appointed on 30th June 2020</i>
4	Nguyen Quang Hung	Member		4.620	0,0076	<i>Appointed on 30th June 2020</i>
5	Hoang Nam Son	Member		44.909	0,0742	<i>Appointed on 30th June 2020</i>

No	Name	Position at the company	Relationship with internal person	Number of shares owned at the end of the period	Percentage of share ownership at the end of the period	Note
II.	SUPERVISORY BOARD					
1	Phan Thi Anh Dao	Head of Supervisory Board		2.550	0,0042	Head of Supervisory Board on 30th June 2020 Appointed on 30 th June 2020 Appointed on 30 th June 2020
2	Huynh Thi Long	Member				
3	Do Dat Quang	Member				
III.	BOARD OF DIRECTORS					
1	Pham Phong	Member of BOM - General Director		-	-	Number of shares owned the member of the BOM
2	Thai Hong Quan	Vice General Director		-	-	Reappointed on 02/10/2020; Dsmissed from the position of Vice General Director from 24 June 2021
3	Nguyen The Duy	Vice General Director of Business		4.596	0,0076	
4	Phan Dinh Thanh	Vice General Director of Technology		8.350	0,0138	
IV.	CHIEF ACCOUNTANT					
1	Pham Thai Hung	Chief Accountant - The disclosure of SBA		3.600	0,0060	
V.	THE INTERNAL AUDIT TEAM UNDER THE BOARD OF MANAGEMENT'S SONG BA JSC					
1	Nguyen Quang Hung	Member BOM'S - Head of Internal Audit Team under the Board of Management’s				
2	Pham Van Luan	Member - The internal audit team under the Board of Management’s		2.450	0,0041	
3	Nguyen Ha Anh Vu	Member - The internal audit team under the Board of Management’s				
4	Nguyen Vo Hien Trang	Member - The internal audit team under the Board of Management’s				

No	Name	Position at the company	Relationship with internal person	Number of shares owned at the end of the period	Percentage of share ownership at the end of the period	Note
C	THE LIST OF INTERNAL PERSON AND THEIR AFFILIATED PERSONS					
I.	List of affiliated persons of Mr. Thai Hong Quan - Chairman of the BOM					
1	Thai Hoang		Father			<i>Dead</i>
2	Tong Thi Song Huong		Mother			<i>Dead</i>
3	Doan Thi Binh Quyen		Wife			
4	Thai Hong Diem Hanh		Son			
5	Thai Hong Quy		Daughter			
6	Thai Hong Ky		Brother			
7	Thai Hong Linh		Young brother			
8	Thai Hong Ngoc		Young brother			<i>Dead</i>
9	Doan Thai		Father-in-law			<i>Dead</i>
10	Tran Thi Yem		Mother-in-law			<i>Dead</i>
11	Dinh Gia Thanh		Son-in-law:			
12	Chau Thi Hong Tuyen		Sister-in-law			
13	Nguyen Thi Thuy		Sister-in-law			
II.	The list of affiliated persons of Mr. Dinh Chau Hieu Thien - Member of the BOM					
1	Dinh Tho		Father	-	-	
2	Chau Thi Hoa		Mother	-	-	<i>Dead</i>
3	Phan Van Khiem		Father-in-law			
4	Nguyen Thi Thi		Mother-in-law			
5	Nguyen Thi Hong		Stepmother	-	-	
6	Phan Thi Dieu Anh		Wife	-	-	
7	Dinh Chau Minh Phuc		Daughter	-	-	
8	Dinh Chau Minh Tri		Son	-	-	

No	Name	Position at the company	Relationship with internal person	Number of shares owned at the end of the period	Percentage of share ownership at the end of the period	Note
9	Dinh Chau Hieu Tam		Brother	-	-	
10	Nguyen Hai Quynh		Sister-in-law			
11	Dinh Chau Tam Hao		Sister	-	-	
12	Le Nguyen Huan		Brother-in-law			
13	Dinh Chau Tam Huong		Young sister	-	-	
14	Lê Van Quang		Brother-in-law			
15	Dinh Chau Hieu Thuan		Young brother	-	-	
16	Nguyen Thi Be		Sister-in-law			
17	Dinh Chau Tam Hanh		Young sister	-	-	
18	Dang Ba Lam		Brother-in-law			
19	Dinh Chau Hieu Toan		Young brother	-	-	
20	Dinh Thi Lieu		Sister-in-law			
21	Dinh Chau Tam Huong		Young sister	-	-	
22	Vu Hong Ha		Brother-in-law			
23	Dinh Chau Hieu Nguyen		Young brother	-	-	
24	Nguyen Tran Uyen Thao		Sister-in-law			
III.	List of affiliated persons of Mr. Pham Phong - Member of the BOM cum General Director					
1	Pham Luong	-	Father	-	-	
2	Dinh Thi Lot	-	Mother	-	-	<i>Dead</i>
3	Ho Quang Phuc	-	Father-in-law			<i>Dead</i>
4	Vo Thi Thu Ha		Mother-in-law			
3	Ho Thi Thu Huong	-	Wife	-	-	
4	Pham Quang Phuc Bao	-	Son	-	-	
5	Pham Ho Khanh Nhu	-	Daughter	-	-	

No	Name	Position at the company	Relationship with internal person	Number of shares owned at the end of the period	Percentage of share ownership at the end of the period	Note
6	Pham Thi Ngoc	-	Young sister	-	-	
7	Pham Thi Phe	-	Young sister	-	-	
8	Pham Van Manh	-	Young brother	-	-	
9	Pham Minh Chau	-	Young sister	-	-	
10	Pham Dinh Khanh	-	Young brother	-	-	
11	Pham Thi Anh Nguyet	-	Young sister	-	-	
12	Pham Quoc Hung	-	Young brother	-	-	
IV.	List of affiliated persons of Mr. Nguyen Quang Hung - Member of the BOM					
1	Nguyen Quang Cuong		Father			
2	Nguyen Thi Lien		Mother			
3	Nguyen Thanh Huong		Father-in-law			<i>Dead</i>
4	Nguyen Thi Siem		Mother-in-law			<i>Dead</i>
3	Nguyen Thi Thanh Hang		Wife			
4	Nguyen Quang Huy		Son			
5	Nguyen Chau Giang		Daughter			
6	Nguyen Ai Nhi		Young sister			
9	Le Trung Tung		Brother-in-law			
V.	List of affiliated persons of Mr. Hoang Nam Son - Member of the BOM					
1	Hoang Quang Minh		Father			
2	Le Thi Tam		Mother			
3	Hoang Le Nam Hai		Son			
4	Hoang Le Nam Vu		Son			
5	Hoang Bach Thao		Brother			
6	Hoang Thi Thanh Thuy		Young sister			

No	Name	Position at the company	Relationship with internal person	Number of shares owned at the end of the period	Percentage of share ownership at the end of the period	Note
7	Hoang Thi Ngoc Yen		Young sister			
8	Hoang Thi Hong Nhan		Young sister			
9	Pham Thi Kim Son		Sister-in-law			
10	Nguyen Khanh Quoc		Brother-in-law			
11	Nguyen Phuoc Hung		Brother-in-law			
VI.	List of affiliated persons of Ms. Phan Thi Anh Dao - Head of Supervisory Board					
1	Do Minh Thong	-	Husband	8	0,0000	
2	Do Bach Duong	-	Daughter	-	-	
3	Do Minh Hoang	-	Son	-	-	
4	Phan Thanh Cham	-	Father	-	-	
5	Nguyen Thi Lanh	-	Mother	-	-	
6	Hoang Minh Thai		Father-in-law			<i>Dead</i>
7	Nguyen Thi Kinh		Mother-in-law			
6	Phan Anh Tuan	-	Young brother	-	-	
7	Phan Tuan Anh	-	Young brother	-	-	
VII.	List of affiliated persons of Ms. Huynh Thi Long - Member of the Supervisory Board					
1	Huynh Van Van		Father			
2	Nguyen Thi Lien		Mother			
3	Huynh Văn Lai		Brother			
4	Huynh Thi Ly		Sister			
5	Huynh Thi Be		Sister			
6	Huynh Van Len		Young brother			
7	Le Huy Tu		Husband			
8	Le Phuong Uyen		Daughter			

No	Name	Position at the company	Relationship with internal person	Number of shares owned at the end of the period	Percentage of share ownership at the end of the period	Note
9	Le Huy Khai		Son			
10	Le Van Mua		Father-in-law			
11	Ngo Thi Minh Ngoc		Mother-in-law			
12	Phan Minh Duc		Brother-in-law			
13	Nguyen Thi Le Mai		Sister-in-law			
VIII. List of affiliated persons of Mr. Do Dat Quang - Member of the Supervisory Board						
1	Do Van Quy	-	Father	-	-	
2	Nguyen Thi Thuy Hoa	-	Mother	-	-	
3	Đang Huu Quoc		Father-in-law			
4	Tran Thi Hoa		Mother-in-law			
3	Dang Thi Kim Ngan	-	Wife	-	-	
4	Do Thanh Vinh	-	Son	-	-	
5	Do Vinh Phu	-	Young brother	-	-	
IX. List of affiliated persons of Mr. Nguyen The Duy - Vice General Director of Business						
1	Nguyen Sau		Father	-	-	<i>Dead</i>
2	Duong Thi Cuc		Mother	-	-	
3	Nguyen The Phuong		Brother	-	-	
4	Nguyen The Phuoc		Young brother	-	-	
5	Truong Thi Thanh Tam		Wife	-	-	
6	Nguyen Thanh Ly Chau		Daughter	-	-	
7	Nguyen Thanh Khanh Chau		Daughter	-	-	
8	Truong Cuong		Father-in-law			
9	Le Thi Ca		Mother-in-law			
10	Le Thi Hong Ngoan		Sister-in-law			

No	Name	Position at the company	Relationship with internal person	Number of shares owned at the end of the period	Percentage of share ownership at the end of the period	Note
11	Tran Thi Nguyen		Sister-in-law			
X.	List of affiliated persons of Mr. Phan Dinh Thanh - Vice General Director of Technology					
1	Phan Dinh Quy		Father			
2	Dang Thi Loc		Mother			
3	Phan Thi Huyen		Sister			
4	Phan Thi Tham		Sister			
5	Phan Dinh Ba		Brother			
6	Phan Dinh Tai		Young brother			
7	Phan Dinh Thinh		Young brother			
8	Nguyen Thi Xuan Khanh		Wife			
9	Phan Dinh Nhan		Son			
10	Phan Dinh Nghia		Son			
11	Nguyen Viet Cong		Father-in-law			
12	Tran Thi Linh		Mother-in-law			
13	Huynh Nam Vinh		Brother-in-law			
14	Mai Xuan Cong		Brother-in-law			
15	Đang Thi Duyen		Sister-in-law			
16	Pham Mai Hoa		Sister-in-law			
17	Than Thi Tuyet		Sister-in-law			
XI.	List of affiliated persons of Mr. Pham Thai Hung - Chief Accountant					
1	Pham Xuan Gap	-	Father	-	-	<i>Dead</i>
2	Le Thi Lan	-	Mother	-	-	<i>Dead</i>
3	Nguyen Tien Thinh		Father-in-law			<i>Dead</i>
4	Đoan Thi Minh		Mother-in-law			

No	Name	Position at the company	Relationship with internal person	Number of shares owned at the end of the period	Percentage of share ownership at the end of the period	Note
3	Nguyen Thi Ngoc Thuy	-	Wife	-	-	
4	Pham Nguyen Vinh Khang	-	Son	-	-	
5	Pham Nguyen Vinh Trong	-	Son	-	-	
6	Pham Thai Hoang	-	Brother	-	-	
7	Pham Thai Ha	-	Brother	-	-	
8	Pham Thanh Kim Hue	-	Young sister	-	-	
9	Pham Thi Lan Huong	-	Young sister	-	-	
12	Vo Thi Dung		Sister-in-law			
13	Le Thi Thu		Sister-in-law			
14	Đang Nam An		Brother-in-law			
15	Bui Viet Thang		Brother-in-law			
XII	List of affiliated persons of Mr. Pham Van Luan - The internal audit team under the BOM's of Song Ba Joint Stock Company					
1	Pham Trung Lap		Father			
2	Mai Thi Toan		Mother			
3	Mai Huy Dung		Father-in-law			<i>Dead</i>
4	Mai Thi Dung		Mother-in-law			
5	Mai Thi Ha		Wife			
6	Pham Ha Linh		Daughter			
7	Pham Diep Anh		Daughter			
8	Pham Van Duy		Young brother			
9	Nguyen Thi Cuc		Sister-in-law			
XIII	List of affiliated persons of Mr. Nguyen Ha Anh Vu - The internal audit team under the BOM's of Song Ba Joint Stock Company					
1	Nguyen Van Tung		Father			<i>Dead</i>
2	Ha Thi Mo		Mother			

No	Name	Position at the company	Relationship with internal person	Number of shares owned at the end of the period	Percentage of share ownership at the end of the period	Note
3	Pham Huu Thien		Father-in-law			
4	Tran Thi Kim Thanh		Mother-in-law			
5	Pham Ha Phuong		Wife			
6	Nguyen Anh Khoa		Son			
7	Nguyen Anh Minh		Son			
8	Nguyen Thi Ngoc Huyen		Young sister			
9	Nguyen Thi Ngoc Tram		Young sister			
XIV	List of affiliated persons of Ms. Nguyen Vo Hien Trang - The internal audit team under the BOM's of Song Ba Joint Stock Company					
1	Nguyen Huu Thien		Father			
2	Vo Thi Thu Trang		Mother			
3	Vo Dang Le		Father-in-law			
4	Vo Thi Moi		Mother-in-law			
5	Vo Ngoc Luan		Husband			
6	Vo Nguyen Bao Ngoc		Daughter			
7	Vo Minh Khang		Son			
8	Nguyen Vo Phuong Trang		Young sister			
9	Tran Thanh Linh		Brother-in-law			