
No.: 44 -2017/QD/FPTS-FHR

Hanoi, April 21, 2017

**REGULATIONS ON MANAGEMENT AND USE
OF USER AUTHENTICATION DEVICE (TOKEN CARD)**

**(This Regulation is attached to the Contract
for Provision and Use of Securities Transaction Services)**

I. PURPOSE:

- Administer the handover/assignment/synchronization/locking of Token Card for the Customer; ensure the safety of the Customers' assets.

II. SCOPE OF APPLICATION:

- This regulation is applicable to the staff of FPT Securities Joint Stock Company (FPTS) in charge of executing the handover/assignment/synchronization/locking of Token Card for the Customer and Token Card Customer of FPTS.

III. DEFINITION:

- **Token Card (Token)** is an electronic user authentication device in place of conventional username/password, used for the Customer using online transaction securities services at FPTS.
- **Token Customer of FPTS** is a customer owning Token provided by FPTS in the form of selling/giving with the purpose of conducting online transactions at FPTS, hereinafter referred to as "**Customer**".

IV. CONTENT:

1. REGULATIONS ON FPTS STAFF:

1.1 Regulations applied to FPTS staff in charge of Token business

- FPTS Token Handover Staff at the service of the Customer is a member of staff of the Customer Service Department at the FPTS Head Office/Branch or a member of staff at the service of the Customer working at the Transaction Office responsible for handing over the Token Card to the Customer, hereinafter referred to as "Token Handover Staff".
- Member of staff at the service of the Customer working at the Transaction Office hands over the Token Card to the Customer only after the Director of the Customers Service Department or the Director of the FPTS Branch where he/she works for approves in writing.

- FPTS Token Assignment/Synchronization/Locking Staff at the service of the Customer is the Director/Deputy Director of Customers Service Department or the Director of an FPTS Branch or a
- member of staff appointed by FPTS to carry out the assignment/synchronization/locking of Token for the Customer, hereinafter referred to as “Token Management Staff”.
- Member of staff at the Customer Service Department assigns/synchronizes/locks Token only after the Director of the Customer Service Department or the Director of the FPTS Branch where he/she works for approves in writing.

1.2 Regulations on Token handover:

- Token Handover Staff shall be responsible for handing the right Token to the Customer who is a securities account owner at FPTS. The staff shall:
 - + Only hand over Token to the Customer after his/her account owner information is verified.
 - + Instruct the Customer to use Token as well as its good and weak points, and provide him/her with the written Token User Guide and the Regulations on Management and Use of Token Card.

1.3 Regulation on Token assignment:

- Token Management Staff shall assign Token for the Customer based on the Record of Token Delivery.

1.4 Regulation on Token synchronization in case of losing synchronization:

- Token Management Staff shall receive the Customer’s request and synchronize Token after he/she checks and confirms that the serial number on Token is the same as the serial number assigned on the FPTS management system to the account from which the Customer asks for synchronization

1.5 Regulation on locking Token in case Token is damaged/misplaced/expired or the account owner is deceased/incapable of using:

- Token Management Staff shall receive the Customer’s request for locking his/her Token in case it is damaged/misplaced/expired or the account owner is deceased/incapable of using and shall lock the Token for the Customer after checking and confirming that the serial number on the Token is the same as the serial number assigned into the FPTS management system to the account from which the Customer asks for locking.

2. 2. REGULATIONS ON CUSTOMER:

- Customer must check the status and serial number of Token and sign into the Record of Token Delivery at the time of receiving it from the Token Handover Staff
- Customer only uses the Token provided by FPTS in the event that the serial number on the device is the same as the one on the Record of Token Delivery (also the same as the serial number assigned to the FPTS management system).
- Customer must carefully read the written Token User Guide and the Regulations on Management and Use of Token Card provided by FPTS

- Customer must manage Token on his/her own, agree and bear all responsibility for any damage and/or loss arising from the revelation of Token passcode and the loss/transfer of Token to any third party's use in any form, by accident or on purpose.
- In case of misplacement/malfunction in use, the Customer must immediately contact FPTS for support of locking the current device/granting a new one/changing the registered trading method. The Customer shall bear all responsibility for all ongoing and completed transactions before the point of time FPTS has a written confirmation to the receipt of the notification of the Customer.
- In case the account holder is deceased or ineligible to use the Token, the family/relative of such account holder must send a notification to FPTS for locking the Token to prevent potential risks. FPTS shall not be responsible for any damage if it does not receive any official announcement in writing (using the Application for Information Change, stating the reason in the Other Content) in case the account holder is deceased or ineligible to use the Token.
- **Note:**
 - + Customer will lock the Token by going to FPTS for locking procedure or notifying FPTS of this issue via telephone/email;
 - + Customer must go to FPTS to carry out procedures relating to change of trading method from using Token to conventional static password or vice versa;
 - + Customer must go to FPTS to carry out procedures to have his/her locked Token unlocked.

3. GENERAL PROVISIONS:

- FPTS Staff shall strictly comply with Regulations on Management and Use of Token Card and support the Customer in the course of using the Token Card;
- Customer shall strictly comply with Regulations on Management and Use of Token Card. FPTS shall assume no responsibility for **any damage and/or loss arising** from the Customer' act of not conforming to the Regulations on Management and Use of Token Card.

Recipients:

- *Parties concerned*
- *Archives*

**GENERAL DIRECTOR
(signed)**

NGUYEN DIEP TUNG