

APPENDIX NO. 04

(Enclosed with the Circular No. 10/2024/TT-NHNN dated June 28, 2024 of the Governor of the State Bank of Vietnam providing amendments to the Circular No. 22/2018/TT-NHNN dated September 05, 2018 of the Governor of the State Bank of Vietnam on procedures and application for approval for recommended personnel lists of commercial banks, non-bank credit institutions and foreign bank branches)

**[NAME OF THE CREDIT
INSTITUTION]**

**THE SOCIALIST REPUBLIC OF VIETNAM
Independence - Freedom – Happiness**

No.

.....[place & date]

**ASSESSMENT OF COMPLIANCE WITH CODE OF PROFESSIONAL ETHICS BY
PERSONNEL OF CREDIT INSTITUTION/FOREIGN BANK BRANCH**

To:

- Pursuant to the Law on Credit Institutions No. 32/2024/QH15 dated January 18, 2024;
- Pursuant to the Circular No. 22/2018/TT-NHNN dated September 05, 2018 of the Governor of the State Bank of Vietnam providing guidance on procedures and application for approval for recommended personnel lists of commercial banks, non-bank credit institutions and foreign bank branches (as amended);

Pursuant to the Circular No..... dated..... of the Governor of the State Bank of Vietnam prescribing internal control system of.....

- At the request of..... [name of the recommended personnel or the credit institution/foreign bank branch];

Pursuant to the code of professional ethics issued by.....,[name of the credit institution/foreign bank branch] hereby provides information on the compliance with the code of professional ethics by the following personnel during their employment at this credit institution/foreign bank branch, including:

I. Particulars of personnel

1. Name of the first person

1.1. Working period: (From month/year..... to month/year.....).

1.2. Job position or assigned task: from month/year..... to month/year..... (in case of a manager or executive of the credit institution, this information must be clearly specified)

2. Name of the second person:

...

II. Information on compliance with code of professional ethics

Based on our internal regulations and supervision by senior executives and the Board of Controllers, [name of the credit institution/foreign bank branch] gives assessment of the compliance with the code of professional ethics by the personnel named in Part I hereof as follows:

1. Name of the first person:

1.1. Details of assessment comply with clause 1 Article 5a of the Circular No. 22/2018/TT-NHNN (as amended)

1.2. This person has complied/failed to comply with the code of professional ethics.

In case of non-compliance, the violation, disciplinary action and implementation period.

2. Name of the second person:

....

III. [name of the credit institution/foreign bank branch] hereby covenants to assume legal responsibility for the accuracy and truthfulness of the information provided herein./.

**LAWFUL REPRESENTATIVE OF THE CREDIT
INSTITUTION/FOREIGN BANK BRANCH**
(signature and seal)