

**Appendix IV**

*(Issued via Circular No. 20/2025/TT-NHNN dated July 31, 2025 of the Governor of the State Bank)*

**NAME OF CREDIT  
INSTITUTION, FOREIGN  
BANK BRANCH**  
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**SOCIALIST REPUBLIC OF VIETNAM**  
**Independence - Freedom - Happiness**  
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No.: .....

....., date.....

**ASSESSMENT REPORT ON THE IMPLEMENTATION OF PROFESSIONAL ETHICS  
STANDARDS FOR PERSONNEL MANAGED BY CREDIT INSTITUTIONS, FOREIGN  
BANK BRANCHES**

- *Basing on the Law on Credit Institutions No. 32/2024/QH15;*
- *Basing on the Circular No...../2025/TT-NHNN dated ..... of the Governor of the State Bank guiding documents and procedures for approving the list of expected personnel of commercial banks, foreign bank branches and non-bank credit institutions;*
- *Basing on the Circular No..... date..... of the Governor of the State Bank regulating the internal control system...*

(Name of credit institution or foreign bank branch) provides information on the implementation of professional ethics standards during the working period of Mr./Mrs. .... at credit institution or foreign bank branch as follows:

**I. Personnel Information**

1. Full name:
2. Date of birth:
3. Working period: from month/year to month/year:
4. Assigned working positions and tasks: Duration from month/year to month/year (Specify if you are manager or executive):

...

**II. Information on the Implementation of Professional Ethics Standards**

1. Detailed information as prescribed in Clause 1, Article 6 of Circular No. ... /2025/TT-NHNN dated ..... of the Governor of the State Bank to guide the documents and procedures for approving the tentative list of personnel of commercial banks, foreign bank branches and non-bank credit institutions:
2. Personnel meet/does not meet the professional ethics standards:

In case of failure to meet, clearly specify the acts, time and handling measures:

**III. Credit institutions and foreign bank branches commit to be responsible in accordance with the law for the accuracy and truthfulness of the information provided in this document./.**

**Legal representative of the credit institution or  
foreign bank's branch**

*(Sign, specify full name and affix the seal)*

**Notes:**

*This document is reused when preparing the application to the State Bank for approval of the list of expected personnel at commercial banks, non-bank credit institutions, and other foreign bank branches.*