

INFORMATION ON DOCTORAL THESIS

1. Full name: Nguyen Le Quy Hien
2. Sex: Male
3. Date of birth: 27 / 01 / 1970
4. Place of birth: Ha Noi – Viet Nam
5. Admission decision number: 1989/SĐH Dated 22 / 11 / 2006 by President of Vietnam National University.
6. Changes in academic process: Decision number 2426/QĐ-ĐHKT Dated 30/11/2010
7. Official thesis title: Ownership changes in equitization process of State-owned Enterprises in Vietnam.
8. Major: Political Economy
9. Code: 62.31.01.01
10. Supervisors: Nguyen Ngoc Thanh, Assoc Prof. Dr and Tran Tien Cuong, Dr
11. Summary of the **new findings** of the thesis:

Firstly, the thesis generalizes basic theories on ownership, ownership changes in equitization process of State-owned Enterprises (SOEs) via studying equitization forms and methods and its impact on organization – management relationship, distribution relationship as well as productivity and performance efficiency of Equitized State-owned Enterprises (ESOE). *Secondly*, on the basis of analyzing experience of ownership change via privatization of Federation Republic of Russia and experience of equitizing SOEs of China, the thesis withdrew valuable lessons on ownership changes in equitization process of SOEs in Vietnam. *Thirdly*, the thesis shew both qualitative and quantitative analysis and assesment on the impacts of ownership changes on performance efficiency of ESOEs in Vietnam under different Governmental equity-dominant level during the period of 2006-2010: performance efficiency of ESOEs that have Governmental equity-non dominant level is higher than that of ESOEs that have Governmental equity- dominant level; moreover, performance efficiency of ESOEs has been improved in ESOEs that have Governmental equity- dominant level through reducing government ownership level since starting the equitization process (eventhough Governmental equity level is still above 51% in these ESOEs). *Fourly*, based on analyzing current situation of ownership changes in equitizing SOEs in Vietnam over the past few years under different equity-dominant level of Government in both domestic and global context, the thesis propose a number of recommendations for further development of ownership changes in the process of equitizing ESOEs to improve equitization process, enhance performance efficiency of ESOEs in the period from now to year 2015, vision to year 2020.

12. Practical applicability, if any: None .
13. Further research directions, if any: None .

14. Thesis-related publications:

1. Nguyen Le Quy Hien (2011), "Ownership changes in Equitized State-owned Enterprises in Vietnam", *Economic Studies* 12(403), pp. 34 - 44.

2. Nguyen Le Quy Hien (2011), "Ownership changes in equitization process of State-owned Enterprises", *Asia-Pacific Economic Review* (348), pp. 38 - 42.